
NEW YORK STATE **REGISTER**

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State agencies must specify in each notice which proposes a rule the last date on which they will accept public comment. Agencies must always accept public comment: for a minimum of 60 days following publication in the *Register* of a Notice of Proposed Rule Making, or a Notice of Emergency Adoption and Proposed Rule Making; and for 45 days after publication of a Notice of Revised Rule Making, or a Notice of Emergency Adoption and Revised Rule Making in the *Register*. When a public hearing is required by statute, the hearing cannot be held until 60 days after publication of the notice, and comments must be accepted for at least 5 days after the last required hearing. When the public comment period ends on a Saturday, Sunday or legal holiday, agencies must accept comment through the close of business on the next succeeding workday.

For notices published in this issue:

- the 60-day period expires on April 26, 2020
- the 45-day period expires on April 11, 2020
- the 30-day period expires on March 27, 2020

**ANDREW M. CUOMO
GOVERNOR**

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SECRETARY OF STATE**

NEW YORK STATE DEPARTMENT OF STATE

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NEW YORK STATE REGISTER

Be a part of the rule making process!

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

To be considered, comments should reach the agency before expiration of the public comment period. The law provides for a minimum 60-day public comment period after publication in the *Register* of every Notice of Proposed Rule Making, and a 45-day public comment period for every Notice of Revised Rule Making. If a public hearing is required by statute, public comments are accepted for at least five days after the last such hearing. Agencies are also required to specify in each notice the last date on which they will accept public comment.

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

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

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

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

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

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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.

Office of Children and Family Services

NOTICE OF EMERGENCY ADOPTION AND REVISED RULE MAKING NO HEARING(S) SCHEDULED

Implement Statutory Requirements to Include Enhanced Background Checks, Annual Inspections, Annual Training and Safety

I.D. No. CFS-39-19-00005-ERP

Filing No. 92

Filing Date: 2020-02-06

Effective Date: 2020-02-06

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

Action Taken: Amendment of Parts 413, 414, 416, 417 and 418 of Title 18 NYCRR.

Statutory authority: Social Services Law, sections 20(3)(d), 34(3)(f), 390(2)(d) and (2-a)

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

Specific reasons underlying the finding of necessity: This rule is in response to the changes required by the reauthorization of the Child Care and Development Block Grant Act, federal Child Care and Development Fund regulatory changes, and recent statute statutory changes to the Social Services Law. This emergency is necessary to implement changes effective

starting February 7, 2020 and achieve compliance with federal background clearances, training, inspection, and health and safety standards. To do so this emergency rule changes Title 18 of the Official Compilation of Codes, Rules and Regulations of the State of New York Parts 413, 414, 416 and 417, and Subparts 418-1 and 418-2.

Subject: Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.

Purpose: Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.

Substance of emergency/revised rule (Full text is posted at the following State website: <https://ocfs.ny.gov/main/legal/Regulatory/er/>): This rule is necessary to implement statutory requirements pursuant to the federal Child Care and Development Block Grant Act (CCDBG) of 2014 and associated changes to the New York Social Services Law (SSL). This rule amends Title 18 of the New York State Codes, Rules and Regulations (NYCRR) Parts 413, 414, 416, and 417 and Subparts 418-1 and 418-2 so to require enhanced background checks, annual inspections, annual training, enhanced health and safety requirements in specified areas and other necessary changes.

Enhanced Background Clearances: All prospective and existing operators, employees, volunteers, and household members age 18 or older must complete enhanced criminal background checks. Individuals who are found to have been convicted of mandatory disqualifying offenses will be prohibited from having a role in any child care program. This rule will increase the safety of children in care.

Training: Every staff person and volunteer is required to obtain a minimum of five hours of training annually addressing topics or subject matters required by state and federal law. Prorating the number of training hours is no longer permitted.

Health and Safety Requirements: This rule adds health and safety mandates in accordance with the federal requirements including prevention of scalding, supervision of sleeping children, prohibition of certain passenger vans and other such health and safety requirements as included below.

Prevention of Scalding: All child care programs are required to take suitable precautions to prevent burns by contact with hot liquids.

Supervision of Sleeping Children: The Office has clarified the requirement for family day care, group family day care, and day care centers with regard to supervising sleeping children. The caregiver is required to conduct a check every 15 minutes to assess the overall safety and well-being of the children, and to make sure infant's heads are uncovered.

Prohibition of Certain Passenger Vans: The Office is prohibiting all child care programs from transporting children in a vehicle built to hold more than 10 passengers, including the driver, unless the vehicle: 1) meets the National Highway Traffic Safety Administration definition of a school bus or a multifunction school activity bus, 2) complies with the National Highway Traffic Safety Administration Federal Motor Vehicle Safety Standards applicable to a school bus or multifunction school activity bus, and 3) is inspected per New York State Department of Transportation rules and regulations.

Safety Plans: The Office conducts collateral investigations with local child protective services (CPS) agencies. In some instances, the allegations, if true, would be reason to suspend and/or revoke the license or registration of the program. The Office will be requiring all child day care programs follow a safety plan developed by the Office during the investigation.

Identifying Unlicensed/Unregistered Programs: The Office may request attestations from parents describing the relationship of their children to the provider when investigating whether an unlicensed, unregistered program is operating a program for which a license or registration is required.

Back to Sleep: Revisions are being made to comply with the American Academy of Pediatrics recommendation of putting babies on their backs to sleep throughout the first year of life, rather than until the age of 18 months. The Office will no longer allow the use of blankets and stuffed

animals in cribs with infants under 12 months of age and will require use of an appropriately sized fitted sheet.

Nutritional Content for School-Age Meal and Snack Plans: School-age child care (SACC) programs are required, as part of the regulations and the state's obesity prevention initiative, to operate in compliance with the federal Child and Adult Care Food Program (CACFP) meal patterns. SACC programs will now have their menus reviewed for nutritional content, variety and quality at the time of initial application, and once every 24 months by CACFP specialist responsible for reviewing and approving menus, or by a person who has a bachelor's or master's degree with a major in food and institutional management or a closely related field and who has completed a dietitian internship, or has been certified as a registered dietitian or has an equivalent state certification.

Health Care Consultant: Day care centers that care for infants, toddlers, or moderately ill children will need to have a health care consultant to review its health care plan and practices.

Special Health Care Needs: The Office is requiring that all staff working and substituting in classrooms that have children with special health care needs know those children's individual needs and how to obtain appropriate assistance. If these special needs include allergies, a message to this effect is to be posted in a discreet location as a reminder to staff.

This notice is intended to serve as both a notice of emergency adoption and a notice of revised rule making. The notice of proposed rule making was published in the *State Register* on September 25, 2019, I.D. No. CFS-39-19-00005-EP. The emergency rule will expire April 5, 2020.

Revised rule making(s) were previously published in the State Register on December 24, 2019.

Emergency rule compared with proposed rule: Substantial revisions were made in Parts 413, 414, 416, 417, 418-1 and 418-2.

Text of rule and any required statements and analyses may be obtained from: Frank Nuara, Office of Children and Family Services, 52 Washington Street, Rensselaer, NY 12144, (518) 474-9778, email: frank.nuara@ocfs.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.

Revised Regulatory Impact Statement

1. Statutory Authority:

Section 20(3)(d) of the Social Services Law (SSL) authorizes the Commissioner of the New York State Office of Children and Family Services (Office) to establish rules, regulations and policies to carry out the Office's powers and duties under the SSL.

Section 390(2)(d) of the SSL authorizes the Office to establish regulations for the licensure and registration of child day care providers.

Section 390(2-a) of the SSL requires the Office to establish minimum quality program requirements for child day care.

2. Legislative Objectives:

The proposed changes the child day care regulations are necessary to implement statutory authority granted to the Office on April 1, 2019. SSL 390 was amended pursuant to the Child Care and Development Block Grant Act (CCDBG) of 2014. These legislative provisions require enhanced background checks, annual inspections, training mandates for child care providers and additional health and safety standards. The proposed changes will significantly improve the safety of children in child care programs, and bring the Office into compliance with federal and state legislative requirements.

3. Needs and Benefits:

As referenced above in sections 1 and 2, the federal and state legislative changes mandate these regulatory changes. These legislative provisions require enhanced background checks, annual inspections, training mandates for child care providers and additional health and safety standards. The proposed changes will significantly improve the safety of children in child care programs, and bring the Office into compliance with federal and state legislative requirements.

4. Costs:

The costs associated with the proposed changes in the child day care regulations that are necessary to implement new statutory authority pursuant to the Child Care and Development Block Grant Act (CCDBG) of 2014 are significant, but are anticipated to be mostly assumed by the Office. New requirements around enhanced background checks, annual inspections, and additional annual training of licensed and registered providers have been estimated to cost approximately \$37 million. At this time, the Office is not intending to pass these costs on to regulated providers. The fiscal burden on providers is anticipated to fall primarily on time lost from providing care in order to comply with the enhanced background checks and additional training requirements. As a result of the proposed regulations, day care centers that care for infants, toddlers or moderately ill children will be required to use the services of a health care

consultant in completing a health care plan. Approximately 70 percent of day care centers already collaborate with health care consultants and will be unaffected by this change. For the remaining 30 percent of day care centers, the Office has contracted with Child Care Resource and Referral (CCR&R) agencies to employ registered nurses who act as health care consultants to child care programs at a reduced fee.

School-age programs are required, as part of the regulations and the state's obesity prevention initiative, to operate in compliance with the federal Child and Adult Care Food Program (CACFP) meal patterns. The Office proposes that programs have their menus reviewed for nutritional content, variety and quality at the time of initial application and once every 24 months by a CACFP specialist responsible for reviewing and approving menus or by a person who has a bachelor's or master's degree with a major in food and institutional management or a closely related field and who has completed a dietitian internship or has been certified as a registered dietitian or has an equivalent state certification. A school-age program that is enrolled in CACFP has their menu approved at no cost. CACFP also offers this service to non-enrolled programs at no charge. Some county cooperative extension programs also offer this service free of charge.

Other changes, primarily the changes related to increasing the Office's ability to identify illegally operating day care programs is expected to have a positive financial impact on regulated providers by increasing the supply of children and families who will utilize regulated programs, thereby generating increased revenue to these programs. Also, some administrative relief is provided to regulated programs as a result of these new regulations.

5. Local Government Mandates:

No new mandates are imposed on local governments by these proposed regulations.

6. Paperwork:

There is an increase in paperwork associated with the proposed changes in background checks. All prospective and existing operators, employees, volunteers and adult household members will be required to complete the clearance packet. Rescreening will be conducted no less than once every five years. Programs will be required to discreetly post child-specific allergy information. The proposed regulations will require that school-age programs have a nutrition professional approve school age program menus. Paperwork will be reduced, however, by eliminating the family day care health and safety check list and requiring fewer employment references.

7. Duplication:

The new requirements do not duplicate state or federal requirements.

8. Alternatives:

There are no alternatives.

9. Federal Standards:

The regulations are consistent with applicable federal requirements.

10. Compliance Schedule:

The proposed regulations will become effective September 25, 2019.

Revised Regulatory Flexibility Analysis

1. Effect on Small Businesses and Local Governments:

There are 16,566 small day care businesses in New York State that are comprised of day care centers, school age child care programs, family and group family day care homes, and one small day care center. All of these programs will be affected by the regulatory changes proposed. Local government agencies will not be affected by the changes in these proposed regulations.

2. Compliance Requirements:

This rule implements statutory requirements pursuant to the federal Child Care and Development Block Grant Act (CCDBG) of 2014 and associated changes to the New York Social Services Law (SSL). This rule amends Title 18 of the New York State Codes, Rules and Regulations (NYCRR) Parts 413, 414, 416, and 417 and Subparts 418-1 and 418-2 so to require enhanced background checks, annual inspections, annual training, enhanced health and safety requirements in specified areas and other necessary changes.

3. Professional Services:

As a result of the proposed regulations, day care centers that care for infants, toddlers or moderately ill children will be required to use the services of a health care consultant in completing a health care plan.

School-age child care programs will need to have their menus reviewed for nutritional content, variety and quality at the time of initial application and once every 24 months by a designated nutrition specialist.

Family-based child care programs and small day care centers will not be required to use or employ any additional professional services as a result of these proposed changes.

4. Compliance Costs:

The costs associated with the proposed changes in the child day care regulations that are necessary to implement new statutory authority pursuant to the Child Care and Development Block Grant Act (CCDBG) of

2014 are significant, but are anticipated to be mostly assumed by the Office. New requirements around enhanced background checks, annual inspections, and additional annual training of licensed and registered providers have been estimated to cost approximately \$37 million. At this time, the Office is not intending to pass these costs on to regulated providers. The fiscal burden on providers is anticipated to fall primarily on time lost from providing care in order to comply with the enhanced background checks and additional training requirements. As a result of the proposed regulations, day care centers that care for infants, toddlers or moderately ill children will be required to use the services of a health care consultant in completing a health care plan. Approximately 70 percent of day care centers already collaborate with health care consultants and will be unaffected by this change. For the remaining 30 percent of day care centers, the Office has contracted with Child Care Resource and Referral (CCR&R) agencies to employ registered nurses who act as health care consultants to child care programs at a reduced fee.

School-age programs are required, as part of the regulations and the State's obesity prevention initiative, to operate in compliance with the federal Child and Adult Care Food Program (CACFP) meal patterns. The Office proposes that programs have their menus reviewed for nutritional content, variety and quality at the time of initial application and once every 24 months by a CACFP specialist responsible for reviewing and approving menus or by a person who has a bachelor's or master's degree with a major in food and institutional management or a closely related field and who has completed a dietitian internship or has been certified as a registered dietitian or has an equivalent state certification. A school-age program that is enrolled in CACFP has their menu approved at no cost. CACFP also offers this service to non-enrolled programs at no charge. Some county cooperative extension programs also offer this service free of charge.

Other changes, primarily the changes related to increasing the Office's ability to identify illegally operating day care programs is expected to have a positive financial impact on regulated providers by increasing the supply of children and families who will utilize regulated programs, thereby generating increased revenue to these programs. Also, some administrative relief is provided to regulated programs as a result of these new regulations.

5. Economic and Technological Feasibility:

There are no technological impacts on child day care programs.

6. Minimizing Adverse Impact:

The Office believes there will be minimal adverse impact on child care programs.

7. Small Business and Local Government Participation:

In the development of the proposed child day care regulations, the Office considered the remarks of and the input from both unions that represent family-based providers. Those unions are the Civil Service Employees Association (CSEA) and the United Federation of Teachers (UFT). The Office has also led discussions and received comment on regulations at professional conferences and forums.

Revised Rural Area Flexibility Analysis

1. Types and Estimated Numbers of Rural Areas:

The proposed regulations will apply to all modalities of child care programs operating in 44 rural areas of the state.

2. Reporting, Recordkeeping and Other Compliance Requirements; and Professional Services:

The changes to the child day care regulations are necessary to implement new statutory requirements pursuant to the federal Child Care and Development Block Grant Act (CCDBG) of 2014 and corresponding changes to the New York Social Services Law (SSL). This legislation requires enhanced background checks, annual inspections, annual training, and additional enhanced health and safety requirements in specific areas.

There is an increase in paperwork associated with the proposed changes in background checks. All prospective and existing operators, employees, volunteers and adult household members will be required to complete the clearance packet. Rescreening will occur no less than once every five years. Programs will be required to discreetly post child-specific allergy information. The proposed regulations will require that school-age programs have a nutrition professional approve school age program menus. Paperwork will be reduced, however, by eliminating the family day care health and safety checklist at renewal, and requiring fewer employment references.

As a result of the proposed regulations, day care centers that care for infants, toddlers, or moderately ill children will be required to use the services of a health care consultant in completing a health care plan. School-age programs will need to have their menus reviewed for nutritional content, variety and quality at the time of initial application and once every 24 months by a designated nutrition specialist.

3. Costs:

The costs associated with the proposed changes in the child day care

regulations that are necessary to implement new statutory authority pursuant to the Child Care and Development Block Grant Act (CCDBG) of 2014 are significant, but are anticipated to be mostly assumed by the Office. New requirements around enhanced background checks, annual inspections, and additional annual training of licensed and registered providers have been estimated to cost approximately \$37 million. At this time, the Office is not intending to pass these costs on to regulated providers. The fiscal burden on providers is anticipated to fall primarily on time lost from providing care in order to comply with the enhanced background checks and additional training requirements. As a result of the proposed regulations, day care centers that care for infants, toddlers or moderately ill children will be required to use the services of a health care consultant in completing a health care plan. Approximately 70 percent of day care centers already collaborate with health care consultants and will be unaffected by this change. For the remaining 30 percent of day care centers, the Office has contracted with Child Care Resource and Referral (CCR&R) agencies to employ registered nurses who act as health care consultants to child care programs at a reduced fee.

School-age programs are required, as part of the regulations and the state's obesity prevention initiative, to operate in compliance with the federal Child and Adult Care Food Program (CACFP) meal patterns. The Office proposes that programs have their menus reviewed for nutritional content, variety and quality at the time of initial application, and once every 24 months by a CACFP specialist responsible for reviewing and approving menus, or by a person who has a bachelor's or master's degree with a major in food and institutional management or a closely related field and who has completed a dietitian internship or has been certified as a registered dietitian, or has an equivalent state certification. A school-age program that is enrolled in CACFP has their menu approved at no cost. CACFP also offers this service to non-enrolled programs at no charge. Some county cooperative extension programs also offer this service free of charge.

Other changes, primarily the changes related to increasing the Office's ability to identify illegally operating day care programs is expected to have a positive financial impact on regulated providers by increasing the supply of children and families who will utilize regulated programs, thereby generating increased revenue to these programs. Also, some administrative relief is provided to regulated programs as a result of these new regulations.

4. Minimizing Adverse Impact:

The Office does not anticipate any adverse impact to rural area child care programs as a result of the proposed regulations.

5. Rural Area Participation:

The Office received comment from child day care directors, providers and owners during forums and conferences held in the past. The Civil Service Employees Association (CSEA) and the United Federation of Teachers (UFT) provided feedback and comment in the development of the proposed regulations.

Revised Job Impact Statement

1. Nature of Impact:

The proposed regulations could impact jobs or employment opportunities for child day care program employees or caregivers in all regions of New York State. The provisions set forth require enhanced background clearances, the results of which could impact the employment of previous screened and approved child care employees due to mandatory disqualifying offenses.

2. Categories and Numbers Affected:

It is anticipated that there are 220,000 current employees and household members needing to be rescreened.

3. Regions of Adverse Impact:

Potential impact would be across all regions.

4. Minimizing Adverse Impact:

For non-mandatory disqualifying offenses, the Office is implementing a fair hearing process for anyone denied a role.

Assessment of Public Comment

Following publication of the Notice of Proposed Rule Making in the State Register on September 25, 2019, the Office of Children and Family Services (OCFS) received over 400 comments regarding the regulatory package for licensed and registered providers. These comments came from parents, providers, service providers, and child care advocacy groups. The comments received addressed the overall regulatory process, definitions, background clearances, itinerant services, safe sleep, training, inspections, and emergency medical services. After a careful review of public comment, OCFS has revised its regulations where possible to ease burdens on providers, parents, and to allow children to obtain necessary services under Individuals with Disabilities Education Act (IDEA). Such revisions are done in a manner that will not jeopardize the health and safety of children in care, and to align with federal and state law.

GENERAL

Comments were received about the regulatory process, volume of the regulations, form revisions, and ability to access regulatory text. OCFS has reviewed these comments and determined to not make any substantive change to the regulations as a result. The full assessment of public comment addresses each of the comments received.

DEFINITIONS

Comments were received about the definition of volunteer, and request to create a role of temporary staff person. OCFS has reviewed these comments and determined to make substantive change to the regulations as a result. OCFS has revised the definition of volunteer found at 18 NYCRR 413.2(c)(15) and included a more expansive definition for the term within the background check section of the regulations found at 18 NYCRR 413.4. Such revisions will allow volunteers who have been cleared through the background check process to be unsupervised with children, however, they cannot count in ratio. OCFS determined it was not necessary to make any additional changes to the regulatory definitions. The full assessment of public comment addresses each of these comments received.

BACKGROUND CLEARANCES

Comments were received about: allowing provisional employment while background check results were pending, the timeframe and process to conduct the checks, how the checks apply to seasonal employment and employment at multiple programs, the need to conduct subsequent checks every five years, clarification of forms and available electronic processes, applicability of fees, and exemptions for individuals of a certain age. OCFS has reviewed these comments and determined to make substantive change to the regulations as a result. The regulations have been revised to align with the federal option to allow employees to begin work after completing either the State criminal background clearance, or the FBI clearance, provided that employees shall be supervised until the background check eligibility determination has been provided to the program. OCFS has determined to not make any other substantive change to the regulations. The full assessment of public comment addresses each of the comments received.

ITINERANT SERVICES

Comments were received about allowing itinerant services (which includes special education services such as occupational therapy, speech therapy, physical therapy among others) to be able to provide services one-on-one without direct supervision from staff from the child care program. OCFS has reviewed these comments and determined to make substantive changes to the regulations as a result. OCFS has revised the regulation to authorize itinerant providers to receive a comprehensive background check by considering them volunteers solely for the purpose of the background check process. Itinerant service providers who undergo the full background clearance process as volunteers will be able to serve children one on one. The full assessment of public comment addresses each of the comments received.

SAFE SLEEP

Comments were received about the prohibition of blankets in cribs. OCFS has reviewed the comment and determined no changes in the proposed regulations are necessary. The regulation was updated to align with NYS Dept of Health's Safe Sleep Initiative and American Academy of Pediatrics. The use of a wearable blanket, such as a sleep sack is not prohibited by this regulation. The full assessment of public comment addresses each of the comments received.

TRAINING

Comments were received about reducing the number of training hours and the applicability of the training requirement. OCFS reviewed the comments and determined no changes in the proposed regulations are necessary. Federal law required the states to establish an annual training requirement. The requirement to complete 30 hours of training every two years is established in Social Services Law 390-a. The regulation allows an individual to complete the training at their own pace over the course of the year, but does impose a requirement to complete a minimum of 5 hours per year, to comply with the federal requirement for annual training. No changes in the proposed regulations are necessary in response to these comments. The full assessment of public comment addresses each of the comments received.

INSPECTIONS

A comment was received about inspectors accessing the entire dwelling, as opposed to just the location of the daycare. OCFS has reviewed the comment and determined no changes in the proposed regulations are necessary. Inspections are required by federal law and regulation. Please note, while the frequency for inspecting legally-exempt programs located in homes has changed, the proposed regulations have not changed as they relate to what areas of the home may be inspected. The full assessment of public comment addresses each of the comments received.

EMERGENCY MEDICAL SERVICES

A comment was received about the ability to send a child in an ambulance when the emergency medical service worker is not an employee of the child care program. OCFS has reviewed the comment and

determined no changes in the proposed regulations are necessary. The regulation that children can only be with a person who is cleared specifically relates individuals seeking to be enrolled/licensed/registered, volunteer, work, visit, or live at a day care program. The provider must arrange for emergency medical services necessary for the health and safety of the children in the program. The full assessment of public comment addresses each of the comments received.

NOTICE OF EMERGENCY

ADOPTION

AND REVISED RULE MAKING

NO HEARING(S) SCHEDULED

Implement Statutory Requirements to Include Enhanced Background Checks, Annual Inspections, Annual Training and Safety

I.D. No. CFS-39-19-00007-ERP

Filing No. 91

Filing Date: 2020-02-06

Effective Date: 2020-02-06

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

Action Taken: Amendment of Subpart 358-3, Parts 403, 404, 405, 406 and 415 of Title 18 NYCRR.

Statutory authority: Social Services Law, sections 20(3)(d), 34(3)(f), 390(2)(d), 410(1) and 410-x

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

Specific reasons underlying the finding of necessity: This rule is in response to the changes required by the reauthorization of the Child Care and Development Block Grant Act, federal Child Care and Development Fund regulatory changes, and recent statute statutory changes to the Social Services Law. This emergency is necessary to implement changes effective starting February 7, 2020 and achieve compliance with federal background clearances, training, inspection, and health and safety standards. To do so this emergency rule changes Title 18 of the Official Compilation of Codes, Rules and Regulations of the State of New York Subpart 358-3 and Parts 403, 404, 405, 406 and 415.

Subject: Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.

Purpose: Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.

Substance of emergency/revised rule (Full text is posted at the following State website: <https://ocfs.ny.gov/main/legal/Regulatory/er/>): This rule is necessary to implement statutory requirements pursuant to the federal Child Care and Development Block Grant Act (CCDBG) of 2014 and associated changes to the New York Social Services Law (SSL). This rule amends Title 18 of the New York State Codes, Rules and Regulations (NYCRR) Subpart 358-3 and Parts 403, 404, 405, 406 and 415 so to require enhanced background checks, annual inspections, annual training, removal of the family share for youth in foster care, enhanced health and safety requirements in specified areas and other necessary changes.

Enhanced Background Clearances: This rule will increase the safety of children in care. All legally-exempt child care providers, except relative-only providers, and all employees, volunteers, and family child care household members age 18 or older must complete criminal history review and background clearances. An individual found to have been convicted of a mandatory disqualifying offense or who engages in certain uncooperative behaviors associated with the background check process is ineligible to be a provider, director, employee or volunteer at a child care program. Additionally, applicant to become a legally-exempt child care provider subject to the background check requirements cannot be enrolled by an enrollment agency when a family child care household member age 18 or older, who is not related in any way to all children in care, engaged in such conduct.

Training: This rule increases training requirements to be in accordance with the federal requirements. In addition to the pre-service health and safety training, all legally-exempt child care providers, unless exempted by statute, and all employees and volunteers are required to obtain a minimum of five hours of training annually addressing topics or subject matters required by state and federal law.

Inspections: This rule increases the number of inspections required to be conducted by enrollment agencies annually. Enrollment agencies must

conduct annual, on-site inspections, of all currently enrolled legally-exempt child care providers, unless otherwise exempted by statute.

Immunization/medical Records: This rule replaces the current emergency rule regarding non-medical vaccinations to make the language consistent with other provisions in this package.

Family Share: This rule removes the family share requirement for a child in foster care in receipt of child care assistance.

Health and Safety Requirements: This rule adds health and safety mandates in accordance with the federal requirements including transportation, supervision of sleeping children, child abuse and maltreatment reporting, among others. Legally-exempt group child care programs that are operating under the auspices of another agency are required to submit a health and safety checklist to the enrollment agency as part of the enrollment application, and to comply with all such health and safety requirements.

Supervision of sleeping children: This rule requires legally-exempt family and in-home child care providers to have a written agreement with parents that addresses sleeping and napping arrangements.

Back to sleep: This rule requires legally-exempt child care providers to put children on their backs to sleep throughout the first year of life.

Emergency Plan: This rule requires all legally-exempt child care providers to have a written emergency plan for the safe and timely evacuation of children.

Allergy Information: This rule requires all legally-exempt group child care programs to discreetly post child-specific food allergy information.

Certificate of Occupancy: This rule requires legally-exempt group child care programs to submit a certificate of occupancy or equivalent documentation showing the facility has been approved for use as a child care program to the enrollment agency prior to enrollment.

Child Abuse and Maltreatment: This rule requires legally-exempt providers, employees and volunteers, who are not related to all children in care by federal definition, to submit to a background check of the Statewide Central Register of Child Abuse and Maltreatment (SCR). Additionally, legally-exempt providers, directors, employees and volunteers must make a report to the SCR when there is reasonable cause to suspect abuse to maltreatment of a child in care.

This notice is intended to serve as both a notice of emergency adoption and a notice of revised rule making. The notice of proposed rule making was published in the *State Register* on September 25, 2019, I.D. No. CFS-39-19-00007-EP. The emergency rule will expire April 5, 2020.

Revised rule making(s) were previously published in the State Register on December 24, 2019.

Emergency rule compared with proposed rule: Substantial revisions were made in Part 415.

Text of rule and any required statements and analyses may be obtained from: Frank Nuara, Office of Children and Family Services, 52 Washington Street, Rensselaer, NY 12144, (518) 474-9778, email: frank.nuara@ocfs.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.

Revised Regulatory Impact Statement

1. Statutory authority:

Section 20(3)(d) of the Social Services Law (SSL) authorizes the Commissioner of the Office of Children and Family Services (OCFS) to establish rules, regulations and policies to carry out OCFS's powers and duties under the SSL.

Section 34(3)(f) of the SSL authorizes OCFS to establish regulations for the administration of public assistance and care within the State.

Section 390(2)(d-1) of the SSL, effective September 1, 2019, authorizes OCFS to establish regulations for legally-exempt child care providers to be able to receive child care subsidy funds.

Section 410(1) of the SSL authorizes a social services official of a county, city, or town to provide day care for children at public expense and authorizes OCFS to establish criteria for when such day care is to be provided.

Section 410-x(3) of the SSL requires OCFS to establish in regulation minimum health and safety standards that must be met by child care providers, funded under the New York State Child Care Block Grant.

2. Legislative objectives:

The proposed changes to Title 18, of the Official Compilation of Codes, Rules and Regulations of the State of New York (NYCRR) are necessary to implement statutory authority granted to OCFS on April 1, 2019. SSL 390 was amended pursuant to the Child Care and Development Block Grant Act (CCDBG) of 2014. These legislative provisions require enhanced background checks and annual inspections of certain legally-exempt child care providers. The proposed changes will significantly improve the safety of children in child care programs and bring the Office into compliance with federal and state legislative requirements.

3. Needs and benefits:

As referenced above in sections 1 and 2, the federal and state legislative changes mandate these regulatory changes. This rule is needed for compliance with federal law, including, but not limited to, enhanced background checks, annual inspections, annual training, removal of the family share for youth in foster care and enhancing health and safety standards that will help protect children in care. This rule adds health and safety mandates in accordance with the federal requirements including transportation, supervision of sleeping children, child abuse and maltreatment reporting, among others. The proposed changes will significantly improve the safety of children in child care programs and bring the Office into compliance with federal and state legislative requirements. The elimination of the family share for child care services for a child in foster care will reduce barriers for such children to be enrolled expeditiously in a child care program.

4. Costs:

The costs associated with this rule are necessary to implement requirements under the Child Care and Development Block Grant Act (CCDBG) of 2014. While such costs are significant, they are largely born by OCFS. New requirements around enhanced background checks, annual inspections, and additional annual training of legally-exempt child care providers have been estimated to cost approximately \$43 million. At this time, OCFS does not intend to pass the costs related to inspections, training or criminal background checks on to providers, except for the \$25 processing fee for conducting a check of the Statewide Central Registry of Child Abuse and Maltreatment. Compliance with the enhanced background checks and additional training requirements is anticipated to be the primary fiscal burden for child care providers due to time lost from providing care. However, the Office offers a variety of training courses, at no cost to child care programs, that would satisfy the proposed annual training requirement for providers of legally-exempt child care. For those providers that use the Office training courses to satisfy this requirement, the costs will be minimal.

5. Local government mandates:

This rule imposes no new mandates on local governments. However, local social services districts will need to replace current forms that they distribute to child care assistance applicants with revised forms that will be provided by OCFS. The regulations will alleviate some districts from imposing certain additional standards on individuals applying to be an enrolled legally-exempt child care provider. For example, some districts require a background check and/or an annual inspection in order for a program to provide subsidized child care services. These regulations will impose such standard on a consistent basis at the state level for legally-exempt child care programs seeking to provide subsidized child care services.

6. Paperwork:

This rule results in an increase in paperwork due to the required changes in background checks. Prospective and existing providers, employees, volunteers and adult family child care household members, unless specifically exempted, are required to complete the background check packet. Federal law requires rescreening through the background check process no less than once every five years. Additional documentation on health and safety compliance is also required.

7. Duplication:

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

8. Alternatives:

There are no alternatives to this rule. Federal and State law require compliance in September 2019.

9. Federal standards:

This rule is consistent with applicable federal requirements to conduct background checks and, annual inspections, enhance of health and safety standards, and impose annual training standards for child care programs.

10. Compliance Schedule:

This rule becomes effective September 25, 2019.

Revised Regulatory Flexibility Analysis

1. Effect on small businesses and local governments:

This rule affects all local social services districts, legally-exempt caregiver enrollment agencies, and providers of legally-exempt child care across New York State.

2. Compliance requirements:

Enhanced background checks require prospective and existing legally-exempt child care providers, employees, volunteers and adult family child care household members, unless specifically exempted by statute, to complete and submit clearance paperwork. These clearances need to be repeated no less than once every five years.

All legally-exempt child care providers, employees and volunteers, unless specifically exempted by statute, are required to obtain a minimum of five hours of training annually addressing required topics.

All legally-exempt child care providers except for relative-only provid-

ers are required to be inspected on an annual basis in order to maintain their enrollment to receive child care subsidy funds.

All legally-exempt child care providers are required to have a written emergency plan for the safe and timely evacuation of children.

All legally-exempt group child care programs are required to complete and comply with an expanded health and safety checklist and submit compliance related documentation.

Local social services districts will need to replace current forms that they distribute to child care assistance applicants with revised forms that will be provided by OCFS. The regulations will alleviate some districts from imposing certain additional standards on individuals applying to be an enrolled legally-exempt child care provider. For example, some districts require a background check and/or an annual inspection in order for a program to provide subsidized child care services. These regulations will impose such standards on a consistent basis at the state level for legally-exempt child care programs seeking to provide subsidized child care services.

Enrollment agencies will be responsible for processing enrollment applications, including relevant portions of the background checks process, inspecting child care programs for compliance with regulatory requirements, including the enhanced health and safety standards and verification of the annual training requirements.

3. Professional services:

This rule imposes no requirements for professional services upon small businesses or local governments.

4. Compliance costs:

The costs associated with the proposed changes in the child care regulations that are necessary to implement statutory authority pursuant to the Child Care and Development Block Grant Act (CCDBG) of 2014 are significant but are largely born by OCFS. New requirements around enhanced background checks, annual inspections, and additional annual training of legally-exempt child care providers have been estimated to cost approximately \$43 million. At this time, OCFS does not intend to pass the costs related to inspections, training or criminal background checks on to providers, except for the \$25 processing fee for conducting a check of the Statewide Central Registry of Child Abuse and Maltreatment. Compliance with the enhanced background checks and additional training requirements is anticipated to be the primary fiscal burden for child care providers due to time lost from providing care. However, the Office offers a variety of training courses, at no cost to child care programs, that would satisfy the proposed annual training requirement for providers of legally-exempt child care. For those providers that use the Office training courses to satisfy this requirement, the costs will be minimal.

5. Economic and technological feasibility:

This rule has minimal economic or technological impact to small business or local governments.

6. Minimizing adverse impact:

This rule will have minimal adverse impact on small business or local governments. Prior to developing this rule, OCFS collected stakeholder input and developed the standards in a way to minimize a detrimental impact and avoid undue costs. OCFS has exempted relative-only legally-exempt child care providers from the background and inspection requirements. Additionally, these regulations only establish minimal health and safety standards to the same level of licensed and registered health and safety standards.

7. Small business and local government participation:

OCFS sought input and received and considered comments from legally exempt child care directors, providers, and owners during forums and conferences. The Civil Service Employees Association (CSEA) and the United Federation of Teachers (UFT) provided feedback and comments in the development of the proposed regulations. OCFS has also led discussions and received comment on regulations at professional conferences and forums.

Revised Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

This rule applies statewide including to any legally exempt child care programs operating in rural areas of the state. 18 NYCRR Subpart 358-3 and Parts 403, 404, 405, 406 and 415 affect local social services districts, legally-exempt caregiver enrollment agencies, and providers of legally-exempt child care in all 44 rural areas of the State.

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

This rule is necessary to implement statutory requirements pursuant to the federal Child Care and Development Block Grant Act (CCDBG) of 2014 and corresponding changes to the New York Social Services Law (SSL). This legislation requires enhanced background checks and annual inspections of legally-exempt child care providers. There is an increase in record keeping associated with the proposed changes in background checks. Prospective and existing providers, employees, volunteers and

adult family child care household members, unless specifically exempted, are required to complete the background check. Federal law requires rescreening through the background check process no less than once every five years. Additional documentation on health and safety compliance is also required.

3. Costs:

The costs associated with this rule are necessary to implement requirements under the CCDBG Act of 2014. While such costs are significant, they are largely born by the Office of Children and Family Services (OCFS). New requirements around enhanced background checks, annual inspections, and additional annual training of legally-exempt child care providers have been estimated to cost approximately \$43 million. At this time, OCFS does not intend to pass the costs related to inspections, training or criminal background checks on to providers, except for the \$25 processing fee for conducting a check of the Statewide Central Registry of Child Abuse and Maltreatment. Compliance with the enhanced background checks and additional training requirements is anticipated to be the primary fiscal burden for child care providers due to time lost from providing care. However, the Office offers a variety of training courses, at no cost to child care programs, that would satisfy the proposed annual training requirement for providers of legally-exempt child care. For those providers that use the Office training courses to satisfy this requirement, the costs will be minimal.

4. Minimizing adverse impact:

This rule will have minimal adverse impact on child care programs or local social services districts in rural areas. Prior to developing this rule, OCFS collected stakeholder input and developed the standards in a way to minimize a detrimental impact and avoid undue costs. OCFS has exempted relative-only legally-exempt child care providers from the background and inspection requirements. Additionally, these regulations only establish minimal health and safety standards. These requirements do not raise the legally-exempt health and safety standards to the same level of licensed and registered health and safety standards.

5. Rural area participation:

OCFS received comment from legally exempt child care directors, providers and owners during forums and conferences. The Civil Service Employees Association (CSEA) and the United Federation of Teachers (UFT) provided feedback and comment in the development of the proposed regulations. OCFS has also led discussions and received comment on regulations at professional conferences and forums.

Revised Job Impact Statement

1. Nature of Impact:

This rule may impact job opportunities for providers and caregivers at legally exempt child care programs in New York State. The provisions set forth require enhanced background clearances for such persons. As such, an individual may be denied an opportunity or terminated from a position if such background checks produce a criminal history or other information that makes the individual inappropriate for the position. All such background checks are mandated by federal law.

2. Categories and Numbers Affected:

It is anticipated that there are 60,000 legally exempt providers and caregivers subject to this process.

3. Regions of Adverse Impact:

This rule applies through-out New York.

4. Minimizing Adverse Impact:

For non-mandatory disqualifying offenses, the Office is implementing a fair hearing process for anyone denied a role.

Assessment of Public Comment

Following publication of the Notice of Proposed Rule Making in the State Register on September 25, 2019, the Office of Children and Family Services (OCFS) received over 400 comments regarding the regulatory package for legally exempt providers. These comments came from parents, providers, service providers, and child care advocacy groups. The comments received addressed the overall regulatory process, definitions, background clearances, itinerant services, summer camps, safe sleep, inspections, and emergency medical services. After a careful review of public comment, OCFS has revised its regulations where possible to ease burdens on providers, parents, and to allow children to obtain necessary services under Individuals with Disabilities Education Act (IDEA). Such revisions are done in a manner that will not jeopardize the health and safety of children in care, and to align with federal and state law.

GENERAL

Comments were received about the regulatory process, volume of the regulations, form revisions, and ability to access regulatory text. OCFS has reviewed these comments and determined to not make any substantive change to the regulations as a result. The full assessment of public comment addresses each of the comments received.

DEFINITIONS

Comments were received about the definition of a child with special

needs and the term engaged in work. OCFS has reviewed these comments and determined to make substantive change to the regulations as a result. The definition of child with special need has been revised to more closely match the classifications used in IDEA. The definition of engaged in work has been revised to exempt foster families from the twenty-hour minimum work requirement. This revision will clarify that a foster parent's income and work hours is not used in determining eligibility of child care assistance for a foster child. The full assessment of public comment addresses each of these comments received.

BACKGROUND CLEARANCES

Comments were received about allowing provisional employment while background check results were pending, the timeframe and process to conduct the checks, how the checks apply to summer employment and employment at multiple programs, the need to conduct subsequent checks every five years, clarification of forms and available electronic processes, applicability of fees, and exemptions for individuals of a certain age. OCFS has reviewed these comments and determined to make substantive change to the regulations as a result. The regulations have been revised to align with the federal option to allow employees to begin work after completing either the State criminal background clearance, or the FBI clearance, provided that employees shall be supervised until the background check eligibility determination has been provided to the program. OCFS has determined to not make any other substantive change to the regulations. The full assessment of public comment addresses each of the comments received.

ITINERANT SERVICES

Comments were received about allowing itinerant services (which includes special education services such as occupational therapy, speech therapy, physical therapy among others) to be able to provide services one-on-one without direct supervision from staff from the child care program. OCFS has reviewed these comments and determined to make substantive changes to the regulations as a result. OCFS has revised the regulation to authorize itinerant providers to receive a comprehensive background check by considering them volunteers solely for the purpose of the background check process. Itinerant service providers who undergo the full background clearance process as volunteers will be able to serve children one on one. The full assessment of public comment addresses each of the comments received.

SUMMER CAMPS

Comments were received about the applicability to summer camps. OCFS has reviewed the comments and determined that no changes are necessary in response to these comments. Summer camps that will be serving children via child care subsidy are considered enrolled legally-exempt providers and, as such, are subject to comprehensive background checks under both federal and state law. OCFS is committed to working with the enrollment agencies and local districts to determine how summer camps can complete the full enrollment process in a more expeditious manner in order to allow families in receipt of subsidy to continue to utilize these enrolled legally-exempt group programs in a meaningful way. The full assessment of public comment addresses each of the comments received.

SAFE SLEEP

Comments were received about the prohibition of blankets in cribs. OCFS has reviewed the comment and determined no changes in the proposed regulations are necessary. The regulation was updated to align with NYS Dept of Health's Safe Sleep Initiative and American Academy of Pediatrics. The use of a wearable blanket, such as a sleep sack is not prohibited by this regulation. The full assessment of public comment addresses each of the comments received.

INSPECTIONS

A comment was received about inspectors accessing the entire dwelling, as opposed to just the location of the daycare. OCFS has reviewed the comment and determined no changes in the proposed regulations are necessary. Inspections are required by federal law and regulation. Please note, while the frequency for inspecting legally-exempt programs located in homes has changed, the proposed regulations have not changed as they relate to what areas of the home may be inspected. The full assessment of public comment addresses each of the comments received.

EMERGENCY MEDICAL SERVICES

A comment was received about the ability to send a child in an ambulance when the emergency medical service worker is not an employee of the child care program. OCFS has reviewed the comment and determined no changes in the proposed regulations are necessary. The regulation that children can only be with a person who is cleared specifically relates individuals seeking to be enrolled/licensed/registered, volunteer, work, visit, or live at a day care program. The provider must arrange for emergency medical services necessary for the health and safety of the children in the program. The full assessment of public comment addresses each of the comments received.

Department of Civil Service

NOTICE OF EXPIRATION

The following notice has expired and cannot be reconsidered unless the Department of Civil Service publishes a new notice of proposed rule making in the *NYS Register*.

Jurisdictional Classification

I.D. No.	Proposed	Expiration Date
CVS-06-19-00001-P	February 6, 2019	February 6, 2020

Education Department

EMERGENCY RULE MAKING

Annual Professional Performance Reviews of Classroom Teachers and Building Principals

I.D. No. EDU-43-19-00012-E

Filing No. 93

Filing Date: 2020-02-07

Effective Date: 2020-02-07

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

Action taken: Repeal of Subpart 30-2; renumbering of Subpart 30-3 to 30-2; addition of new Subpart 30-3 to Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 215, 305, 3009, 3012-d; L. 2019, ch. 59, part YYY

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

Specific reasons underlying the finding of necessity: The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures
 - o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).
 - [] All educators would instead have a Student Learning Objective (SLO).
 - o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.
 - o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.
- Optional Student Performance Measures
 - o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

[] Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

The changes made to Education Law § 3012-d became effective on April 1, 2019 and the proposed amendment implements those requirements.

The proposed amendment was presented to the Full Board for adoption as an emergency action at the October 2019 meeting of the Board of Regents, effective October 8, 2019. A second emergency measure was adopted at the December 2019 meeting of the Board of Regents, effective December 10, 2019. Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for permanent adoption, after expiration of the required 60-day comment period provided for in the State Administrative Procedure Act (SAPA) Sections 202(1) and (5), is the

February 2020 Regents meeting. Furthermore, pursuant to SAPA Section 203(1), the earliest effective date of the proposed amendment, if adopted at the February Regents meeting, is February 26, 2020, the date a Notice of Adoption would be published in the State Register. However, the December 2019 emergency rule will expire on February 7, 2020. This emergency action is therefore necessary now for the preservation of the general welfare in order to conform Subpart 30 of the Rules of the Board of Regents with the amendments made to Education Law § 3012-d, as amended by Chapter 59 of the Laws of 2019 and to ensure that the emergency rule remains in effect until it can be adopted as a permanent rule.

It is anticipated that the proposed amendment will be presented for adoption as a permanent rule at the February 2020 Regents meeting, which is the first scheduled meeting after the 60-day public comment period prescribed in SAPA for State agency rule makings.

Subject: Annual Professional Performance Reviews of Classroom Teachers and Building Principals.

Purpose: Necessary to implement part YYY of chapter 59 of the Laws of 2019.

Substance of emergency rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/full-text-indices>): The purpose of the proposed regulation is to align the Commissioner's Regulation's with the amendments made to Education Law § 3012-d by Part YYY of Chapter 59 of the Laws of 2019 relating to annual professional performance reviews of classroom teachers and building principals.

The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures
 - o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).

[] All educators would instead have a Student Learning Objective (SLO).

- o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.

o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.

- Optional Student Performance Measures
 - o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

[] Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

- o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

Although the Enacted Budget makes significant changes to the Student Performance Category of the evaluation system, it does not substantively change any other aspects of the current system, including:

- Requirements for teacher observations and principal school visits, including the requirement that at least one be conducted by an independent evaluator.
- Requirements for calculating overall ratings using the statutory matrix.
- Requirements for teacher and principal improvement plans for educators who receive an overall rating of Developing or Ineffective in the prior school year.
- Requirements for summative evaluation ratings to be a "significant factor" in all employment-related decisions.

The proposed rule conforms the regulations to the provisions of the 2019 legislation by making the following substantive changes to Subparts 30-2 and 30-3 of the Rules of the Board of Regents.

The existing Subpart 30-2, relating to evaluations conducted pursuant to Education Law § 3012-c, is repealed.

The existing Subpart 30-3 is renumbered to Subpart 30-2. The title of this new Subpart 30-2 and sections 30-2.1, 30-2.3, and 30-2.17 are amended to clarify that Subpart 30-2 only applies to APPRs conducted prior to the 2019-20 school year or those conducted pursuant to a collective bargaining agreement (CBA) entered into on or before April 12, 2019 which remains in effect on or after April 12, 2019 until a subsequent agreement is reached; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement.

A new Subpart 30-3 is added to implement the amended evaluation law. Where practicable, existing requirements for teacher and principal evaluations are carried over in their entirety. Below is a description of the areas where substantive changes from existing requirements have been made to implement the provisions of Chapter 59 of the Laws of 2019.

Section 30-3.1 clarifies that the new evaluation system only applies to CBAs entered into after April 12, 2019. It further clarifies that nothing in the new Subpart shall be construed to abrogate any conflicting provisions of any CBA in effect on and after April 12, 2019 during the term of such agreement and until entry into a successor CBA; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement. As required by the Education Law, it further clarifies that APPRs shall be a significant factor for employment decisions and teacher and principal development, consistent with the requirements of the law. It also clarifies the unfettered right to terminate a probationary teacher or principal for any statutorily and constitutionally permissible reason.

Section 30-3.4 describes the standards and criteria for conducting APPRs of classroom teachers under the amended law. The law requires teachers to be evaluated based on two categories: the student performance category and the teacher observation category.

Section 30-3.5 describes the standards and criteria for conducting APPRs of building principals under the amended law. The law requires the Commissioner to establish a principal evaluation system that is aligned to the teacher evaluation system set forth in Education Law § 3012-d. To implement the law, the proposed amendment requires building principals to be evaluated based on two categories: the student performance category and the school visit category.

Section 30-3.16 describes a process which permits a district or BOCES to apply for a variance from one or more of the provisions of this Subpart to meet specific needs and circumstances of the district or BOCES so long as such plan remains consistent with the requirements of Education Law § 3012-d.

Section 30-3.17 provides for the severability of each section of this Subpart.

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-43-19-00012-EP, Issue of October 23, 2019. The emergency rule will expire April 6, 2020.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, Education Department, 89 Washington Avenue, Room 148, 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 215 authorizes the Regents to visit and inspect any educational institution under its supervision in the state and to require reporting from such institutions.

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 3012-d provides for the development and implementation of annual professional performance reviews of teachers and principals.

Chapter 59 of the Laws of 2019 amends provisions of Education Law 3012-d relating to the development and implementation of periodic professional performance reviews of teachers and principals.

2. LEGISLATIVE OBJECTIVES:

The proposed amendments to the requirements for Annual Professional Performance Review plans are consistent with the above statutory authority and are necessary to conform the Commissioner's Regulations to Part YYY of Chapter 59 of the laws of 2019. The purpose of the proposed amendment is to improve the quality of teaching and learning by ensuring that teachers and school leaders receive annual evaluations consistent with the State's Teaching and Leadership Standards leading to opportunities for professional growth and to meet the learning needs of their students.

3. NEEDS AND BENEFITS:

The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures
 - o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).

[] All educators would instead have a Student Learning Objective (SLO).

- o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.

- o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.

- Optional Student Performance Measures

- o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

[] Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

- o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

Although the Enacted Budget makes significant changes to the Student Performance Category of the evaluation system, it does not substantively change any other aspects of the current system, including:

- Requirements for teacher observations and principal school visits, including the requirement that at least one be conducted by an independent evaluator.

- Requirements for calculating overall ratings using the statutory matrix.

- Requirements for teacher and principal improvement plans for educators who receive an overall rating of Developing or Ineffective in the prior school year.

- Requirements for summative evaluation ratings to be a "significant factor" in all employment-related decisions.

The proposed rule conforms the regulations to the provisions of the 2019 legislation by making the following substantive changes to Subparts 30-2 and 30-3 of the Rules of the Board of Regents.

The existing Subpart 30-2, relating to evaluations conducted pursuant to Education Law § 3012-c, is repealed.

The existing Subpart 30-3 is renumbered to Subpart 30-2. The title of this new Subpart 30-2 and sections 30-2.1, 30-2.3, and 30-2.17 are amended to clarify that Subpart 30-2 only applies to APPRs conducted prior to the 2019-20 school year or those conducted pursuant to a collective bargaining agreement (CBA) entered into on or before April 12, 2019 which remains in effect on or after April 12, 2019 until a subsequent agreement is reached; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement.

A new Subpart 30-3 is added to implement the amended evaluation law.

Where practicable, existing requirements for teacher and principal evaluations are carried over in their entirety. Below is a description of the areas where substantive changes from existing requirements have been made to implement the provisions of Chapter 59 of the Laws of 2019.

Section 30-3.1 clarifies that the new evaluation system only applies to CBAs entered into after April 12, 2019. It further clarifies that nothing in the new Subpart shall be construed to abrogate any conflicting provisions of any CBA in effect on and after April 12, 2019 during the term of such agreement and until entry into a successor CBA; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement. As required by the Education Law, it further clarifies that APPRs shall be a significant factor for employment decisions and teacher and principal development, consistent with the requirements of the law. It also clarifies the unfettered right to terminate a probationary teacher or principal for any statutorily and constitutionally permissible reason.

Section 30-3.4 describes the standards and criteria for conducting APPRs of classroom teachers under the amended law. The law requires teachers to be evaluated based on two categories: the student performance category and the teacher observation category.

Section 30-3.5 describes the standards and criteria for conducting APPRs of building principals under the amended law. The law requires the Commissioner to establish a principal evaluation system that is aligned to

the teacher evaluation system set forth in Education Law § 3012-d. To implement the law, the proposed amendment requires building principals to be evaluated based on two categories: the student performance category and the school visit category.

Section 30-3.16 describes a process which permits a district or BOCES to apply for a variance from one or more of the provisions of this Subpart to meet specific needs and circumstances of the district or BOCES so long as such plan remains consistent with the requirements of Education Law § 3012-d.

Section 30-3.17 provides for the severability of each section of this Subpart.

4. COSTS:

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

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

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

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

- The proposed amendment does not impose any additional paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

- Because the State believes that Annual Professional Performance Review plans are required across the State, no alternatives were considered.

9. FEDERAL STANDARDS:

- There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

A Notice of Emergency Adoption and Proposed Rule Making will be published in the State Register on October 30, 2019. The proposed amendment will become effective as an emergency rule on October 8, 2019. It is anticipated that the rule will be presented for permanent adoption at the February Regents meeting, after publication of the proposed amendment in the State Register and expiration of the 60-day public comment period required pursuant to the State Administrative Procedure Act. It is also expected that a second emergency action will be necessary at the December 2019 Regents meeting to ensure that the emergency rule remains in effect until it can be adopted as a permanent rule.

Regulatory Flexibility Analysis

The purpose of the proposed amendment is to conform the Department's regulations to statutory amendments to Education Law 3012-d pursuant to Part XXX of Chapter 59 of the Laws of 2019. The purpose of the regulations is to improve the quality of teaching and learning by ensuring that teachers and school leaders receive annual evaluations consistent with the State's Teaching and Leadership Standards leading to opportunities for professional growth and to meet the learning needs of their students.

The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures

- o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).

[] All educators would instead have a Student Learning Objective (SLO).

- o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.

- o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.

- Optional Student Performance Measures

- o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

[] Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

- o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

Although the Enacted Budget makes significant changes to the Student Performance Category of the evaluation system, it does not substantively change any other aspects of the current system, including:

- Requirements for teacher observations and principal school visits, including the requirement that at least one be conducted by an independent evaluator.
- Requirements for calculating overall ratings using the statutory matrix.
- Requirements for teacher and principal improvement plans for educators who receive an overall rating of Developing or Ineffective in the prior school year.
- Requirements for summative evaluation ratings to be a “significant factor” in all employment-related decisions.

The proposed rule conforms the regulations to the provisions of the 2019 legislation by making the following substantive changes to Subparts 30-2 and 30-3 of the Rules of the Board of Regents.

The existing Subpart 30-2, relating to evaluations conducted pursuant to Education Law § 3012-c, is repealed.

The existing Subpart 30-3 is renumbered to Subpart 30-2. The title of this new Subpart 30-2 and sections 30-2.1, 30-2.3, and 30-2.17 are amended to clarify that Subpart 30-2 only applies to APPRs conducted prior to the 2019-20 school year or those conducted pursuant to a collective bargaining agreement (CBA) entered into on or before April 12, 2019 which remains in effect on or after April 12, 2019 until a subsequent agreement is reached; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement.

A new Subpart 30-3 is added to implement the amended evaluation law.

Where practicable, existing requirements for teacher and principal evaluations are carried over in their entirety. Below is a description of the areas where substantive changes from existing requirements have been made to implement the provisions of Chapter 59 of the Laws of 2019.

Section 30-3.1 clarifies that the new evaluation system only applies to CBAs entered into after April 12, 2019. It further clarifies that nothing in the new Subpart shall be construed to abrogate any conflicting provisions of any CBA in effect on and after April 12, 2019 during the term of such agreement and until entry into a successor CBA; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement. As required by the Education Law, it further clarifies that APPRs shall be a significant factor for employment decisions and teacher and principal development, consistent with the requirements of the law. It also clarifies the unfettered right to terminate a probationary teacher or principal for any statutorily and constitutionally permissible reason.

Section 30-3.4 describes the standards and criteria for conducting APPRs of classroom teachers under the amended law. The law requires teachers to be evaluated based on two categories: the student performance category and the teacher observation category.

Section 30-3.5 describes the standards and criteria for conducting APPRs of building principals under the amended law. The law requires the Commissioner to establish a principal evaluation system that is aligned to the teacher evaluation system set forth in Education Law § 3012-d. To implement the law, the proposed amendment requires building principals to be evaluated based on two categories: the student performance category and the school visit category.

Section 30-3.16 describes a process which permits a district or BOCES to apply for a variance from one or more of the provisions of this Subpart to meet specific needs and circumstances of the district or BOCES so long as such plan remains consistent with the requirements of Education Law § 3012-d.

Section 30-3.17 provides for the severability of each section of this Subpart.

The amendment does not impose any new recordkeeping or other compliance requirements and will not have an adverse economic impact on small businesses or local governments. 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 none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

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

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

The proposed amendments are necessary to conform the Department's regulations to statutory amendments to Education Law 3012-d pursuant to Part XXX of Chapter 59 of the Laws of 2019. The purpose of the regulations is to improve the quality of teaching and learning by ensuring that teachers and school leaders receive annual evaluations consistent with the State's Teaching and Leadership Standards leading to opportunities for professional growth and to meet the learning needs of their students.

The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures

- o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).

- o All educators would instead have a Student Learning Objective (SLO).

- o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.

- o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.

- Optional Student Performance Measures

- o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

- o Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

- o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

Although the Enacted Budget makes significant changes to the Student Performance Category of the evaluation system, it does not substantively change any other aspects of the current system, including:

- Requirements for teacher observations and principal school visits, including the requirement that at least one be conducted by an independent evaluator.

- Requirements for calculating overall ratings using the statutory matrix.

- Requirements for teacher and principal improvement plans for educators who receive an overall rating of Developing or Ineffective in the prior school year.

- Requirements for summative evaluation ratings to be a “significant factor” in all employment-related decisions.

The proposed rule conforms the regulations to the provisions of the 2019 legislation by making the following substantive changes to Subparts 30-2 and 30-3 of the Rules of the Board of Regents.

The existing Subpart 30-2, relating to evaluations conducted pursuant to Education Law § 3012-c, is repealed.

The existing Subpart 30-3 is renumbered to Subpart 30-2. The title of this new Subpart 30-2 and sections 30-2.1, 30-2.3, and 30-2.17 are amended to clarify that Subpart 30-2 only applies to APPRs conducted prior to the 2019-20 school year or those conducted pursuant to a collective bargaining agreement (CBA) entered into on or before April 12, 2019 which remains in effect on or after April 12, 2019 until a subsequent agreement is reached; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement.

A new Subpart 30-3 is added to implement the amended evaluation law.

Where practicable, existing requirements for teacher and principal evaluations are carried over in their entirety. Below is a description of the areas where substantive changes from existing requirements have been made to implement the provisions of Chapter 59 of the Laws of 2019.

Section 30-3.1 clarifies that the new evaluation system only applies to CBAs entered into after April 12, 2019. It further clarifies that nothing in the new Subpart shall be construed to abrogate any conflicting provisions of any CBA in effect on and after April 12, 2019 during the term of such agreement and until entry into a successor CBA; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement. As required by the

Education Law, it further clarifies that APPRs shall be a significant factor for employment decisions and teacher and principal development, consistent with the requirements of the law. It also clarifies the unfettered right to terminate a probationary teacher or principal for any statutorily and constitutionally permissible reason.

Section 30-3.4 describes the standards and criteria for conducting APPRs of classroom teachers under the amended law. The law requires teachers to be evaluated based on two categories: the student performance category and the teacher observation category.

Section 30-3.5 describes the standards and criteria for conducting APPRs of building principals under the amended law. The law requires the Commissioner to establish a principal evaluation system that is aligned to the teacher evaluation system set forth in Education Law § 3012-d. To implement the law, the proposed amendment requires building principals to be evaluated based on two categories: the student performance category and the school visit category.

Section 30-3.16 describes a process which permits a district or BOCES to apply for a variance from one or more of the provisions of this Subpart to meet specific needs and circumstances of the district or BOCES so long as such plan remains consistent with the requirements of Education Law § 3012-d.

Section 30-3.17 provides for the severability of each section of this Subpart.

3. COSTS:

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

4. MINIMIZING ADVERSE IMPACT:

The Department is required by Education Law 3012-d to develop uniform standards for Annual Professional Performance Review plans 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 §§ 30-2 and 30-3 of the Rules of the Board of Regents is to update Annual Professional Performance Review (APPR) requirements for school districts and BOCES. Under existing regulations, school districts and BOCES are required to develop Annual Professional Performance Review plans. The purpose of these plans is to improve the quality of teaching and learning by ensuring that teachers and school leaders receive annual evaluations consistent with the State's Teaching and Leadership Standards leading to opportunities for professional growth and to meet the learning needs of their students.

The Department is proposing to revise the requirements for APPR plans to ensure that these regulations are consistent with statutory amendments to Education Law 3012-d pursuant to Chapter 59 of the Laws of 2019. The Department is also repealing and replacing certain regulations related to APPR plans for teachers and school leaders only relevant to Education Law 3012-c, which is only applicable to APPRs conducted prior to the 2016-17 school year.

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

Following publication of the Notice of Emergency Adoption and Proposed Rule Making on October 23, 2019, the Department received the following comments on the proposed amendment:

1. COMMENT: A commenter opined that the evaluation of building level administrators should look very different from teacher evaluations since their roles, tasks and focuses are different. The commenter stated that Education Law § 3012-d supports a more flexible process than has been reflected in the proposed regulation citing section 3012-d(14) which states that "[t]he commissioner shall adopt regulations to align the principal evaluation system as set forth in section three thousand twelve-c of this article with the new teacher evaluation system set forth herein" (emphasis added). Specifically, the commenter recommends that:

- Evaluations of building principals be comprised of a student performance and a professional evaluation component, but in the broadest terms possible. Section 30-3.5(b)(1)(i) of the proposed regulation states that a principal must have an SLO which consists of specific learning content, interval of instruction time, evidence of meeting academic instructional goals, and baseline and targets for assessments. The commenter states that the proposed wording is more pertinent to teachers and not appropriate for a principal evaluation since principals do not provide instruction as their primary responsibility. The commenter states that the measures of student performance for building level principals should be flexible and allow for multiple types and measures of student performance and that there should be no SLO requirement for principals.

- Section 30-3.5(c) of the proposed regulation that requires a principal school visit be revised to allow a process more aligned to how superintendents can more effectively evaluate building principals. The commenter states that the professional evaluation component should be collectively bargained to meet local needs and that such professional evaluations could include observations of principals in a wide range of settings and methods. They further note that there should be no Independent Evaluator, or related scoring, required for principals, and there should be one or more supervisor visits as negotiated. The commenter writes that the professional evaluation component should allow for a district of building goal setting process that demonstrates how principals meet building level priorities consistent with their scope of responsibility. They note that although Education Law § 3012-d(6) prohibits the use of "professional goal setting as evidence of effectiveness", the definition of professional goal setting has not been set forth, and should not be confused with a goal-setting process that is related to district or building initiatives.

RESPONSE: These comments are currently under consideration by the Department.

2. A commenter wrote that they object to the process in the proposed regulations relating to the newly proposed variances. Specifically, the commenter discusses section 30-3.16(c)(7) of the proposed regulation which requires districts to submit an approval plan that complies with all of the proposed regulations and then submit another plan that responds to the request for a variance from the regulations. They state that this requires the district to develop two plans (and as many as four if variances are sought for both teacher and principals) which is an extremely burdensome requirement. They also note that it would result in two (or four) sets of collective bargaining negotiations, which would be a "built-in disincentive" to the pursuit of variances.

RESPONSE: In order for the Department to determine whether a district or BOCES requires a variance in order to implement new and innovative approaches to evaluation to meet the specific needs of such district or BOCES, it is necessary for them to submit a separate application to the Department in order to determine that the district or BOCES has such need and that such variance remains consistent with the requirement of Education Law § 3012-d. Additionally, if a district or BOCES only submits a variance plan and not a full approval plan, they could potentially lose their eligibility for State aid increases if they did not renew their variance prior to its expiration date. Further, if the commissioner withdraws the approval of a district's or BOCES's variance plan for good cause, they would not have a full approval plan to fall back on. Therefore, no change is necessary.

3. COMMENT: A commenter recommends that the approval process for teacher and principal evaluations be separate since the teacher and principal evaluations are each collectively bargained separately and not necessarily conducted simultaneously.

RESPONSE: The Department has considered this comment, however, there are both logistic and practical reasons for requiring a single evaluation plan. First, in order to streamline the approval process by the Department both the teacher and principal evaluations should be submitted together. Second, a number of decisions that are made in the course of collective bargaining with each bargaining unit could impact the obligations of the corresponding bargaining unit and/or have adverse impacts on students if not considered together. For example, the decision made regarding the frequency and duration of observations for each teacher has a direct impact on the training and workload of the principals in a school district. Additionally, students could be forced to sit for multiple assessments in the same grade and subject if teachers and principals bargained different assessments to included in their evaluations. Therefore, no change is necessary.

NOTICE OF EMERGENCY ADOPTION AND REVISED RULE MAKING NO HEARING(S) SCHEDULED

Annual Professional Performance Reviews of Classroom Teachers and Building Principals

I.D. No. EDU-43-19-00012-ERP

Filing No. 123

Filing Date: 2020-02-11

Effective Date: 2020-02-11

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

Action Taken: Repeal of Subpart 30-2; renumbering of Subpart 30-3 to 30-2; addition of new Subpart 30-3 to Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 215, 305, 3009, 3012-d; L. 2019, ch. 59, part YYY

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

Specific reasons underlying the finding of necessity: The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures
 - o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).
- [] All educators would instead have a Student Learning Objective (SLO).
 - o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.
 - o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.
- Optional Student Performance Measures
 - o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

[] Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

The changes made to Education Law § 3012-d became effective on April 1, 2019 and the proposed amendment implements those requirements.

The proposed amendment was presented to the Full Board for adoption as an emergency action at the October 2019 meeting of the Board of Regents, effective October 8, 2019. Following the required 60-day comment period provided for in the State Administrative Procedure Act (SAPA) Sections 202(1) and (5), the Department has revised the proposed amendment in response to public comment. Because the Board of Regents meets at scheduled intervals, the earliest the revised 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, is the May 2020 Regents meeting. However, because Section 52-m of Part YYY of Chapter 59 of the Laws of 2019 became effective on April 1, 2019, emergency action is necessary now for the preservation of the general welfare in order to conform Subpart 30 of the Rules of the Board of Regents with the amendments made to Education Law § 3012-d, as amended by Chapter 59 of the Laws of 2019.

Subject: Annual Professional Performance Reviews of Classroom Teachers and Building Principals.

Purpose: Necessary to implement part YYY of chapter 59 of the Laws of 2019.

Substance of emergency/revised rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/full-text-indices>): The purpose of the proposed regulation is to align the Commissioner's Regulation's with the amendments made to Education Law § 3012-d by Part YYY of Chapter 59 of the Laws of 2019 relating to annual professional performance reviews of classroom teachers and building principals.

The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures
 - o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).
- [] All teachers would instead have a Student Learning Objective (SLO);
- [] Building principals may have SLOs or as an alternative to SLOs, building principals may be evaluated based on an input model process using evidence of principal practice that promotes student growth related to the Leadership Standards.
 - o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.
 - o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.
- Optional Student Performance Measures
 - o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

[] Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

Although the Enacted Budget makes significant changes to the Student Performance Category of the evaluation system, it does not substantively change any other aspects of the current system, including:

- Requirements for teacher observations and principal school visits, including the requirement that at least one be conducted by an independent evaluator.
- Requirements for calculating overall ratings using the statutory matrix.
- Requirements for teacher and principal improvement plans for educators who receive an overall rating of Developing or Ineffective in the prior school year.
- Requirements for summative evaluation ratings to be a "significant factor" in all employment-related decisions.

The proposed rule conforms the regulations to the provisions of the 2019 legislation by making the following substantive changes to Subparts 30-2 and 30-3 of the Rules of the Board of Regents.

The existing Subpart 30-2, relating to evaluations conducted pursuant to Education Law § 3012-c, is repealed.

The existing Subpart 30-3 is renumbered to Subpart 30-2. The title of this new Subpart 30-2 and sections 30-2.1, 30-2.3, and 30-2.17 are amended to clarify that Subpart 30-2 only applies to APPRs conducted prior to the 2019-20 school year or those conducted pursuant to a collective bargaining agreement (CBA) entered into on or before April 12, 2019 which remains in effect on or after April 12, 2019 until a subsequent agreement is reached; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement.

A new Subpart 30-3 is added to implement the amended evaluation law.

Where practicable, existing requirements for teacher and principal evaluations are carried over in their entirety. Below is a description of the areas where substantive changes from existing requirements have been made to implement the provisions of Chapter 59 of the Laws of 2019.

Section 30-3.1 clarifies that the new evaluation system only applies to CBAs entered into after April 12, 2019. It further clarifies that nothing in the new Subpart shall be construed to abrogate any conflicting provisions of any CBA in effect on and after April 12, 2019 during the term of such agreement and until entry into a successor CBA; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement. As required by the Education Law, it further clarifies that APPRs shall be a significant factor for employment decisions and teacher and principal development, consistent with the requirements of the law. It also clarifies the unfettered right to terminate a probationary teacher or principal for any statutorily and constitutionally permissible reason.

Section 30-3.4 describes the standards and criteria for conducting APPRs of classroom teachers under the amended law. The law requires teachers to be evaluated based on two categories: the student performance category and the teacher observation category.

Section 30-3.5 describes the standards and criteria for conducting APPRs of building principals under the amended law. The law requires the Commissioner to establish a principal evaluation system that is aligned to the teacher evaluation system set forth in Education Law § 3012-d. To implement the law, the proposed amendment requires building principals to be evaluated based on two categories: the student performance category and the school visit category.

Section 30-3.16 describes a process which permits a district or BOCES to apply for a variance from one or more of the provisions of this Subpart to meet specific needs and circumstances of the district or BOCES so long as such plan remains consistent with the requirements of Education Law § 3012-d.

Section 30-3.17 provides for the severability of each section of this Subpart.

This notice is intended to serve as both a notice of emergency adoption and a notice of revised rule making. The notice of proposed rule making was published in the *State Register* on October 23, 2019, I.D. No. EDU-43-19-00012-EP. The emergency rule will expire April 10, 2020.

Emergency rule compared with proposed rule: Substantial revisions were made in sections 30-3.4(b)(2)(i), 30-3.5(b)(1), (2) and 30-3.16.

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) 474-6400, email: leagl@nysed.gov

Data, views or arguments may be submitted to: Alexander Trikalinos, Office of Educator Quality and Professional Development, 89 Washington Avenue, 360EBA, Albany, NY 12234, (518) 486-2573, email: REGCOMMENTS@nysed.gov

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

Revised Regulatory Impact Statement

Since publication of a Notice of Proposed Rule Making and Emergency Adoption in the State Register on October 23, 2019, substantial revisions were made to the proposed rule. The Department revised the proposed amendment as follows:

- For the required subcomponent of the student performance category for building principals, as an alternative to student learning objectives (SLO), building principals may be evaluated based on an input model process using evidence of principal practice that promotes student growth related to the Leadership Standards. This option is now also available for the optional subcomponent of the student performance category;
- For the principal school visit category, the proposed amendment has been revised to clarify that multiple sources of evidence of professional performance may be collected and incorporated into the school visit protocol to better reflect school leadership practice and support actionable feedback to building principals; and
- Section 30-3.16 of the proposed amendment has been revised to clarify that a district seeking a variance may, subject to collective bargaining to the extent required under article 14 of the Civil Service Law, carry forward the most recently approved version of the district's APPR plan in lieu of submitting a new APPR plan to the Department for purposes of satisfying the requirements of section 30-3.16(c)(7) and 30-3.16(e)(3).

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 215 authorizes the Regents to visit and inspect any educational institution under its supervision in the state and to require reporting from such institutions.

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 3012-d provides for the development and implementation of annual professional performance reviews of teachers and principals.

Chapter 59 of the Laws of 2019 amends provisions of Education Law 3012-d relating to the development and implementation of periodic professional performance reviews of teachers and principals.

2. LEGISLATIVE OBJECTIVES:

The proposed amendments to the requirements for Annual Professional Performance Review plans are consistent with the above statutory authority and are necessary to conform the Commissioner's Regulations to Part YYY of Chapter 59 of the laws of 2019. The purpose of the proposed amendment is to improve the quality of teaching and learning by ensuring that teachers and school leaders receive annual evaluations consistent with the State's Teaching and Leadership Standards leading to opportunities for professional growth and to meet the learning needs of their students.

3. NEEDS AND BENEFITS:

The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures
 - o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).
 - o All teachers would instead have a SLO;
 - o Building principals may have SLOs or as an alternative to SLOs, building principals may be evaluated based on an input model process using evidence of principal practice that promotes student growth related to the Leadership Standards.
 - o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.
 - o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.

• Optional Student Performance Measures

o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

o Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

Although the Enacted Budget makes significant changes to the Student Performance Category of the evaluation system, it does not substantively change any other aspects of the current system, including:

- Requirements for teacher observations and principal school visits, including the requirement that at least one be conducted by an independent evaluator.
- Requirements for calculating overall ratings using the statutory matrix.
- Requirements for teacher and principal improvement plans for educators who receive an overall rating of Developing or Ineffective in the prior school year.
- Requirements for summative evaluation ratings to be a "significant factor" in all employment-related decisions.

The proposed rule conforms the regulations to the provisions of the 2019 legislation by making the following substantive changes to Subparts 30-2 and 30-3 of the Rules of the Board of Regents.

The existing Subpart 30-2, relating to evaluations conducted pursuant to Education Law § 3012-c, is repealed.

The existing Subpart 30-3 is renumbered to Subpart 30-2. The title of this new Subpart 30-2 and sections 30-2.1, 30-2.3, and 30-2.17 are amended to clarify that Subpart 30-2 only applies to APPRs conducted prior to the 2019-20 school year or those conducted pursuant to a collective bargaining agreement (CBA) entered into on or before April 12, 2019 which remains in effect on or after April 12, 2019 until a subsequent agreement is reached; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement.

A new Subpart 30-3 is added to implement the amended evaluation law.

Where practicable, existing requirements for teacher and principal evaluations are carried over in their entirety. Below is a description of the areas where substantive changes from existing requirements have been made to implement the provisions of Chapter 59 of the Laws of 2019.

Section 30-3.1 clarifies that the new evaluation system only applies to CBAs entered into after April 12, 2019. It further clarifies that nothing in the new Subpart shall be construed to abrogate any conflicting provisions of any CBA in effect on and after April 12, 2019 during the term of such agreement and until entry into a successor CBA; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement. As required by the Education Law, it further clarifies that APPRs shall be a significant factor for employment decisions and teacher and principal development, consistent with the requirements of the law. It also clarifies the unfettered right to terminate a probationary teacher or principal for any statutorily and constitutionally permissible reason.

Section 30-3.4 describes the standards and criteria for conducting APPRs of classroom teachers under the amended law. The law requires teachers to be evaluated based on two categories: the student performance category and the teacher observation category.

Section 30-3.5 describes the standards and criteria for conducting APPRs of building principals under the amended law. The law requires the Commissioner to establish a principal evaluation system that is aligned to the teacher evaluation system set forth in Education Law § 3012-d. To implement the law, the proposed amendment requires building principals to be evaluated based on two categories: the student performance category and the school visit category.

Section 30-3.16 describes a process which permits a district or BOCES to apply for a variance from one or more of the provisions of this Subpart to meet specific needs and circumstances of the district or BOCES so long as such plan remains consistent with the requirements of Education Law § 3012-d.

Section 30-3.17 provides for the severability of each section of this Subpart.

4. COSTS:

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

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

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

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

Because the State believes that Annual Professional Performance Review plans are required across the State, no alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

A Notice of Emergency Adoption and Revised Rule Making will be published in the State Register on February 26, 2020. The proposed amendment will become effective as an emergency rule on February 11, 2020. It is anticipated that the revised proposed amendment will be presented for permanent adoption at the May 2020 Regents meeting, after publication of the revised proposed amendment in the State Register and expiration of the 45-day public comment period required under the State Administrative Procedure Act for revised rulemaking. If adopted at the May 2020 meeting, the revised proposed rule will become effective on May 20, 2020. Because the emergency regulation will expire before the May 2020 Regents meeting, it is anticipated that an additional emergency action will be presented for adoption at the April Regents meeting.

Revised Regulatory Flexibility Analysis

The purpose of the proposed amendment is to conform the Department's regulations to statutory amendments to Education Law 3012-d pursuant to Part YYY of Chapter 59 of the Laws of 2019. The purpose of the regulations is to improve the quality of teaching and learning by ensuring that teachers and school leaders receive annual evaluations consistent with the State's Teaching and Leadership Standards leading to opportunities for professional growth and to meet the learning needs of their students.

The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures

- o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).

- o All teachers would instead have a Student Learning Objective (SLO);

- o Building principals may have SLOs or as an alternative to SLOs, building principals may be evaluated based on an input model process using evidence of principal practice that promotes student growth related to the Leadership Standards.

- o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.

- o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.

- Optional Student Performance Measures

- o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

- o Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

- o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

Although the Enacted Budget makes significant changes to the Student Performance Category of the evaluation system, it does not substantively change any other aspects of the current system, including:

- Requirements for teacher observations and principal school visits, including the requirement that at least one be conducted by an independent evaluator.

- Requirements for calculating overall ratings using the statutory matrix.

- Requirements for teacher and principal improvement plans for educators who receive an overall rating of Developing or Ineffective in the prior school year.

- Requirements for summative evaluation ratings to be a "significant factor" in all employment-related decisions.

The proposed rule conforms the regulations to the provisions of the 2019 legislation by making the following substantive changes to Subparts 30-2 and 30-3 of the Rules of the Board of Regents.

The existing Subpart 30-2, relating to evaluations conducted pursuant to Education Law § 3012-c, is repealed.

The existing Subpart 30-3 is renumbered to Subpart 30-2. The title of this new Subpart 30-2 and sections 30-2.1, 30-2.3, and 30-2.17 are amended to clarify that Subpart 30-2 only applies to APPRs conducted prior to the 2019-20 school year or those conducted pursuant to a collective bargaining agreement (CBA) entered into on or before April 12, 2019 which remains in effect on or after April 12, 2019 until a subsequent agreement is reached; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement.

A new Subpart 30-3 is added to implement the amended evaluation law.

Where practicable, existing requirements for teacher and principal evaluations are carried over in their entirety. Below is a description of the areas where substantive changes from existing requirements have been made to implement the provisions of Chapter 59 of the Laws of 2019.

Section 30-3.1 clarifies that the new evaluation system only applies to CBAs entered into after April 12, 2019. It further clarifies that nothing in the new Subpart shall be construed to abrogate any conflicting provisions of any CBA in effect on and after April 12, 2019 during the term of such agreement and until entry into a successor CBA; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement. As required by the Education Law, it further clarifies that APPRs shall be a significant factor for employment decisions and teacher and principal development, consistent with the requirements of the law. It also clarifies the unfettered right to terminate a probationary teacher or principal for any statutorily and constitutionally permissible reason.

Section 30-3.4 describes the standards and criteria for conducting APPRs of classroom teachers under the amended law. The law requires teachers to be evaluated based on two categories: the student performance category and the teacher observation category.

Section 30-3.5 describes the standards and criteria for conducting APPRs of building principals under the amended law. The law requires the Commissioner to establish a principal evaluation system that is aligned to the teacher evaluation system set forth in Education Law § 3012-d. To implement the law, the proposed amendment requires building principals to be evaluated based on two categories: the student performance category and the school visit category.

Section 30-3.16 describes a process which permits a district or BOCES to apply for a variance from one or more of the provisions of this Subpart to meet specific needs and circumstances of the district or BOCES so long as such plan remains consistent with the requirements of Education Law § 3012-d.

Section 30-3.17 provides for the severability of each section of this Subpart.

The amendment does not impose any new recordkeeping or other compliance requirements and will not have an adverse economic impact on small businesses or local governments. 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 none were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required and one has not been prepared.

Revised Rural Area Flexibility Analysis**1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:**

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

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

The proposed amendments are necessary to conform the Department's regulations to statutory amendments to Education Law 3012-d pursuant to

Part YYY of Chapter 59 of the Laws of 2019. The purpose of the regulations is to improve the quality of teaching and learning by ensuring that teachers and school leaders receive annual evaluations consistent with the State's Teaching and Leadership Standards leading to opportunities for professional growth and to meet the learning needs of their students.

The 2019-2020 Enacted Budget makes several changes to Education Law § 3012-d, which governs annual teacher and principal evaluations. The key changes include:

- Required Student Performance Measures
 - o Eliminates the requirement to use the State Growth Model for teachers of grades 4-8, building principals covering those grade levels, and high school principals (all of grades 9-12).
 - [] All teachers would instead have a Student Learning Objective (SLO);
 - [] Building principals may have SLOs or as an alternative to SLOs, building principals may be evaluated based on an input model process using evidence of principal practice that promotes student growth related to the Leadership Standards.

- o Eliminates the requirement that State-created or administered assessments be used as the evidence for SLOs where they exist.

- o The selection and use of the assessment(s) for an educator's SLO is now subject to collective bargaining, rather than district determined.

- Optional Student Performance Measures
 - o Eliminates the requirement that optional student performance measures be based either on a second State-provided growth score or a growth score based on a supplemental assessment that uses a State-provided or approved statistical growth model.

[] Instead, the Department will define optional measures of student performance based on State-created, administered, or approved assessments that districts may then collectively bargain to use.

- o Where a school district collectively bargains to use optional student performance measures, the statutory amendments also eliminate the existing requirement that an educator receive a rating of Ineffective on their overall evaluation if their Student Performance Category rating is Ineffective.

Although the Enacted Budget makes significant changes to the Student Performance Category of the evaluation system, it does not substantively change any other aspects of the current system, including:

- Requirements for teacher observations and principal school visits, including the requirement that at least one be conducted by an independent evaluator.
- Requirements for calculating overall ratings using the statutory matrix.
- Requirements for teacher and principal improvement plans for educators who receive an overall rating of Developing or Ineffective in the prior school year.
- Requirements for summative evaluation ratings to be a "significant factor" in all employment-related decisions.

The proposed rule conforms the regulations to the provisions of the 2019 legislation by making the following substantive changes to Subparts 30-2 and 30-3 of the Rules of the Board of Regents.

The existing Subpart 30-2, relating to evaluations conducted pursuant to Education Law § 3012-c, is repealed.

The existing Subpart 30-3 is renumbered to Subpart 30-2. The title of this new Subpart 30-2 and sections 30-2.1, 30-2.3, and 30-2.17 are amended to clarify that Subpart 30-2 only applies to APPRs conducted prior to the 2019-20 school year or those conducted pursuant to a collective bargaining agreement (CBA) entered into on or before April 12, 2019 which remains in effect on or after April 12, 2019 until a subsequent agreement is reached; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement.

A new Subpart 30-3 is added to implement the amended evaluation law.

Where practicable, existing requirements for teacher and principal evaluations are carried over in their entirety. Below is a description of the areas where substantive changes from existing requirements have been made to implement the provisions of Chapter 59 of the Laws of 2019.

Section 30-3.1 clarifies that the new evaluation system only applies to CBAs entered into after April 12, 2019. It further clarifies that nothing in the new Subpart shall be construed to abrogate any conflicting provisions of any CBA in effect on and after April 12, 2019 during the term of such agreement and until entry into a successor CBA; provided further, however, that any assessments used in determining transition scores and ratings shall be used in determining scores and ratings pursuant to Subpart 30-2 instead of the grades three through eight English language arts and mathematics state assessments and/or any state growth model until the entry into a successor collective bargaining agreement. As required by the Education Law, it further clarifies that APPRs shall be a significant factor

for employment decisions and teacher and principal development, consistent with the requirements of the law. It also clarifies the unfettered right to terminate a probationary teacher or principal for any statutorily and constitutionally permissible reason.

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Section 30-3.5 describes the standards and criteria for conducting APPRs of building principals under the amended law. The law requires the Commissioner to establish a principal evaluation system that is aligned to the teacher evaluation system set forth in Education Law § 3012-d. To implement the law, the proposed amendment requires building principals to be evaluated based on two categories: the student performance category and the school visit category.

Section 30-3.16 describes a process which permits a district or BOCES to apply for a variance from one or more of the provisions of this Subpart to meet specific needs and circumstances of the district or BOCES so long as such plan remains consistent with the requirements of Education Law § 3012-d.

Section 30-3.17 provides for the severability of each section of this Subpart.

3. COSTS:

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

4. MINIMIZING ADVERSE IMPACT:

The Department is required by Education Law 3012-d to develop uniform standards for Annual Professional Performance Review plans 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 the School Administrator Association of New York State and New York State United Teachers whose membership include educators and administrators who live or work in rural areas.

Revised Job Impact Statement

Since the publication of a Notice of Proposed Rule Making and Emergency Adoption was published in the State Register on October 23, 2019, substantial revisions were made to the proposed regulation as set forth in the Revised Regulatory Impact Statement submitted herewith.

These substantial revisions do not require any changes to the previously published Statement in Lieu of Job Impact Statement.

Assessment of Public Comment

Following publication of the Notice of Emergency Adoption and Proposed Rule Making on October 23, 2019, the Department received the following comments on the proposed amendment:

1. COMMENT: A commenter opined that the evaluation of building level administrators should look very different from teacher evaluations since their roles, tasks and focuses are different. The commenter stated that Education Law § 3012-d supports a more flexible process than has been reflected in the proposed regulation citing section 3012-d(14) which states that "[t]he commissioner shall adopt regulations to align the principal evaluation system as set forth in section three thousand twelve-c of this article with the new teacher evaluation system set forth herein" (emphasis added). Specifically, the commenter recommends that:

- Evaluations of building principals be comprised of a student performance and a professional evaluation component, but in the broadest terms possible. Section 30-3.5(b)(1)(i) of the proposed regulation states that a principal must have an SLO which consists of specific learning content, interval of instruction time, evidence of meeting academic instructional goals, and baseline and targets for assessments. The commenter states that the proposed wording is more pertinent to teachers and not appropriate for a principal evaluation since principals do not provide instruction as their primary responsibility. The commenter states that the measures of student performance for building level principals should be flexible and allow for multiple types and measures of student performance and that there should be no SLO requirement for principals.

- Section 30-3.5(c) of the proposed regulation that requires a principal school visit be revised to allow a process more aligned to how superintendents can more effectively evaluate building principals. The commenter states that the professional evaluation component should be collectively bargained to meet local needs and that such professional evaluations could include observations of principals in a wide range of settings and methods. They further note that there should be no Independent Evaluator, or related scoring, required for principals, and there should be one or more supervisor visits as negotiated. The commenter writes that the professional evaluation component should allow for a district of building goal setting process that demonstrates how principals meet building level priorities consistent with their scope of responsibility. They note that although

Education Law § 3012-d(6) prohibits the use of “professional goal setting as evidence of effectiveness”, the definition of professional goal setting has not been set forth, and should not be confused with a goal-setting process that is related to district or building initiatives.

RESPONSE: The Department has amended the proposed regulations to address the commenter’s concerns except for the request to eliminate the requirement for an independent evaluator as the Department’s regulations already include a process for a district to request a waiver from this requirement on an annual basis if compliance with the statutory requirement would represent a hardship for the district.

2. A commenter wrote that they object to the process in the proposed regulations relating to the newly proposed variances. Specifically, the commenter discusses section 30-3.16(c)(7) of the proposed regulation which requires districts to submit an approval plan that complies with all of the proposed regulations and then submit another plan that responds to the request for a variance from the regulations. They state that this requires the district to develop two plans (and as many as four if variances are sought for both teacher and principals) which is an extremely burdensome requirement. They also note that it would result in two (or four) sets of collective bargaining negotiations, which would be a “built-in disincentive” to the pursuit of variances.

RESPONSE: The Department has revised the proposed amendment to address the commenter’s concerns.

3. **COMMENT:** A commenter recommends that the approval process for teacher and principal evaluations be separate since the teacher and principal evaluations are each collectively bargained separately and not necessarily conducted simultaneously.

RESPONSE: The Department has considered this comment, however, there are both logistic and practical reasons for requiring a single evaluation plan. First, in order to streamline the approval process by the Department and the administrative burden on districts, both the teacher and principal evaluations should be submitted together. Second, a number of decisions that are made in the course of collective bargaining with each bargaining unit could impact the obligations of the corresponding bargaining unit and/or have adverse impacts on students if not considered together. For example, the decision made regarding the frequency and duration of observations for each teacher has a direct impact on the training and workload of the principals in a school district. Additionally, students could be required to sit for multiple assessments in the same grade and subject if teachers and principals bargained different assessments to be included in their evaluations. Therefore, no change is necessary.

NOTICE OF ADOPTION

Requirements for Chiropractic Education Programs and Education Requirements for Licensure As a Chiropractor

I.D. No. EDU-43-19-00013-A

Filing No. 126

Filing Date: 2020-02-11

Effective Date: 2020-02-26

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

Action taken: Amendment of sections 52.14 and 73.1 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6507, 6551 and 6554

Subject: Requirements for Chiropractic Education Programs and Education Requirements for Licensure as a Chiropractor.

Purpose: To conform educational requirements for the profession of chiropractic to the national preprofessional education standards.

Text or summary was published in the October 23, 2019 issue of the Register, I.D. No. EDU-43-19-00013-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, Office of Counsel, 89 Washington Avenue, Room 112 EB, 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 2023, 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 a Notice of Proposed Rule Making in the State Register on October 23, 2019, the State Education Department received the following comment.

1. COMMENT:

Two commenters submitted joint public comment asserting, inter alia, that the proposed rule would liberalize the licensing requirement mandating certain life sciences courses, such as general chemistry, organic chemistry, biology or zoology, and physics, instead of expanding the number of life sciences credit required from 12-16 to 24 while opening the door to any courses in life and physical science. The commenters further state that the proposed rule keeps the total number of required preprofessional credit hours at 60. The commenters maintain that the effect of the proposed rule would be to expand the eligible course options for future chiropractors and would qualify potential recent chiropractic program graduates, who might not otherwise qualify for licensure now, because they have not taken the mandatory courses.

The commenters note that the Department’s stated reason to amend the regulation is to address a decrease in the number of chiropractic licensure applications by conforming the State’s standards to the national CCE preprofessional education requirements. According to the commenters, these national standards do not mandate for specific classes as New York does, thus the logic goes that through conforming, the State can increase the numbers of aspiring practitioners eligible for a chiropractic license. The commenters support the proposed change and state that they understand that it will help a segment of recent chiropractic graduates, who, for whatever reason, had not taken the pre-licensure mandate of the prescribed life science courses prior to graduating from an accredited college and passing their national boards.

However, the commenters maintain that they feel that there are more significant reasons for a decline in the number of New York chiropractor licensure applications, such as a poor practice environment, including legislative challenges, restrictive insurance policies and insufficient coverage, combined with high living expenses; and barriers to students having meaningful externships/preceptorships because they are limited to New York students.

The commenters feel that this proposed regulation may increase the number of students enrolling in New York chiropractic colleges and increasing the number of students may be a good thing for the business of the colleges. But, the commenters contend, that these students might not remain in New York to practice after graduation. The commenters state that they are pleased that the Department is looking at the decrease in licensed chiropractors in New York and hope that the Department will examine and support other efforts to expand the number of licensed chiropractors in this State.

The commenters assert that they also support separate efforts to increase the credit hour requirement for licensure, including legislative efforts to modernize the scope of practice, which they state would increase the statutory educational requirement to three years or 90 credit hours. The commenters maintain that this increase in credit hours must be a part of any conversation to update chiropractic educational standards, or to truly conform with national CCE standards.

The commenters also state that stakeholder input is extremely important in refining a product that works for everyone.

DEPARTMENT RESPONSE:

While the Department appreciates the supportive comments as it works to both protect the public and provide greater access to chiropractic services to New Yorkers, it disagrees with the commenters’ position that the proposed rule opens “. . . the door to any courses in life and physical science.” The proposed rule conforms New York’s preprofessional education standards to the national preprofessional education standards by requiring the completion of not less than 60 semester hours of preprofessional postsecondary education, with a minimum of 24 semester hours in life and physical science, which may include, but not be limited to, courses in general biology, human anatomy, physiology, general chemistry, biochemistry, physics, biomechanics and kinesiology, and, of these 24 semester hours, half must include a laboratory component.

The intent of the proposed rule is not to merely help a segment of recent chiropractic college graduates, who have not taken the currently required preprofessional education courses. The intent of the proposed rule is to address the decrease in both chiropractor licensure applications and registered chiropractors in this State. The current preprofessional education courses requirements put New York’s two chiropractic colleges at a competitive disadvantage in recruiting students, when compared to all the other chiropractic programs in the United States. One of New York’s chiropractic colleges has provided the Department with data showing an overall decline in its number of graduates in the last five years. Similarly, the Department’s data shows an overall decline in the total number of both chiropractor licensure applications and registered chiropractors. These declines appear to be attributable, at least, in part, to the specificity of the current preprofessional education courses requirements.

With respect to the commenters’ contentions that there are more significant reasons for a decline in the number of New York chiropractor licensure applications, these issues are beyond the scope of this proposed rule. Thus, no response is required regarding them.

With respect to the commenters' support of increasing the credit hour requirement for licensure, such a change would require a statutory amendment.

Based on the foregoing, no changes to the proposed rule are necessary.

NOTICE OF ADOPTION

Physical Education Requirements for a Diploma and Transfer Credits for Students Earning Credit in an Educational Program

I.D. No. EDU-47-19-00005-A

Filing No. 124

Filing Date: 2020-02-11

Effective Date: 2020-02-26

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

Action taken: Amendment of section 100.5 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 112, 207, 208, 209, 210, 215, 305, 209, 3202, 3204; L. 2017, ch. 59, part WWW

Subject: Physical Education Requirements For A Diploma And Transfer Credits For Students Earning Credit In An Educational Program.

Purpose: To implement Raise the Age legislation pursuant to part WWW of chapter 59 of the Laws of 2017.

Text or summary was published in the November 20, 2019 issue of the Register, I.D. No. EDU-47-19-00005-P.

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

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 112 EB, 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 2023, 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

Permit Physicians Licensed in Another State or Territory to Provide Medical Services to Athletes and Team Personnel in New York

I.D. No. EDU-47-19-00006-A

Filing No. 125

Filing Date: 2020-02-11

Effective Date: 2020-02-26

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

Action taken: Addition of section 60.13 to Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6507, 6510, 6521, 6522, 6526; L. 2018, ch. 519; L. 2019, ch. 199

Subject: Permit physicians licensed in another state or territory to provide medical services to athletes and team personnel in New York.

Purpose: To align the Regulations of the Commissioner with chapter 519 of the Laws of 2018 and chapter 199 of the Laws of 2019.

Text or summary was published in the November 20, 2019 issue of the Register, I.D. No. EDU-47-19-00006-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 EB, 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 2023, 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

Profession of Registered Dental Assisting

I.D. No. EDU-47-19-00007-A

Filing No. 127

Filing Date: 2020-02-11

Effective Date: 2020-02-26

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

Action taken: Amendment of sections 29.2, 52.26, 61.9, 61.11, 61.12, 61.13 and 61.14 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6507, 6509, 6608-a; L. 2019, ch. 390

Subject: Profession of Registered Dental Assisting.

Purpose: To conform the Regulations of the Commissioner with chapter 390 of the Laws of 2019.

Text or summary was published in the November 20, 2019 issue of the Register, I.D. No. EDU-47-19-00007-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 EB, 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 2023, 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

Practice of Psychology, Social Work and Mental Health Practitioner Professions

I.D. No. EDU-08-20-00007-P

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

Proposed Action: Amendment of sections 59.14, 72.2, 74.5, 74.6, 79-9.3, 79-10.3, 79-10.9, 79-11.3, 79-12.3; addition of sections 72.6, 79-9.9, 79-11.9 and 19-12.9 to Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 212, 6501, 6503, 6503-a, 6504, 6506, 6507, 6508, 7601, 7605, 7704, 7705, 7706, 8402, 8410; Insurance Law, sections 3221, 4303; L. 2018, ch. 57, part Y

Subject: Practice of Psychology, Social Work and Mental Health Practitioner Professions.

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

Substance of proposed rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/full-text-indices>): The purpose of the proposed regulation is to implement the provisions of Part Y of Chapter 57 of the Laws of 2018, which defines acceptable settings for the supervised practice of an applicant for licensure as a psychologist, social worker or mental health practitioner completing the experience for licensure and provides an exemption from licensure for certain individuals employed in certain settings to practice psychology, mental health counseling, marriage and family therapy, creative arts therapy and psychoanalysis, under a qualified supervisor, licensed and registered to practice in New York.

The proposed amendment changes the definition of acceptable settings for the supervised experience for licensure in the psychology, social work and mental health practitioner professions in two areas. First, the proposed amendment defines a program or service that is operated, regulated, funded or approved by the department of mental hygiene, the office of children and family services, the department of corrections and community supervision, the office of temporary and disability assistance, the state office for the aging and the department of health or local governmental unit as that term is defined in section 410.03 of the Mental Hygiene Law or social services district as defined in section 61 of the Social Services Law as an acceptable setting for the supervised experience for licensure in the professions under Articles 153, 154 and 163 of the Education Law. Second, those

programs and services do not need a waiver under section 6503-a of the Education Law to employ or contract with individuals licensed or authorized in those professions.

The amendment also defines the education requirements and supervision of an unlicensed individual with a master's degree in psychology or in a mental health practitioner profession, in certain settings defined in statute.

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

Data, views or arguments may be submitted to: Douglas E. Lentivech, NYS Education Department, Office of the Professions, 89 Washington Avenue, 2nd Floor EB, West Wing, Albany, NY 12234, (518) 486-1727, email: REGCOMMENTS@nysed.gov

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

Section 6501 of the Education Law provides that, to qualify for admission to a profession, an applicant must meet requirements prescribed in the article of the Education Law that pertains to the particular profession.

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 relating to the professions.

Subdivision (1) of section 6508 of the Education Law authorizes the state boards for the professions to assist the Regents and the Department in matters of professional licensure and practice.

Subdivision (3) of section 7603 of the Education Law authorizes the State Education Department to establish standards for supervised experience that must be successfully completed by an applicant to qualify for licensure as a psychologist in a setting acceptable to the Department.

Paragraph (c) of subdivision (2) of section 7704 of the Education Law authorizes the State Education Department to establish standards for supervised experience that must be successfully completed by an applicant to qualify for a license as a licensed clinical social worker in a setting acceptable to the Department.

Paragraph (c) of subdivision (3) of section 8402 of the Education Law authorizes the State Education Department to establish standards for supervised experience that must be successfully completed by an applicant to qualify for a license as a mental health counselor in a setting acceptable to the Department.

Paragraph (c) of subdivision (3) of section 8403 of the Education Law authorizes the State Education Department to establish standards for supervised experience that must be successfully completed by an applicant to qualify for a license as a marriage and family therapist in a setting acceptable to the Department.

Paragraph (c) of subdivision (3) of section 8404 of the Education Law authorizes the State Education Department to establish standards for supervised experience that must be successfully completed by an applicant to qualify for a license as a creative arts therapist in a setting acceptable to the Department.

Paragraph (c) of subdivision (3) of section 8405 of the Education Law authorizes the State Education Department to establish standards for supervised experience that must be successfully completed by an applicant to qualify for a license as a psychoanalyst in a setting acceptable to the Department.

Insurance Law sections 3221(l)(4)(D) and 4303(n) authorize the Department to issue the psychotherapy privilege to a Licensed Clinical Social Worker who has completed at least 2,400 client contact hours of supervised experience after receipt of the LCSW license, acceptable to the Department.

§ 7 of Part Y of Chapter 57 of the Laws of 2018 defines a program or service that is operated, regulated, funded or approved by certain State or local agencies as approved settings for the receipt of supervised experience for the professions governed by Articles 153, 154 and 163 of the Education Law. Furthermore, such programs and services do not require a waiver from the Department pursuant to section 6503-a of the Education Law.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment implements the provisions of Part Y of Chapter 57 of the Laws of 2018, defining acceptable settings for the supervised practice of an applicant for licensure as a psychologist, social worker or mental health practitioner completing the experience for

licensure and provides an exemption from licensure for certain individuals employed in certain settings to practice psychology, mental health counseling, marriage and family therapy, creative arts therapy and psychoanalysis, under a qualified supervisor, licensed and registered to practice in New York.

3. NEEDS AND BENEFITS:

Chapters 420 and 676 of the Laws of 2002 established the requirements for licensure, defined the practice and restricted titles for social workers, psychologists and mental health practitioners under Articles 154, 153 and 163 of the Education Law. These chapters included exemptions from licensure for individuals in programs and services operated, regulated, funded or approved by certain State or local government agencies until January 1, 2010. These broad-based exemptions were extended, in the case of psychology, and extended and expanded to include additional programs and services employing social workers and mental health practitioners in subsequent Chapter amendments.

Part Y of Chapter 57 of the Laws of 2018 amended the earlier Chapter amendments and extended the exemption from licensure until one year after the Department adopts regulations to implement the provisions of Chapter 57. The statute requires the proposed regulations be adopted on a non-emergency basis.

The proposed amendment changes the definition of acceptable settings for the supervised experience for licensure in the psychology, social work and mental health practitioner professions in two areas. First, the proposed amendment defines a program or service that is operated, regulated, funded or approved by certain agencies as an acceptable setting for the supervised experience for licensure in the professions under Articles 153, 154 and 163 of the Education Law. Second, those programs and services do not need a waiver under section 6503-a of the Education Law to employ or contract with individuals licensed or authorized in those professions.

The amendment also defines the education requirements and supervision of an unlicensed individual with a master's degree in psychology or in a mental health practitioner profession, in certain settings defined in statute.

4. COSTS:

(a) **Costs to State government:** The proposed regulations will not impose any additional cost on State government, including the State Education Department, over and above the costs imposed by Articles 153, 154 and 163 of the Education Law for administering these professions and § 6503-a for administering waivers to qualified not-for-profit and education corporations seeking to offer professional services to the public.

(b) **Cost to local government:** The proposed amendment clarifies acceptable settings for the completion of supervised experience required for licensure in psychology, social work or mental health practice and allows programs and services operated, regulated, funded or approved by certain State or local government units to employ unlicensed individuals to practice as a psychologist or mental health practitioner under supervision. The regulation will not impose additional costs on local government.

(c) **Cost to private regulated parties:** The proposed regulation will not impose any other costs on applicants for the licenses over and above those imposed by Article 153, 154 or 163 of the Education Law. The proposed regulation clarifies the acceptable settings for completing supervised experience by certain individuals who are seeking licensure in New York as a psychologist, clinical social worker, mental health counselor, marriage and family therapist, creative arts therapist or psychoanalyst, as defined in the Education Law. It also clarifies the supervision of certain individuals with a master's degree who may practice the profession under supervision in those defined settings, as allowed under Education Law (§ 7605) and (§ 8410).

(d) **Cost to the regulatory agency:** As stated above in Costs to State government, the proposed regulation does not impose costs on the State Education Department beyond those imposed by statute.

5. LOCAL GOVERNMENT MANDATES:

The proposed regulation clarifies the acceptable settings for completing supervised experience by certain individuals who are seeking licensure in New York as a psychologist, clinical social worker, mental health counselor, marriage and family therapist, creative arts therapist or psychoanalyst, as defined in the Education Law. It also clarifies the supervision of certain individuals with a master's degree who may practice the profession under supervision in those defined settings, as allowed under Education Law (§ 7605) and (§ 8410). Therefore, the proposed regulation does not impose any program, service, duty or responsibility upon local governments.

6. PAPERWORK:

The proposed regulation imposes no additional reporting or recordkeeping requirements beyond those imposed by Articles 153, 154 or 163 of the Education Law or Education Law § 6503-a for a waiver from corporate practice restrictions. In accordance with Education Law and Department policy, applicants for licensure will be required to submit to the State Education Department evidence satisfactory to meet the licensure require-

ments and licensed supervisors will be required to maintain documentation of the applicant's supervised practice and hours of supervision and for submitting a copy of such documentation to the Department upon its request.

7. DUPLICATION:

The proposed regulation does not duplicate other existing State or Federal requirements.

8. ALTERNATIVES:

There have been extensive discussions concerning the experience requirements for licensure in the professions, including acceptable settings. The proposed amendments will clarify the authorized settings in which an applicant can meet the experience requirements in accordance with applicable laws, rules and regulations.

9. FEDERAL STANDARDS:

There are no Federal standards for the licensure of psychologists, social workers or mental health practitioners, the subject of the proposed regulation.

10. COMPLIANCE SCHEDULE:

Applicants for licensure or certification must comply with the regulation on the stated effective date.

Regulatory Flexibility Analysis

The proposed amendment implements the provisions of Part Y of Chapter 57 of the Laws of 2018, defining acceptable settings for the supervised practice of an applicant for licensure as a psychologist, social worker and mental health practitioner completing the experience for licensure and provides an exemption from licensure for certain individuals employed in certain settings to practice psychology, mental health counseling, marriage and family therapy, creative arts therapy and psychoanalysis, under a qualified supervisor, licensed and registered to practice in New York. The proposed amendment will have no effect on small businesses and does not regulate local governments.

The amendment will not impose any adverse economic impact, recordkeeping, reporting, or other compliance requirements on small businesses or local governments. Because it is evident from the nature of the regulation that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and none were taken.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed amendment implements the provisions of Part Y of Chapter 57 of the Laws of 2018, defining acceptable settings for the supervised practice of an applicant for licensure as a psychologist, social worker and mental health practitioner completing the experience for licensure and provides an exemption from licensure for certain individuals employed in certain settings to practice psychology, mental health counseling, marriage and family therapy, creative arts therapy and psychoanalysis, under a qualified supervisor, licensed and registered to practice in New York.

Applicants for licensure in these fields include individuals 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. There were 73,958 licensed social workers, psychologists and mental health practitioners registered to practice New York, as of July 1, 2019; 8,322 of these were in rural counties, accounting for 11.3% of all registrants in New York.

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

Chapters 420 and 676 of the Laws of 2002 established the requirements for licensure, defined the practice and restricted titles for social workers, psychologists and mental health practitioners under Articles 154, 153 and 163 of the Education Law. These chapters included exemptions from licensure for individuals in programs and services operated, regulated, funded or approved by certain State or local government agencies until January 1, 2010. These broad-based exemptions were extended, in the case of psychology, and extended and expanded to include additional programs and services employing social workers and mental health practitioners in subsequent Chapter amendments.

Part Y of Chapter 57 of the Laws of 2018 amended the earlier amendments and extended the exemption from licensure until one year after the Department adopts regulations to implement the provisions of Chapter 57. The statute requires the proposed regulations be adopted on a non-emergency basis.

The proposed amendment changes the definition of acceptable settings for the supervised experience for licensure in the psychology, social work and mental health practitioner professions in two areas. First, the proposed amendment defines a program or service that is operated, regulated, funded or approved by certain agencies as an acceptable setting for the supervised experience for licensure in the professions under Articles 153, 154 and 163 of the Education Law. Second, those programs and services do not need a waiver under section 6503-a of the Education Law to employ or

contract with individuals licensed or authorized in those professions. The amendment also defines the education requirements and supervision of an unlicensed individual with a master's degree in psychology or in a mental health practitioner profession, in certain settings defined in statute.

The changes do not impose any additional reporting or recordkeeping requirements on licensees, including those located in rural areas, beyond those currently imposed by regulation. In addition, the amendment does not require regulated parties to hire professional services in order to comply.

3. COSTS:

The proposed amendment will not impose costs beyond those currently required to comply with statutory and regulatory requirements for licensure as a psychologist, clinical social worker, mental health counselor, marriage and family therapist, creative arts therapist or psychoanalyst.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment clarifies acceptable settings in which an applicant may complete the supervised experience for licensure in psychology, social work or mental health practitioner. The amendment also clarifies the education requirements for certain unlicensed individuals who are authorized by statute to practice psychology (Education Law § 7605) or mental health practice (Education Law § 8410) in certain programs and services under qualified supervisors, licensed and registered under the Education Law, in accordance with supervision standards in the proposed regulation. These requirements are in place to ensure competency of licensed professionals and thereby safeguard the public.

Due to the nature of the proposed amendment, the State Education Department does not believe it to be warranted to establish different requirements for institutions located in rural areas.

5. RURAL AREA PARTICIPATION:

Comments on the proposed amendment were solicited from the State Board for Social Work and State Board for Mental Health Practitioners, as well as from statewide professional associations and provider groups whose memberships include individuals who live or work in rural areas.

Job Impact Statement

Education Law § 6503-a requires a not-for-profit or education corporation to receive a waiver (authorization) from the Education Department, to employ or contract with individuals licensed in certain professions, including psychology, social work and as a mental health practitioner. Article 153 of the Education Law defines and restricts the practice of psychology to individuals licensed and registered, or otherwise authorized, under New York law to practice the profession and use the restricted title. Article 154 of the Education Law defines and restricts the practice of licensed master social work and licensed clinical social work to individuals licensed and registered, or otherwise authorized, under New York law to practice the profession and use the restricted title. Article 163 of the Education Law defines and restricts the practice of mental health counseling, marriage and family therapy, creative arts therapy and psychoanalysis to individuals licensed and registered, or otherwise authorized, under New York law to practice the profession and use the restricted title.

The proposed amendment implements the provisions of Part Y of Chapter 57 of the Laws of 2018, defining acceptable settings for the supervised practice of an applicant for licensure as a psychologist, social worker and mental health practitioner completing the experience for licensure and provides an exemption from licensure for certain individuals employed in certain settings to practice psychology, mental health counseling, marriage and family therapy, creative arts therapy and psychoanalysis, under a qualified supervisor, licensed and registered to practice in New York.

Because it is evident from the nature of the proposed regulation that it will have no 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.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Composition of the Professional Standards and Practices Board for Teaching (PSPB)

I.D. No. EDU-08-20-00008-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 3.14 of Title 8 NYCRR.

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

Subject: Composition of the Professional Standards and Practices Board for Teaching (PSPB).

Purpose: To require the PSPB to have at least four members who are practicing, certified school building or district administrator.

Text of proposed rule: 1. Subdivision (a) of Section 3.14 of the Rules of the Board of Regents shall be amended to read as follows:

(a) The Board of Regents, upon nomination of the Commissioner of Education, shall appoint a State professional standards and practices board for teaching to consist of [28] 30 members. The board shall serve in a consultative and advisory capacity to the Regents and the commissioner on matters pertaining to teacher education, certification and practice and shall carry on such specific duties as are assigned by the Board of Regents and the commissioner. The State professional standards and practices board for teaching shall be the successor board to the teacher education, certification and practice board.

2. Paragraph (1) of subdivision (h) of Section 3.14 of the Rules of the Board of Regents shall be amended to read as follows:

(h)(1) Twenty-[one]three members of the board shall be educators practicing in the State, meaning: certified teachers, school building or district administrators serving in schools in New York State; or faculty engaged in preparing teachers (including liberal arts and sciences faculty) in higher education institutions in New York State that prepare teachers; or presidents or chief academic officers of higher education institutions in New York State that prepare teachers. Of these [21] 23 educators practicing in the State, at least 11 shall be practicing, certified teachers in elementary, middle or secondary schools; *at least four shall be practicing, certified school building or district administrators in schools or districts*; and at least seven shall be representatives of higher education institutions that prepare teachers, including at least one president or chief academic officer; provided that at least [14] 15 of the [21] 23 educators shall have had full-time experience as certified teachers in elementary, middle or secondary schools.

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

Data, views or arguments may be submitted to: Petra Maxwell, NYS Education Department, Office of Higher Education, 89 Washington Avenue, Room 975 EBA, Albany, NY 12234, (518) 474-2238, email: OHEREGComments@nysed.gov

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

Education Law § 305 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 § 3003 authorizes the Commissioner to issue a certificate as superintendent of schools to exceptionally qualified persons who do not meet all of the graduate course and teaching requirements.

Education Law § 3004 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 3.14 of the Rules of the Board of Regents relating to the composition of the Professional Standards and Practices Board (PSPB) for Teaching is to allow the PSPB to have at least four members be practicing, certified school building or district administrators in schools or districts. By requiring at least four administrators on the Board, the Professional Practices subcommittee is likely to have the two administrators needed at any given meeting to hear moral character cases.

3. NEEDS AND BENEFITS:

To accommodate four administrators on the PSPB, the required number of members practicing in New York State on the Board would need to increase from 21 to 23. This group of 23 members would continue to reflect the current requirement of at least 11 certified teachers and at least seven representatives of higher education institutions that prepare teachers but would now also include at least four administrators.

Increasing the number of members practicing in New York State from 21 to 23 would require increasing the total number of Board members from 28 to 30. The Department is additionally proposing to require at least

15, instead of 14, of the 23 members (half of a 30-member Board) to have had full-time experience as certified teachers in elementary, middle, or secondary 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:

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

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

Following the 60-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendment will be presented to the Board of Regents for adoption at its June 2020 meeting. If adopted at the June 2020 meeting, the proposed amendment will become effective on June 24, 2020.

Regulatory Flexibility Analysis

The purpose of the proposed amendment to Section 3.14 of the Rules of the Board of Regents relating to the composition of the Professional Standards and Practices Board for Teaching is to allow the PSPB to have at least four members be practicing, certified school building or district administrators in schools or districts. By requiring at least four administrators on the Board, the Professional Practices subcommittee is likely to have the two administrators needed at any given meeting to hear moral character cases.

To accommodate four administrators on the PSPB, the required number of members practicing in New York State on the Board would need to increase from 21 to 23. This group of 23 members would continue to reflect the current requirement of at least 11 certified teachers and at least seven representatives of higher education institutions that prepare teachers but would now also include at least four administrators.

Increasing the number of members practicing in New York State from 21 to 23 would require increasing the total number of Board members from 28 to 30. The Department is additionally proposing to require at least 15, instead of 14, of the 23 members (half of a 30-member Board) to have had full-time experience as certified teachers in elementary, middle, or secondary schools.

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

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed amendment applies to all educators 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 3.14 of the Rules of the Board of Regents relating to the composition of the Professional Standards and Practices Board for Teaching is to allow the PSPB to have at least four members be practicing, certified school building or district administrators in schools or districts. By requiring at least four administrators on the Board, the Professional Practices subcommittee is likely to have the two administrators needed at any given meeting to hear moral character cases.

To accommodate four administrators on the PSPB, the required number of members practicing in New York State on the Board would need to increase from 21 to 23. This group of 23 members would continue to

reflect the current requirement of at least 11 certified teachers and at least seven representatives of higher education institutions that prepare teachers but would now also include at least four administrators.

Increasing the number of members practicing in New York State from 21 to 23 would require increasing the total number of Board members from 28 to 30. The Department is additionally proposing to require at least 15, instead of 14, of the 23 members (half of a 30-member Board) to have had full-time experience as certified teachers in elementary, middle, or secondary schools.

3. COSTS:

The proposed amendments do not impose any costs on PSPB candidates and/or the New York State school districts or the BOCES.

4. MINIMIZING ADVERSE IMPACT:

The Department believes that by simply requiring at least four administrators on the Board, the Professional Practices subcommittee is more likely to have the two administrators needed at any given meeting to hear moral character cases.

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 the School Administrator Association of New York State whose membership administrators who live or work in rural areas.

Job Impact Statement

The purpose of the proposed amendment to section 3.14 of the Rules of the Board of Regents relating to the composition of the Professional Standards and Practices Board for Teaching is to allow the PSPB to have at least four members be practicing, certified school building or district administrators in schools or districts. By requiring at least four administrators on the Board, the Professional Practices subcommittee is likely to have the two administrators needed at any given meeting to hear moral character cases.

To accommodate four administrators on the PSPB, the required number of members practicing in New York State on the Board would need to increase from 21 to 23. This group of 23 members would continue to reflect the current requirement of at least 11 certified teachers and at least seven representatives of higher education institutions that prepare teachers but would now also include at least four administrators.

Increasing the number of members practicing in New York State from 21 to 23 would require increasing the total number of Board members from 28 to 30. The Department is additionally proposing to require at least 15, instead of 14, of the 23 members (half of a 30-member Board) to have had full-time experience as certified teachers in elementary, middle, or secondary schools.

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

Term Limits for Members of the Advisory Committee on Long-Term Clinical Clerkships

I.D. No. EDU-08-20-00009-P

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

Proposed Action: Amendment of section 60.2 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 605, 6501, 6504, 6506, 6507, 6508, 6524, 6525, 6526, 6541 and 6548

Subject: Term Limits for Members of the Advisory Committee on Long-Term Clinical Clerkships.

Purpose: To remove the two term limit for committee members to most effectively advise the Board of Regents and the Department.

Text of proposed rule: Subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education is amended to read as follows:

(f) Establishment of Advisory Committee on Long-Term Clinical Clerkships.

(1) ...

(2) ...

(3) [Terms of members. The terms of the members of the first committee appointed pursuant to subparagraphs (2)(v) through (viii) of this subdivision shall be so arranged that the terms of two members shall expire on June 30, 2013, the terms of two on June 30, 2014, and the terms of two on June 30, 2015, and the terms of two on June 30, 2016. Thereafter, all members appointed pursuant to subparagraphs (2)(v) through (viii) of this

subdivision shall be appointed to serve a term of four years each, beginning with the first day of July next following the ending of the term to which each, respectively, is to succeed, except that an appointment to fill a vacancy created other than by the expiration of a term shall be for the unexpired term. Members shall serve no more than two terms in succession, except that a member may serve a succeeding third term if at least one of the preceding two terms was less than two years in duration. Members may again serve two terms in succession after a gap in service of at least four years.

(4) [Duties of the Advisory Committee on Long-Term Clinical Clerkships. The committee shall gather and study existing research on relevant issues, such as health workforce demands and trends, health workforce diversity and Board of Regents policy determinations. Based on such research and policy determinations, the committee shall:

(i) ...

(ii) ...

(iii) ...

(iv) ...

[(5)] (4) After consideration of the committee's recommendations, the Department shall make a recommendation to the Board of Regents as to whether an application for authorization to place students in a long-term clinical clerkship should be approved. Upon approval by the Board of Regents, the medical school shall be authorized to place students in long-term clinical clerkships in New York State pursuant to standards and/or limitations prescribed by the Board of Regents.

[(6)] (5) Until the Board of Regents approves the new standards and processes for approval for the placement of students in international medical schools in long-term clinical clerkships, schools currently approved for such purpose will continue to be subject to the current standards and processes prescribed in subdivision (c) of this section.

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

Data, views or arguments may be submitted to: Douglas E. Lentivech, NYS Education Department, Office of the Professions, 89 Washington Avenue, 2nd Floor EB, West Wing, Albany, NY 12234, (518) 486-1727, email: REGCOMMENTS@nysed.gov

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

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.

Subdivisions (3) and (4) of section 605 of the Education Law authorize the Board of Regents to award professional education in medicine or dentistry scholarships and Regents physician shortage scholarships annually.

Subdivision (1) of section 6501 of the Education Law establishes the licensure requirements for the professions in Title VIII of the Education Law.

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

Subdivision (1) of section 6506 of the Education Law authorizes the Board of Regents to supervise the admission to the practice of the professions and to promulgate rules to carry out such supervision.

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 (1) of section 6508 authorizes the Board of Regents, on the recommendation of the Commissioner of Education to appoint a board for each profession for the purpose of assisting the Board of Regents and the Department on matters of professional licensing, practice, and conduct.

Section 6524 of the Education Law establishes the requirements for licensure as a physician.

Section 6525 of the Education Law establishes the limited permit requirements for applicants for licensure as physicians.

Section 6526 of the Education Law establishes the exemptions under persons may practice medicine within New York without a license.

Section 6541 of the Education Law establishes the requirements for licensure as a physician assistant.

Section 6548 of the Education Law establishes the requirements for registration as a specialist assistant.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment carries out the legislative intent of the aforementioned statutes that the Board of Regents and the Department regulate the admission to and the practice in the professions, as well as the Board of Regents' authority create the Advisory Committee on Long-Term Clinical Clerkships (Committee), establish the composition of the Com-

mittee, set the terms of the Committee members, define the duties of the Committee, and establish the procedure for consideration of the Committee's recommendations by the Department and the Board of Regents.

The proposed amendment to paragraph (3) of subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education removes provisions prohibiting members of the Committee from serving more than two terms in succession. This revision would allow the Chancellor, upon consultation with the Board of Regents, to appoint members to the Committee for as many four-year terms as deemed appropriate to most effectively advise the Board of Regents and the Department on matters pertaining to the standards and process for approving international medical schools to place their students in long-term clinical clerkships in New York State. Removing these artificially imposed term limits will allow the Chancellor and the Board of Regents to have greater flexibility in providing the Committee with the expertise needed to address issues that arise in the Committee's work or that are assigned to it by the Department or the Board of Regents, while still retaining the ability to appoint additional Committee members as needed.

3. NEEDS AND BENEFITS:

At its meeting in February 2011, the Board of Regents approved a plan for the establishment of an advisory committee on clinical clerkships in medicine. To implement that plan, subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education was adopted, as an emergency measure, by the Board of Regents at its April 2011 and June 2011 meetings. Subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education created the Advisory Committee on Long-Term Clinical Clerkships (Committee), established the composition of the Committee, set the terms of the Committee members, defined the duties of the Committee, and established the procedure for consideration of the Committee's recommendations by the Department and the Board of Regents. It was adopted as a permanent rule at the July 2011 Regents meeting. Subsequently, by emergency action in September 2013, the regulation was amended, to increase from one to two the number of Regents sitting on the Committee and authorize the Chancellor to appoint additional Committee members, upon consultation with the Board. Such amendments were permanently adopted in December 2013. The members of the Committee are appointed by the Chancellor of the Board of Regents, upon consultation with the Board.

The duties of the Committee include:

- recommending standards and procedures for the approval of international medical schools to place students in long-term clinical clerkships;
- appointing appropriate site review teams in connection with applications for such approval; and
- issuing reports and recommendations on such applications.

Currently, the members of the Committee are permitted to serve no more than two terms in succession, "except that a member may serve a succeeding third term if at least one of the preceding two terms was less than two years in duration." Members are permitted to again serve two terms in succession after a gap in service of at least four years.

The proposed amendment would remove such provisions prohibiting members of the Committee from serving more than two terms in succession. This revision would allow the Chancellor, upon consultation with the Board of Regents, to appoint members to the Committee for as many four-year terms as deemed appropriate to most effectively advise the Board of Regents and the Department on matters pertaining to the standards and process for approving international medical schools to place their students in long-term clinical clerkships in New York State. Removing these artificially imposed term limits will allow the Chancellor and the Board of Regents to have greater flexibility in providing the Committee with the expertise needed to address issues that arise in the Committee's work or that are assigned to it by the Department or the Board of Regents, while still retaining the ability to appoint additional Committee members as needed.

4. COSTS:

The proposed amendment removes provisions prohibiting members of the Committee from serving more than two terms in succession, which allows the Chancellor, upon consultation with the Board of Regents, to appoint members to the Committee for as many four-year terms as deemed appropriate to most effectively advise the Board of Regents and the Department on matters pertaining to the standards and process for approving international medical schools to place their students in long-term clinical clerkships in New York State. By removing these artificially imposed term limits, the proposed amendment provides the Chancellor and the Board of Regents with greater flexibility in providing the Committee with the expertise needed to address issues that arise in the Committee's work or that are assigned to it by the Department or the Board of Regents, while still retaining the ability to appoint additional Committee members as needed. The proposed amendment imposes no costs on any parties.

(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 imposes no new forms, reporting requirements, or other recordkeeping or paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendment to paragraph (3) of subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education arose out of concerns that the Chancellor and the Board of Regents needed greater flexibility in providing the Committee with the expertise needed to address issues that arise in the Committee's work or that are assigned to it by the Department or the Board of Regents on matters pertaining to the standards and process for approving international medical schools to place their students in long-term clinical clerkships in New York State. Currently, the members of the Committee are permitted to serve no more than two terms in succession, "except that a member may serve a succeeding third term if at least one of the preceding two terms was less than two years in duration." Members are permitted to again serve two terms in succession after a gap in service of at least four years.

By removing the provisions prohibiting members of the Committee from serving more than two terms in succession, the Chancellor, upon consultation with the Board of Regents, will be able to appoint members to the Committee for as many four-year terms as deemed appropriate to most effectively advise the Board of Regents and the Department on matters pertaining to the standards and process for approving international medical schools to place their students in long-term clinical clerkships in New York State. Removing these artificially imposed term limits will allow the Chancellor and the Board of Regents to have greater flexibility in providing the Committee with the expertise needed to address issues that arise in the Committee's work or that are assigned to it by the Department or the Board of Regents, while still retaining the ability to appoint additional Committee members as needed. There are no significant alternatives to the proposed amendment and none were considered.

9. FEDERAL STANDARDS:

No Federal standards apply to the subject of this proposed rule making. The Federal government does not regulate the establishment of State advisory committees on clinical clerkships in medicine or their composition, the terms of their committee members or their committee duties. Since there are no applicable federal standards, the proposed amendment does not exceed any minimum federal standards for the same or similar subject areas.

10. COMPLIANCE SCHEDULE:

If adopted at the June 2020 Regents meeting, the proposed amendment will become effective on June 24, 2020. It is anticipated that regulated parties will be able to comply with the proposed amendment by the effective date.

Regulatory Flexibility Analysis

At its meeting in February 2011, the Board of Regents approved a plan for the establishment of an advisory committee on clinical clerkships in medicine. To implement that plan, subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education was adopted, as an emergency measure, by the Board of Regents at its April 2011 and June 2011 meetings. Subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education created the Advisory Committee on Long-Term Clinical Clerkships (Committee), established the composition of the Committee, set the terms of the Committee members, defined the duties of the Committee, and established the procedure for consideration of the Committee's recommendations by the Department and the Board of Regents. It was adopted as a permanent rule at the July 2011 Regents meeting. Subsequently, by emergency action in September 2013, the regulation was amended, to increase from one to two the number of Regents sitting on the Committee and authorize the Chancellor to appoint additional Committee members, upon consultation with the Board. Such amendments were permanently adopted in December 2013. The members of the Committee are appointed by the Chancellor of the Board of Regents, upon consultation with the Board.

The duties of the Committee include:

- recommending standards and procedures for the approval of international medical schools to place students in long-term clinical clerkships;
- appointing appropriate site review teams in connection with applications for such approval; and

- issuing reports and recommendations on such applications.

Currently, the members of the Committee are permitted to serve no more than two terms in succession, "except that a member may serve a succeeding third term if at least one of the preceding two terms was less than two years in duration." Members are permitted to again serve two terms in succession after a gap in service of at least four years.

The proposed amendment to paragraph (3) of subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education removes provisions prohibiting members of the Committee from serving more than two terms in succession. This revision would allow the Chancellor, upon consultation with the Board of Regents, to appoint members to the Committee for as many four-year terms as deemed appropriate to most effectively advise the Board of Regents and the Department on matters pertaining to the standards and process for approving international medical schools to place their students in long-term clinical clerkships in New York State. Removing these artificially imposed term limits will allow the Chancellor and the Board of Regents to have greater flexibility in providing the Committee with the expertise needed to address issues that arise in the Committee's work or that are assigned to it by the Department or the Board of Regents, while still retaining the ability to appoint additional Committee members as needed.

The proposed amendment is applicable to all international medical schools seeking approval to place their students in long-term clinical clerkships in New York State. The proposed amendment will not impose any new reporting, recordkeeping or any other compliance requirements, 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

At its meeting in February 2011, the Board of Regents approved a plan for the establishment of an advisory committee on clinical clerkships in medicine. To implement that plan, subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education was adopted, as an emergency measure, by the Board of Regents at its April 2011 and June 2011 meetings. Subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education created the Advisory Committee on Long-Term Clinical Clerkships (Committee), established the composition of the Committee, set the terms of the Committee members, defined the duties of the Committee, and established the procedure for consideration of the Committee's recommendations by the Department and the Board of Regents. It was adopted as a permanent rule at the July 2011 Regents meeting. Subsequently, by emergency action in September 2013, the regulation was amended, to increase from one to two the number of Regents sitting on the Committee and authorize the Chancellor to appoint additional Committee members, upon consultation with the Board. Such amendments were permanently adopted in December 2013. The members of the Committee are appointed by the Chancellor of the Board of Regents, upon consultation with the Board.

The duties of the Committee include:

- recommending standards and procedures for the approval of international medical schools to place students in long-term clinical clerkships;
- appointing appropriate site review teams in connection with applications for such approval; and
- issuing reports and recommendations on such applications.

Currently, the members of the Committee are permitted to serve no more than two terms in succession, "except that a member may serve a succeeding third term if at least one of the preceding two terms was less than two years in duration." Members are permitted to again serve two terms in succession after a gap in service of at least four years.

The proposed amendment to paragraph (3) of subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education removes provisions prohibiting members of the Committee from serving more than two terms in succession. This revision would allow the Chancellor, upon consultation with the Board of Regents, to appoint members to the Committee for as many four-year terms as deemed appropriate to most effectively advise the Board of Regents and the Department on matters pertaining to the standards and process for approving international medical schools to place their students in long-term clinical clerkships in New York State. Removing these artificially imposed term limits will allow the Chancellor and the Board of Regents to have greater flexibility in providing the Committee with the expertise needed to address issues that arise in the Committee's work or that are assigned to it by the Department or the Board of Regents, while still retaining the ability to appoint additional Committee members as needed.

The proposed amendment is applicable to all international medical schools seeking approval to place their students in long-term clinical clerk-

ships in New York State. The proposed amendment does not impact entities in rural areas of New York State. 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 area flexibility analysis is not required and one has not been prepared.

Job Impact Statement

At its meeting in February 2011, the Board of Regents approved a plan for the establishment of an advisory committee on clinical clerkships in medicine. To implement that plan, subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education was adopted, as an emergency measure, by the Board of Regents at its April 2011 and June 2011 meetings. Subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education created the Advisory Committee on Long-Term Clinical Clerkships (Committee), established the composition of the Committee, set the terms of the Committee members, defined the duties of the Committee, and established the procedure for consideration of the Committee's recommendations by the Department and the Board of Regents. It was adopted as a permanent rule at the July 2011 Regents meeting. Subsequently, by emergency action in September 2013, the regulation was amended, to increase from one to two the number of Regents sitting on the Committee and authorize the Chancellor to appoint additional Committee members, upon consultation with the Board. Such amendments were permanently adopted in December 2013. The members of the Committee are appointed by the Chancellor of the Board of Regents, upon consultation with the Board.

The duties of the Committee include:

- recommending standards and procedures for the approval of international medical schools to place students in long-term clinical clerkships;
- appointing appropriate site review teams in connection with applications for such approval; and
- issuing reports and recommendations on such applications.

Currently, the members of the Committee are permitted to serve no more than two terms in succession, "except that a member may serve a succeeding third term if at least one of the preceding two terms was less than two years in duration." Members are permitted to again serve two terms in succession after a gap in service of at least four years.

The proposed amendment to paragraph (3) of subdivision (f) of section 60.2 of the Regulations of the Commissioner of Education removes provisions prohibiting members of the Committee from serving more than two terms in succession. This revision would allow the Chancellor, upon consultation with the Board of Regents, to appoint members to the Committee for as many four-year terms as deemed appropriate to most effectively advise the Board of Regents and the Department on matters pertaining to the standards and process for approving international medical schools to place their students in long-term clinical clerkships in New York State. Removing these artificially imposed term limits will allow the Chancellor and the Board of Regents to have greater flexibility in providing the Committee with the expertise needed to address issues that arise in the Committee's work or that are assigned to it by the Department or the Board of Regents, while still retaining the ability to appoint additional Committee members as needed.

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.

Department of Environmental Conservation

NOTICE OF ADOPTION

Amendments to Great Lakes Sportfishing Regulations 6 NYCRR Section 10.2

I.D. No. ENV-42-19-00003-A

Filing No. 89

Filing Date: 2020-02-05

Effective Date: 2020-02-26

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

Action taken: Amendment of section 10.2 of Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, section 11-0317
Subject: Amendments to Great Lakes Sportfishing Regulations 6 NYCRR section 10.2.

Purpose: Maintain or improve the quality of the State's fisheries resources thereby optimizing public use and economic benefits.

Text or summary was published in the October 16, 2019 issue of the Register, I.D. No. ENV-42-19-00003-P.

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

Text of rule and any required statements and analyses may be obtained from: Steve LaPan, NYS Department of Environmental Conservation, P.O. Box 292, 541 East Broadway, Cape Vincent, NY 13618, (315) 654-2147, email: steven.lapan@dec.ny.gov

Revised Regulatory Impact Statement

1. Statutory authority: Section 3-0301 of the Environmental Conservation Law (ECL) establishes the general functions, powers and duties of the Department of Environmental Conservation (Department) and the Commissioner, including general authority to adopt regulations. Sections 11-0303 and 11-0305 of the ECL authorize the Department to provide for the management and protection of the State's fisheries resources, taking into consideration ecological factors, public safety, and the safety and protection of private property. Section 11-0317 of the ECL empowers the Department to adopt regulations, after consultation with the appropriate agencies of the neighboring states and the Province of Ontario, establish open seasons, minimum size limits, manner of taking, and creel/seasonal limits for the taking of fish in the waters of Lake Erie, Lake Ontario, the Niagara River and the St. Lawrence River. Sections 11-1301 and 11-1303 of the ECL empower the Department to fix by regulation open seasons, size and catch limits, and the manner of taking of all species of fish, except certain species of marine fish (listed in section 13-0339 of the ECL), in all waters of the State. Section 11-1319 of the ECL governs possession of fish taken in waters of the State.

2. Legislative objectives: Open seasons, size restrictions, daily creel limits, and restrictions regarding the manner of taking fish are tools used by the Department to achieve the intent of the above referenced legislation. The purpose of setting seasons is to prevent over-exploitation of fish populations during vulnerable periods, such as spawning, thereby promoting healthy populations. Size and creel limits are necessary to optimize resource benefits to anglers and maintain high quality sportfisheries.

3. Needs and benefits: The proposed amendments are necessary to maintain or improve the quality of the State's fisheries resources thereby optimizing opportunities for public use and economic benefits, consistent with resource conservation. Four of the five proposed regulation amendments result from a series of meetings with a Lake Ontario Fisheries Management Focus Group (Focus Group), convened to determine anglers' desired fisheries management outcomes and to seek consensus on management actions that will result in maintenance of/improvement to high quality sportfisheries. The Focus Group was comprised of 16 angler representatives, several of whom are charter captains or tributary guides who also interact with county tourism officials. The following four proposed regulation amendments are as follows:

1. Lengthen the open season for lake trout in Lake Ontario/Lower Niagara River by one month - Anglers targeting rainbow trout/steelhead in the Lower Niagara River frequently catch lake trout. Since lake trout spawning is largely over by the end of November, opening the lake trout season on December 1 will provide anglers with additional opportunities to harvest trophy lake trout without jeopardizing lake trout restoration efforts.

2. Reduce the open Lake Ontario/Lower Niagara River creel limit for rainbow trout/steelhead from 3 to 2 fish/day - Rainbow trout/steelhead provide the primary sportfishery in Lake Ontario's tributaries from November through the following spring. This potential change is designed to increase numbers and sustainability of rainbow trout/steelhead in the tributary fishery by reducing open lake harvest during periods when Chinook fishing success in the lake declines and more anglers specifically target rainbow trout/steelhead.

3. Reduce the creel limit for brown trout in Lake Ontario tributaries from 3 to 1 fish/day - This change is intended to prolong high quality brown fishing opportunities through the winter months, while still allowing anglers the opportunity to harvest a trophy fish. Fishing effort on Lake Ontario tributaries can be intense each year from fall through spring and maintaining high quality brown trout fishing opportunities relies on anglers releasing a high proportion of their catch.

4. Increase the minimum size limit for rainbow trout/steelhead in Lake Ontario tributaries from 21" to 25" - This change is intended to prolong high quality rainbow trout/steelhead fishing opportunities through the winter months, while still allowing anglers the opportunity to harvest a trophy fish. Anglers have noted smaller rainbow trout/steelhead in recent years, and declining rainbow trout/steelhead fishing success as the winter season progresses.

A fifth amendment would remove angling restrictions on two Lake Erie

tributaries, thereby expanding angling opportunities: (5) Eliminate special Lake Erie tributary seasonal fishing closures applied to Spooner Creek and North Branch of Clear Creek.

4. Costs: Enacting regulation amendments described herein will not result in increased expenditures by State or local governments, or the general public.

- a. None.
- b. None.
- c. N/A.

5. Local government mandates: These regulation amendments will not impose any programs, services, duties or responsibilities upon any county, city, town, village, school district, fire district, or other special district.

6. Paperwork: No additional paperwork will result from these proposed regulation amendments.

7. Duplication: There are no other State or federal regulations which govern the taking of freshwater sportfish.

8. Alternatives: A no-action alternative would prevent these modifications from becoming established in regulation, and potential sportfishery improvements and associated economic benefits would be deferred. Additionally, a no-action alternative will likely illicit a negative feedback from organized angling groups.

9. Federal standards: There are no minimum federal standards that apply to freshwater sportfishing regulation.

10. Compliance schedule: These regulations, if adopted, will become effective on 1 April, 2020. Anglers will be able to immediately comply with these regulations once they take effect.

Revised Regulatory Flexibility Analysis

1. Effect of rule: This rulemaking stems from an extensive public outreach process with representatives from the Lake Ontario angling community, including charter captains and tributary guides whose businesses rely on the fishery. These proposed regulation amendments are intended to improve sustainable, high-quality sportfisheries that we anticipate will have a positive impact on guide businesses as well as associated local service industry including food, lodging, marinas, tackle shops and fuel vendors. The proposed regulation amendments will not impose adverse impacts or new/additional reporting, record-keeping or other compliance requirements on small businesses or local governments. Town or village clerks and some small businesses issue fishing licenses, however, these proposed amendments have no effect on that process.

2. Compliance requirements: None.

3. Professional services: None.

4. Compliance costs: None.

5. Economic and technological feasibility: No additional economic or technological burdens imposed.

6. Minimizing adverse impact: As noted above, we anticipate positive economic impacts from these regulation amendments.

7. Small business and local government participation: Prior to this NPR, potential amendments to Great Lakes sportfishing regulations were announced via statewide press release directing interested parties to the Department's website where the potential amendments were described, and those interested were offered a link to submit comments. In addition, four public meetings were held in March 2019 where the potential amendments were discussed. In addition, four public meetings were held in March 2019 where the potential amendments were discussed. In addition, a second press release and public comment period (45 days) will be conducted in summer 2019.

8. For rules that either establish or modify a violation or penalties associated with a violation: N/A.

9. Initial review of the rule, pursuant to SAPA section 207 as amended by L. 2012, ch. 462: N/A.

Revised Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas: For purposes of this Rural Area Flexibility Analysis, "rural area" means those portions of the state so defined by Executive Law section 481(7). State Administrative Procedure Act section 102(10). Under Executive Law section 481(7), rural areas are defined as "counties within the state having less than two hundred thousand population, and the municipalities, individuals, institutions, communities, programs and such other entities or resources as are found therein. In counties of two hundred thousand or greater population, "rural areas" means towns with population densities of one hundred fifty persons or less per square mile, and the villages, individuals, institutions, communities, programs and such other entities or resources as are found therein." There are 44 counties in New York State (State) that have populations of less than 200,000 people and 71 towns in non-rural counties where the population densities are less than 150 people per square mile. The proposed rules would apply to all rural areas of the following counties: Erie, Niagara, Orleans, Monroe, Cayuga, Oswego, and Jefferson.

2. Reporting, recordkeeping and other compliance requirements; and professional services: The proposed regulation amendments will not

impose adverse impacts or new/additional reporting, record-keeping or other compliance requirements on small businesses or local governments.

3. Costs: There are no compliance costs associated with this proposed rule making.

4. Minimizing adverse impact: These proposed regulation amendments are intended to improve sustainable, high-quality sportfisheries that we anticipate will have a positive impact on guide businesses as well as associated local service industry including food, lodging, marinas, tackle shops and fuel vendors.

5. Rural area participation: Prior to this NPR, potential amendments to Great Lakes sportfishing regulations were announced via statewide press release directing interested parties to the Department's website where the potential amendments were described, and those interested were offered a link to submit comments. In addition, four public meetings were held in March 2019 where the potential amendments were discussed. In addition, a second press release and public comment period (45 days) will be conducted in summer 2019.

6. Initial review of the rule, pursuant to SAPA section 207 as amended by L. 2012, ch. 462: N/A.

Revised Job Impact Statement

1. Nature of impact: This proposed rulemaking will not have an adverse impact on jobs or employment opportunities in New York. These proposed amendments to Great Lakes sportfishing regulations are intended to improve sportfishing quality, thereby enhancing fishing related business/job opportunities.

2. Categories and numbers affected: Improving sportfishing quality could have a direct, positive impact on the following employment opportunities: fishing guides, charter captains, tackle/bait businesses, fish cleaning stations. Economic benefits could also accrue indirectly to marinas, hotels/motels/campgrounds, restaurants, gas stations.

3. Regions of adverse impact: No adverse impact to any region(s).

4. Minimizing adverse impact: No actions necessary.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2024, which is the 4th or 5th year after the year in which this rule is being adopted. This review period, justification for proposing same, and invitation for public comment thereon, were contained in a RFA, RAFA or JIS:

An assessment of public comment on the 4 or 5-year initial review period is not attached because no comments were received on the issue.

Assessment of Public Comment

The Department of Environmental Conservation (Department) received over 500 comments total on five proposed regulation amendments. All comments were reviewed and categorized when appropriate, and Responses below are limited to those comments opposing new regulations. The Department's responses are organized for each proposed regulation amendment, and often address comments received by more than 1 individual.

Extend the open season for lake trout in Lake Ontario and the Lower Niagara River (GL-01; overall comments: 40 support / 4 oppose). The Department will promulgate this regulation as introduced.

Comment:

Allowing targeting and harvest of post-spawn lake trout will severely impact the population in the future.

Response:

The Department closely monitors the status of the adult lake trout population, and will reconsider this regulation in the event that its status shows signs of decline.

Comment:

Lake trout are frequently caught when fishing for steelhead as early as October. There is no way to avoid lake trout, as they take the same lures. Recommend catch and release/artificial lures only from October 1 through November 30; open season December 1 through 30 September.

Response:

The Department carefully considered this proposal, and given a binational effort dedicated to lake trout restoration, decided that promoting a catch and release season during the spawning period was inconsistent with restoration objectives.

Comment:

Weather patterns have been warmer, potentially delaying lake trout spawning. Better to keep the season closed until January 1 until any late fish have a chance to spawn.

Response:

The Department will continue to monitor the status of the adult lake trout population, and the extent of wild reproduction in the Lower Niagara River. This regulation will be reconsidered in the event of a change in status.

Reduce the daily creel limit for brown trout in Lake Ontario tributaries (GL-02; overall comments: 150 support / 17 oppose). The Department will promulgate this regulation as introduced.

Comment:

The proposed tributary creel limit reduction from 3 brown trout per day to 1 is drastic; why don't we reduce limits for charter captains?

Response:

This regulation change had been proposed by organized angling groups and individual anglers many times in the past to improve and prolong high quality brown trout fishing in Lake Ontario tributaries. A less "drastic" reduction to 2 brown trout per day would likely not produce the desired outcome of extending the high quality tributary fisheries in the fall/winter. The commenter's concern that similar restrictions are not being imposed on charter captains is valid, however, such a proposal would apply to all lake anglers and has been overwhelmingly rejected during current and previous public outreach efforts.

Comment:

Several out of state commenters opposed this regulation based on the premise that, given an existing 1 steelhead per day tributary creel limit, they would cease to travel to New York if they could only harvest 1 brown trout and 1 steelhead each day.

Response:

An equal number of out of state anglers expressed their support for the regulation. Also, similar claims were made when the Department reduced the tributary creel limit for steelhead from 3 to 1 fish per day, and creel survey data did not detect a decline in out of state angler participation.

Comment:

The DEC would be better off providing better enforcement of the existing regulations, and stock more fish.

Response:

Regardless of the level of law enforcement, this creel limit reduction is deemed necessary to achieve desired management objectives. Stocking more fish in the absence of this regulation will likely only increase overall harvest, thereby not meeting management objectives.

Comment:

This regulation is unnecessary as the number of brown trout returning to tributaries has increased in recent years in the late season. It may be better to reduce the creel limit from August to October, and then go back to 3 or 2 in November.

Response:

This proposal is not based on overall numbers of brown trout returning to tributaries, but the duration of their presence (i.e. rate of harvest) once they arrive there. Imposing the restriction seasonally would be viewed as selectively biased against late summer/early fall anglers, and would also unnecessarily increase the complexity of regulations for anglers.

Comment:

The Department's reduction of the tributary steelhead creel limit from 3 to 1 fish reduced the number of steelhead and angler participation, and this regulation would have a similar effect.

Response:

Information derived from the Department's angler creel survey does not support these claims. With the exception of concerns about smaller steelhead size and diminished numbers in winter/spring, steelhead anglers have been generally very satisfied with the fishery. Creel surveys continue to document strong representation from out of state anglers.

Comment:

This regulation unfairly penalizes anglers who want to harvest more brown trout for food.

Response:

The Department acknowledges this concern, but this proposal is deemed necessary to meet fisheries management objectives and has received significant support among tributary anglers. Also, brown trout returning to Lake Ontario tributaries are typically very large (17-22 inches; 2 - 6 pounds) and are generally considered "unpalatable." Given the relatively large size of these fish, the ability to harvest 1 fish each day is not overly restrictive for those who desire to consume their catch. Additionally, the NYS Department of Health recommends against consuming more than one meal of brown trout > 20 inches per month.

Increase the minimum size limit for rainbow trout/steelhead on Lake Ontario tributaries (GL-03; overall comments: 124 support / 11 oppose) ["hereafter steelhead"]. The Department will promulgate this regulation as introduced.

Comment:

The current 1 fish daily creel limit with a 21" minimum size limit is reasonable for people who want to harvest a fish.

Response:

This regulation was proposed and strongly supported by a large majority of tributary anglers who feel the 21" minimum size limit is insufficient in supporting high quality fisheries through the winter months.

Comment:

Until a "no bait" regulation is instituted, this is a moot proposal as it just encourages the gut hooking and handling of more steelhead.

Response:

Any bait, including beads and flies, can be taken deeply by the fish, however, these instances are very infrequent. When properly handled, steelhead released in a stream environment survive well. The further restriction of legitimate baits, including egg sacs, would likely result in increased incidence to unethical/illegal angling behavior.

Comment:

Preference for keeping one steelhead to eat smaller than 25".

Response:

The Department acknowledges that this regulation restricts an angler's desire to harvest a smaller fish for consumption, however, this regulation is necessary to achieve management objectives and has broad public support.

Comment:

This regulation should apply to the lower Niagara River as well.

Response:

The Department will address this omission with the public in our next fishing regulation amendment process.

Comment:

Need to study why steelhead spawning success is down, and why size has decreased. Increase in regulations will not help until the root cause is identified and addressed.

Response:

There is no evidence to suggest that steelhead spawning success is down, and regardless, steelhead are not managed for natural reproduction. The increased minimum size limit is being implemented in part to reverse the decline in steelhead size.

Comment:

This change does nothing, since people keep bigger steelhead anyway.

Response:

The Department acknowledges that many anglers harvest larger fish, but anglers also harvest smaller fish. Scientific studies validate that increased minimum size limits can be effective in increasing the average size of fish in a population.

Comment:

This regulation is a moot point since the number of steelhead over 25" is so low that they cannot be realistically targeted now.

Response:

While size of steelhead in the tributaries varies, length data collected at the Salmon River Hatchery suggest that sufficient numbers of steelhead >25" exist to support a trophy fishery. The 25" minimum size limit is intended to both increase the numbers of steelhead over time, as well as their average size.

Decrease the daily creel limit for rainbow trout/steelhead on Lake Ontario (GL-04; overall comments: 138 support / 45 oppose) [hereafter "steelhead"]. The Department will promulgate this regulation as introduced.

Comment:

Most commenters opposing this regulation (including a number of charter captains) claim that more steelhead will be killed in the open lake fishery if adopted. These claims are based on the premise that steelhead are mixed with Chinook salmon at times during the summer months, and it is impossible to not catch steelhead when targeting Chinook salmon. Steelhead "fight" hard when hooked, and coupled with warm surface water temperatures, many or most steelhead cannot be successfully released alive. If an angler has taken possession of 2 Chinook salmon and is pursuing a third, the angler is "likely" to catch a number of steelhead that would be released and left to die on the water surface.

Response:

This regulation is the outcome of the Department's ongoing Lake Ontario Fisheries Management Focus Group process, which tasked 16 stakeholder representatives (8 tributary anglers and 8 lake anglers, including charter captains and river guides) with initially identifying "desired fisheries management outcomes," and then engaging in an iterative process with DEC managers to attempt to reach consensus on management actions in support of those outcomes. A guiding principle in the process is managing the lake's fisheries inclusively to provide mutual benefits to tributary and open lake anglers. Early in the process it was agreed that Chinook salmon would be managed primarily for the open lake fishery, while steelhead would be managed for tributary fisheries.

This regulation is intended to improve tributary steelhead fisheries by reducing lake harvest during periods when Chinook salmon fishing quality declines and lake anglers specifically target steelhead. Given recent Chinook salmon stocking reductions, targeted open lake harvest of steelhead will likely increase, potentially negatively impacting tributary steelhead fisheries in the future.

The Department recognizes that successfully releasing steelhead during periods of warm surface water temperatures can be challenging, however, the argument that more steelhead will be released and killed as a result of this regulation is questionable at best. One former and one current charter captain commented that with proper care, steelhead can be released alive during warmer months.

Further, lake anglers can fish three rods per person, and under current regulations each angler can harvest 3 trout and salmon in combination (steelhead, brown trout, Chinook and coho salmon; referred to collectively as "silver fish"). When more than 1 angler is fishing from a boat, a daily "boat limit" is typically employed, i.e. the legal number of silver fish harvested for the day = 3 silver fish X the number of boat anglers, regardless of who actually landed the fish. Department data indicate an average of 3 anglers per Lake Ontario fishing boat trip, meaning 9 silver fish can be harvested each day currently, which could be all steelhead. Under the new regulation, 6 steelhead could still be harvested, plus an additional 3 "other" silver fish. It is the Department's position that relatively few boat trips would result in a situation where a daily limit of steelhead has already been harvested, and anglers continue to pursue other silver fish resulting in the unsuccessful release of numerous steelhead. Hence the Department believes that overall, more steelhead will be "saved" under the new regulation than killed.

Comment:

This regulation will cause a reduction in fishing license sales and charter boat trips and will hurt small business owners.

Response:

Under the current and new regulation, anglers can potentially harvest a total of 6 trout/salmon in combination per day. The elimination of 1 steelhead under the new regulation, which can be replaced with a brown trout, Chinook or coho salmon, should not have any measurable impact on sportfishing participation or associated economic benefits.

Comment:

The proposal is intended to reduce budgets related to fish stocking.

Response:

This regulation will have no impact on numbers of fish stocked or associated budgets.

Comment:

This regulation should apply to the lower Niagara River as well.

Response:

The Department will address this omission with the public in our next fishing regulation amendment process.

Comment:

This regulation represents efforts of stream anglers and Trout Unlimited to exert control over lake fishing regulations.

Response:

As noted above, this regulation resulted from an extensive stakeholder consultation process that included lake anglers. While many tributary anglers and several Trout Unlimited chapters expressed support for this regulation, their support had no undue influence on proposing or adopting this regulation.

Comment:

If one steelhead is being taken away for the daily limit, increase the limit on Chinook salmon to 4 fish.

Response:

The Department strongly considered increasing the daily creel limit for other trout and salmon species for the open lake fishery. Representatives of the charter fishing industry strongly opposed the idea, as it would likely extend the length of fishing trips thereby impacting the potential for selling > one trip per day.

Comment:

Given the Department's efforts to reduce predator demand on alewife using stocking reductions, isn't this regulation counterintuitive?

Response:

The number of steelhead not harvested in the lake under this new regulation will not provide meaningful relief for predator demand on alewife. Chinook salmon stocking reductions provide the greatest relief in the shortest time span; harvest regulation changes do not.

Comment:

We should not reduce the steelhead limit until we experience the results of the salmon stocking reductions.

Response:

The relevance of regulation change to the salmon stocking reductions is limited to the likelihood that lake anglers will increase their focus on harvesting steelhead if Chinook salmon fishing quality declines. Under this scenario, this regulation becomes more imperative and effective.

Comment:

Further study is required. The reduced tributary creel limit did not help, and this won't either.

Response:

While cause and effect cannot be proven conclusively, steelhead fishing quality did improve following the tributary steelhead creel limit reduction from 3 to 1 fish.

Eliminate special Lake Erie tributary regulations applied to Spooner Creek and North Branch of Clear Creek (Erie County) (GL-05; overall comments: 36 support / 5 oppose). The Department will promulgate this regulation as introduced.

Comment:

The existing regulation protects natural reproduction of steelhead and should not be changed as it is inconsistent with the Department's steelhead management plan.

Response:

Department studies conducted in these stream reaches have determined that a lack of juvenile habitat is prohibiting steelhead natural reproduction, and angling opportunities in these reaches are being unnecessarily restricted.

Comment:

Opposed to new regulation as it would only benefit private landowners who post their land. They should derive no special treatment unless they agree to remove posted signs.

Response:

The Department's sportfishing regulation structure is not prejudicial as it relates to land ownership, and we will continue to work with these and other landowners to obtain public fishing rights.

NOTICE OF ADOPTION

Plastic Bag Reduction, Reuse and Recycling Requirements

I.D. No. ENV-48-19-00008-A

Filing No. 134

Filing Date: 2020-02-13

Effective Date: 30 days after filing

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

Action taken: Addition of Part 351 to Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, sections 1-0101, 3-0301, art. 27, titles 27 and 28

Subject: Plastic bag reduction, reuse and recycling requirements.

Purpose: Prohibit distribution of plastic carryout bags, identify allowable reusable bags, set film plastic recycling requirements.

Substance of final rule: This rulemaking adds a new Part 351 Plastic Bag Reduction, Reuse and Recycling to set forth the requirements of Titles 27 and 28 of the Article 27 of the Environmental Conservation Law with respect to the prohibition on plastic carryout bags; the allowable reusable bags; and the recycling of plastic carryout bags and film plastic by stores. The regulations also address the related requirements for manufacturers.

Subpart 351-1 General Provisions

A new Subpart 351-1 sets forth the purpose and applicability and the definitions used in the regulations. These definitions clarify important definitions such as reusable bag, plastic carryout bag, paper carryout bag, compostable plastic bag and exempt bag. This Subpart also includes references, severability and addresses the effect on local laws as well as violations and enforcement.

Subpart 351-2 Requirements for Persons Required to Collect Tax, Store Operators, Owners of Enclosed Shopping Malls, and Manufacturers

A new Subpart 351-2 establishes the prohibitions related to distribution of plastic carryout bags for a person required to collect tax, store operators' requirements related to the sale and use of reusable bags, the responsibilities of store owners and enclosed malls related to the collection of film plastic and manufacturer responsibilities with respect to plastic carryout bags, other film plastic and compostable bags.

Final rule as compared with last published rule: Nonsubstantive changes were made in sections 351-1.1, 351-1.2, 351-1.3, 351-1.5, 351-2.2, 351-2.3 and 351-2.4.

Text of rule and any required statements and analyses may be obtained from: Kayla Montanye, NYSDC, Division of Materials Management, 625 Broadway, Albany, NY 12233-3251, (518) 402-8706, email: kayla.montanye@dec.ny.gov

Additional matter required by statute: Pursuant to Article 8 of the State Environmental Quality Review Act, a Short Environmental Assessment Form, a Negative Declaration and a Coastal Assessment Form have been prepared and are on file.

Revised Regulatory Impact Statement

6 NYCRR Part 351 Plastic Bag Reduction, Reuse and Recycling

INTRODUCTION

Title 27 of Article 27 of the Environmental Conservation Law (ECL) became effective January 1, 2009, and established requirements for stores with 10,000 square feet or more of retail space and chains that operate five or more stores with greater than 5,000 square feet of retail space, and which provide plastic carryout bags to customers, to place bins for the collection of plastic carryout bags and have those collected bags recycled.

Title 27 was amended and expanded, effective March 1, 2015, to also

require the collection at these same stores and retail establishments of uncontaminated non-rigid film plastic packaging products composed of plastic resins, which include, but are not limited to, newspaper bags, dry cleaning bags and shrink-wrap.

Title 27 also includes requirements for the sale of reusable bags by these stores and retail establishments to help change the behavior of customers toward using reusable bags instead of plastic carryout bags.

In 2019, a new Title 28, "Bag Waste Reduction," was added to Article 27 of the ECL. This law bans the distribution of plastic carryout bags to customers, effective March 1, 2020, by any person required to collect tax. ("Person required to collect tax" means any vendor of tangible personal property subject to the tax imposed by New York State Tax Law section 1105(a), "Imposition of sales tax.") This law provides specific exemptions from the definition of plastic carryout bag and requires these retail entities to allow the use of reusable bags. The law also specifically identifies that the new requirements do not exempt the provisions set forth in Title 27 relating to at store film plastic collection and recycling.

Titles 27 and 28 use similar terms, have some overlapping provisions, and taken together are intended to reduce the use of plastic carryout bags and increase the recovery and recycling of film plastic. Clarification of several terms and the coordination of Titles 27 and 28 is necessary because without further defining these terms in a consistent manner, the intent of the ban on plastic carryout bag distribution will not actually be accomplished in an efficient and effective manner. Clarification is also necessary for compliance and to help eliminate loopholes regarding exempt bags and the types of establishments that will or will not be able to provide plastic carryout bags once the ban on plastic carryout bag distribution goes into effect. Additionally, clarification is needed to ensure regulated entities clearly understand violations as they relate to the ban and the enforcement role of the Department of Environmental Conservation (Department). This proposed rulemaking, Part 351, is needed for these reasons.

1. STATUTORY AUTHORITY

The Department's statutory authority to undertake the development of regulations concerning plastic bag reduction, reuse and recycling is found in ECL Sections 1-0101, 3-0301, and 27-2711.

ECL section 1-0101 declares a policy of the State to conserve, improve and protect its natural resources and environment and to prevent, abate and control water, land and air pollution in order to enhance the health, safety and welfare of the people and their overall economic and social well-being.

ECL Section 3-0301 empowers the Department to adopt regulations as may be necessary to carry out the environmental policy of the State set forth in Section 1-0101.

ECL Section 27-2711 authorizes the Department to promulgate any rules and regulations necessary to implement the provisions of Title 27. New Title 28 "Bag Waste Reduction" was added to Article 27 of the Environmental Conservation Law in the FY 19/20 State Budget and specifically references Title 27. Additionally, both Titles 27 and 28 use similar terms, have some overlapping provisions, and seek the reduction of the use of plastic carryout bags. Consequently, these two provisions must be read together to ensure a consistent implementation, and this rulemaking helps to achieve that objective.

2. LEGISLATIVE OBJECTIVES

The legislative objectives for Titles 27 and 28 have been steadily-evolving, combined attempts since 2009 to reduce the use of plastic carryout bags and to provide consumers convenient outlets to recycle film plastic. Title 27 became effective January 1, 2009; it was expanded through amendment effective March 1, 2015; and now Title 28 will become effective on March 1, 2020.

New York residents use 23 billion plastic carryout bags annually. Each bag is only used for an average of 12 minutes. A significant number of these bags make their way into the environment causing litter and damaging wildlife. Bags can be found in our landscape, along our roadways, and in our oceans, rivers and lakes. These bags do not biodegrade and persist for years.

The objectives of this rulemaking are to provide clarity to Titles 27 and 28 so that they can both be effectively implemented and enforced. Regulatory clarification is required because without further defining the terms in Titles 27 and 28, the intent of these Titles will not be accomplished in an efficient and effective manner. The Department has received a plethora of inquiries related to Title 28 and its interrelationship to the requirements of Title 27.

3. NEEDS AND BENEFITS

Title 27 has been in effect since January 1, 2009, for plastic carryout bags. Amendments effective March 1, 2015, addressed a broader film plastic recycling need. These legal requirements have been in place for a decade. The adoption of Title 28 and its evolutionary requirements related to reduction of use of plastic carryout bags becomes effective on March 1, 2020. Titles 27 and 28 are intended to jointly move consumers away from the wasteful and environmentally damaging practice of using an overabun-

dance of plastic carryout bags and provide for a convenient system of collection for consumers of all film plastic. Film plastic is a highly recyclable commodity, if kept separate from the fiber and container recycling stream and processed for recycling separately. In a materials processing facility setting, film plastic jams recycling equipment, and has an adverse effect on the marketability of the other more voluminous recyclables as film plastic is a contaminant.

As noted in Section 2, the Legislative Objectives section, New York residents use 23 billion plastic carryout bags annually, with each bag only used for an average of 12 minutes, yet the environmental impacts of their production, distribution, and use leave a lasting effect on the environment.

These regulations will provide necessary clarity to regulated entities and consumers and ensure the legislative intent of Titles 27 and 28 will be carried out in a coordinated and consistent manner with respect to plastic carryout bag reduction and film plastic recycling.

4. COSTS

Costs to Regulated Parties

While the regulations will not add any direct costs to the regulated parties, the enactment of the laws themselves influence costs.

With respect to the costs related to Title 27 for stores, owners of enclosed shopping malls, and manufacturers, the collection, recycling and recordkeeping requirements have been in place for over ten years for plastic carryout bags and four years for film plastic recycling. Accordingly, their costs will likely decrease over time due to the eventual decrease in the amount of film plastic being deposited in the collection bins because the distribution of many of the plastic carryout bags will be eliminated.

With respect to the costs to stores and other retail establishments related to Title 28, these entities will no longer be able to distribute plastic carryout bags to customers. If these entities choose to provide an alternate bag to customers, the cost per bag is estimated to be three to five times greater than a plastic carryout bag. This is an option for the retailers; it is not a requirement of the regulations. Manufacturers of plastic carryout bags will experience a decline in sales of those bags in New York State. Consumers could realize a cost increase as a result of a retail establishment's choice regarding the provision of bags. Consumers can avoid this cost by bringing their own reusable bags when shopping.

Additionally, Article 28 provides for potential fees on paper carryout bags in cities or counties in the State that choose to opt-in to the paper carryout bag reduction fee provision in the law. This rulemaking does not include or address any of those issues and concerns only plastic bags and film plastic.

Costs to the Department

The Department will not incur additional costs due to the issuance of the proposed regulations. Increased staff time needed to provide technical assistance to the regulated community will be borne by existing staff.

Costs to Local Governments

There should be no costs to local government that are directly related to the proposed regulations.

As identified above under "Costs to Regulated Parties," it should be noted that there are other provisions of Article 28 related to potential fees related to paper carryout bags in cities or counties in the State that choose to opt-in to a paper bag reduction fee provision in the law. This rulemaking does not include or address any of those issues and relates only to plastic bags and film plastic.

5. LOCAL GOVERNMENT MANDATES

This proposal does not directly mandate the expenditure of funds by local government and should not negatively affect local government operations. There are no mandates that need to be addressed by local governments, since the proposed regulations do not apply to these entities.

6. PAPERWORK

The proposed rulemaking will not require any additional paperwork for covered entities. Paperwork requirements for stores, owners of enclosed shopping malls, and manufacturers covered under Title 27 will still be required as part of this rulemaking but have been in place for over 10 years.

7. DUPLICATION

The proposed regulations do not duplicate any other federal or state requirements.

8. ALTERNATIVES

Several alternative approaches were considered prior to initiating this rulemaking.

One approach was to allow implementation to unfold based on the language in the law as had previously been done with Title 27. This alternative was considered and rejected based on the language in Title 28 on several key points that intersect with Title 27 that need clarification. Title 28 directly references the provisions in Title 27, and Titles 27 and 28 use similar terms and have some overlapping provisions. Consequently, they must be read together to continue to reduce the use of plastic carryout bags and increase the recovery and recycling of film plastic. Clarification of several terms and the coordination of Titles 27 and 28 is necessary,

because without further defining these terms in a consistent manner, the intent of the plastic carryout bag ban in Title 28 and the continued film plastic recycling in Title 27 will not be accomplished as intended. This decision was supported by the instantaneous inquiries from stakeholders seeking clarity with respect to the requirements and effects on both Titles 27 and 28 immediately after the passage of Title 28.

A second approach was to implement through issuance of guidance, such as a series of fact sheets or frequently asked questions. This alternative was considered and implemented for initial guidance for stakeholders to address early questions but proved inadequate to address the inquiries with certainty and provide the clear legal support necessary for uniform implementation and enforcement. This alternative also resulted in additional clarity being sought immediately after the initial guidance became publicly available. Further clarification and direction continue to be required, and, accordingly, this alternative was rejected as a stand-alone alternative.

A third approach was to issue a program policy to establish program requirements. This alternative was considered in lieu of drafting regulations. While this alternative would provide for public comment, it would not carry the full legal authority of a formal rulemaking. With the wide nature of the questions received from stakeholders and desire for clear regulatory guidance, this alternative was rejected.

9. FEDERAL STANDARDS

There are no federal standards related to plastic carryout bags or film plastic recycling.

10. COMPLIANCE SCHEDULE

Title 28 of Article 27 will apply to the regulated entities beginning March 1, 2020, pursuant to the law. The Part 351 regulations will become effective 30 days after filing with the Department of State.

Revised Regulatory Flexibility Analysis

6 NYCRR Part 351 Plastic Bag Reduction, Reuse and Recycling

INTRODUCTION

Proposed Part 351 affects stores, other retail establishments, owners of enclosed shopping malls, manufacturers of film plastic carryout bags, and producers of reusable bags. These proposed Part 351 regulations will implement the requirements of Titles 27 and 28 of Article 27 of the Environmental Conservation Law.

The proposed rulemaking addresses the requirements of Title 27, which became effective over ten years ago on January 1, 2009. Title 27 established requirements for stores with 10,000 square feet or more of retail space and chains that operate five or more stores with greater than 5,000 square feet of retail space, and which provide plastic carryout bags to customers, to place bins for the collection of plastic carryout bags and have those collected bags recycled. Pursuant to this law, the owner of an enclosed shopping mall is required to place recycling bins at reasonable intervals throughout the mall. Large mall stores (50,000 square feet or more of retail space) are required to establish their own plastic carryout bag recycling programs. Many of these establishments could be small businesses.

Title 27 was amended and expanded, effective over four years ago on March 1, 2015, to also require the collection at these same stores and retail establishments of uncontaminated non-rigid film plastic packaging products composed of plastic resins, which include, but are not limited to, newspaper bags, dry cleaning bags and shrink-wrap.

Title 27 established collection, recycling and recordkeeping requirements for stores, retail establishments and manufacturers of these film plastic products and have been in place for over ten years.

In 2019, a new Title 28, "Bag Waste Reduction" was added to Article 27 of the ECL. This law bans the distribution of plastic carryout bags to customers, effective March 1, 2020, by any person required to collect tax. ("Person required to collect tax" means any vendor of tangible personal property subject to the tax imposed by New York State Tax Law section 1105(a), "Imposition of sales tax.") This law provides specific exemptions from the definition of plastic carryout bag and requires these retail entities to allow the use of reusable bags. The law also specifically identifies that the new requirements do not exempt the provisions set forth in Title 27 relating to at store film plastic collection and recycling.

Titles 27 and 28 use similar terms, have some overlapping provisions, and taken together are intended to reduce the use of plastic carryout bags and increase the recovery and recycling of film plastic. Clarification of several terms and the coordination of Titles 27 and 28 through the proposed rulemaking is necessary because without further defining these terms in a consistent manner, the intent of the ban on plastic carryout bag distribution will not be accomplished in an efficient and effective manner.

1. EFFECT OF RULE

While the regulations will not add any direct costs to the regulated parties, the enactment of the laws themselves influence costs. Many of the entities affected may be small businesses.

With respect to the costs related to Title 27 for stores, owners of enclosed shopping malls, and manufacturers, the collection, recycling and

recordkeeping requirements have been in place for over ten years for plastic carryout bags and four years for film plastic recycling. Accordingly, their costs will likely decrease over time due to the eventual decrease in the amount of film plastic being deposited in the collection bins because the distribution of many of the plastic carryout bags will be eliminated.

With respect to the costs to stores and other retail establishments related to Title 28, these entities will no longer be able to distribute plastic carryout bags to customers. If these entities choose to provide an alternate bag to customers, the cost per bag is estimated to be three to five times greater than a plastic carryout bag. The regulations do not require the purchase of these bags.

Manufacturers of plastic carryout bags will experience a decline in sales of those bags in New York State to the extent that any manufacturers are small businesses.

Manufacturers of paper bags could realize an increase in sales if a store chooses to provide paper bags to customers, to the extent that any manufacturers are small businesses.

Manufacturers of reusable bags could realize an increase in sales as consumers move to the use of reusable bags over time, to the extent that any manufacturers are small businesses.

There are no specific requirements for local governments related to plastic carryout bags and film plastic recycling.

Article 28 does provide for potential fees on paper carryout bags in cities or counties in the State that choose to opt-in to the paper carryout bag reduction fee provision in the law. This rulemaking does not include or address any of those issues and concerns only plastic carryout bags and film plastic.

2. COMPLIANCE REQUIREMENTS

With respect to the compliance requirements related to Title 27 for stores, owners of enclosed shopping malls, and manufacturers, the collection, recycling and recordkeeping requirements have been in place for over ten years for plastic carryout bags and four years for film plastic. Accordingly, these requirements and any associated costs will likely decrease over time due to the eventual decrease in the amount of film plastic being deposited in the collection bins because the distribution of many of the plastic carryout bags will be eliminated. Additionally, there are no specific compliance requirements for local governments related to the plastic carryout bags and plastic film recycling.

With respect to the compliance requirements related to Title 28 for stores and other retail establishments, these entities will no longer be able to distribute plastic carryout bags to customers. This is a change in current common business practices for most retailers and there will be a compliance expectation.

There are other provisions of Article 28 related to potential fees on paper carryout bags in cities or counties in the State that choose to opt-in to the paper carryout bag reduction fee provision in the law. This rulemaking does not include or address any of those potential compliance issues and relates only to plastic carryout bags and film plastic.

3. PROFESSIONAL SERVICES

With respect to the compliance requirements related to Title 27 for stores, owners of enclosed shopping malls, and manufacturers, the collection, recycling and recordkeeping requirements have been in place for over ten years for plastic carryout bags and four years for film plastic. Accordingly, there are no new professional services anticipated to be required for small businesses or local governments due to the implementation of the plastic carryout bags and film plastic recycling requirements of the regulations.

4. COMPLIANCE COSTS

As noted above in the "Effect of the Rule" section, while the regulations will not add any direct costs to the regulated parties, the enactment of the laws themselves influence costs. Many of the entities affected may be small businesses.

With respect to compliance costs related to Title 27 for stores, owners of enclosed shopping malls, and manufacturers, the collection, recycling and recordkeeping requirements have been in place for over ten years for plastic carryout bags and four years for film plastic recycling. Accordingly, their compliance costs will likely decrease over time due to the eventual decrease in the amount of film plastic being deposited in the collection bins because the distribution of many of the plastic carryout bags will be eliminated.

With respect to the compliance costs related to Title 28 for stores and other retail establishments, these entities will no longer be able to distribute plastic carryout bags to customers. If these entities choose to provide an alternate bag to customers, the cost per bag is estimated to be three to five times greater than a plastic carryout bag. However, this is an option for retailers; it is not a requirement of the regulations. Additionally, the retailers could also choose to charge their customers for the sale of a bag as a taxable item to defray any additional costs.

Manufacturers of plastic carryout bags will experience a decline in sales of those bags in New York State, to the extent that any manufacturers are small businesses.

Manufacturers of paper bags could realize an increase in sales if stores choose to provide paper bags to customers, to the extent that any manufacturers are small businesses.

Manufacturers of reusable bags could realize an increase in sales as consumers move to the use of reusable bags over time, to the extent that any manufacturers are small businesses.

There are no specific requirements for local governments related to the plastic carryout bags and plastic film recycling.

Article 28 provides for potential fees on paper carryout bags in cities or counties in the State that choose to opt-in to the paper carryout bag reduction fee provision in the law. This rulemaking does not include or address any of those issues and relates only to plastic carryout bags and film plastic.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY

With respect to the impacts of Title 27 on stores, owners of enclosed shopping malls, and manufacturers, the collection, recycling, and recordkeeping requirements have been in place for over ten years for plastic carryout bags and four years for film plastic recycling, so there are no economical or technological issues of concern anticipated.

The requirements related to Title 28 prohibiting the distribution of plastic carryout bags to customers is not anticipated to be a technological challenge as many alternative bags, including reusable bags, readily exist today. With respect to economic impacts, for stores and other retail establishments, if these entities choose to provide an alternate bag to customers, the cost per bag is estimated to be three to five times greater than plastic carryout bag.

There are no impacts anticipated for local government related to plastic carryout bags and plastic film recycling.

There are other provisions of Article 28 related to potential fees on paper carryout bags in cities or counties in the State that choose to opt-in to the paper bag reduction fee provision in the law. This rulemaking does not include or address any of those issues and relates only to plastic bags and film plastic.

6. MINIMIZING ADVERSE IMPACT

While the regulations themselves will not add any direct costs or adverse impacts to small businesses or local governments, the enactment of the laws themselves have an impact. Title 27 established collection, recycling and recordkeeping requirements for stores and manufacturers of these film plastic products and these requirements have been in place for over ten years. Over the last few years, the Department of Environmental Conservation (Department) has undertaken efforts to minimize any potential impacts by engaging stakeholders directly through outreach. Additionally, to minimize adverse impacts, the Department has clarified provisions to promote the use of reusable bags and recycling of plastic carryout bags and film plastic. Small businesses that are manufacturers of reusable bags or paper carryout bags could see an increase in sales and employment. With respect to impacts related to Title 28, the regulations themselves do not pose any impacts on small businesses or local government.

7. SMALL BUSINESS AND LOCAL GOVERNMENT PARTICIPATION

The Department has held numerous meetings with interested stakeholders, including groups representing small businesses as well as local government to explain the requirements of the law. The Department has accepted and evaluated the feedback and comments for input into the proposed rulemaking. The proposed regulations are intended to merely implement the requirements of the law.

8. CURE PERIOD OR OTHER OPPORTUNITY FOR AMELIORATIVE ACTION

The requirements of Title 27 for stores, owners of enclosed shopping malls, and manufacturers have been in place for over ten years for plastic carryout bags and four years for film plastic recycling, so no cure period is necessary. With respect to the requirements of Article 28, the effective date is March 1, 2020, as required by the law. Accordingly, the requirements of the law will be in place as of March 1, 2020, and the regulations will be in effect 30 days after filing with the Department of State.

Revised Rural Area Flexibility Analysis

6 NYCRR Part 351 Plastic Bag Reduction, Reuse and Recycling

INTRODUCTION

Proposed Part 351 affects stores, other retail establishments, owners of enclosed shopping malls, manufacturers of film plastic carryout bags, and producers of reusable bags. These proposed Part 351 regulations will implement the requirements of Titles 27 and 28 of Article 27 of the Environmental Conservation Law.

The proposed rulemaking addresses the requirements of Title 27, which became effective over ten years ago on January 1, 2009. Title 27 established requirements for stores with 10,000 square feet or more of retail space and chains that operate five or more stores with greater than 5,000 square feet of retail space, and which provide plastic carryout bags to customers, to place bins for the collection of plastic carryout bags and

have those collected bags recycled. Pursuant to this law, the owner of an enclosed shopping mall is required to place recycling bins at reasonable intervals throughout the mall. Large mall stores (50,000 square feet or more of retail space) are required to establish their own plastic carryout bag recycling programs. These stores and retail establishments are located statewide, including rural areas.

Title 27 was amended and expanded, effective over four years ago on March 1, 2015, to also require the collection at these same stores of uncontaminated non-rigid film plastic packaging products composed of plastic resins, which include, but are not limited to, newspaper bags, dry cleaning bags and shrink-wrap.

Title 27 established collection, recycling, and recordkeeping requirements for stores and manufacturers of these film plastic products and have been in place for over ten years.

In 2019, a new Title 28, "Bag Waste Reduction" was added to Article 27 of the ECL. This law bans the distribution of plastic carryout bags to customers, effective March 1, 2020, by any person required to collect tax. ("Person required to collect tax" means any vendor of tangible personal property subject to the tax imposed by New York State Tax Law section 1105(a), "Imposition of sales tax.") This law provides specific exemptions from the definition of plastic carryout bag and requires these retail entities to allow the use of reusable bags. The law also specifically identifies that the new requirements do not exempt the provisions set forth in Title 27 relating to at store film plastic collection and recycling.

Titles 27 and 28 use similar terms, have some overlapping provisions, and taken together are intended to reduce the use of plastic carryout bags and increase the recovery and recycling of film plastic. Clarification of several terms and the coordination of Titles 27 and 28 through the proposed rulemaking is necessary because without further defining these terms in a consistent manner, the intent of the ban on plastic bag distribution will not be accomplished in an efficient and effective manner.

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS

The proposed regulations apply statewide, including rural areas of the state. All areas of the state, including stores and other applicable retailers located in rural areas will be affected directly or indirectly by the proposed rulemaking.

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

While the regulations will not add any direct costs to the regulated parties, the enactment of the laws themselves influence costs. Many of the entities affected may be in rural areas.

With respect to the reporting, recordkeeping and the need for professional services related to Title 27 for stores, owners of enclosed shopping malls, and manufacturers, the collection, recycling and recordkeeping requirements have been in place for over ten years for plastic carryout bags and four years for film plastic recycling. Accordingly, their impact will not increase for this aspect of the requirements.

With respect to the reporting, recordkeeping and the need for professional services related to Title 28 for stores and other retail establishments, these entities will no longer be able to distribute plastic carryout bags to customers. There will be no new reporting or recordkeeping requirements, and there is no anticipated need for additional professional services.

It should be noted, however, that Article 28 provides for potential fees on paper carryout bags in cities or counties in the State that choose to opt-in to the paper carryout bag reduction fee provision in the law. This rulemaking does not include or address any of those issues and relates only to plastic carryout bags and film plastic.

3. COSTS

As noted above in Section 2, while the regulations themselves will not add any direct costs to the regulated parties, the enactment of the laws themselves influence costs. Entities affected may be in rural areas.

With respect to the costs related to Title 27 to stores, owners of enclosed shopping malls, and manufacturers, the collection, recycling and recordkeeping requirements have been in place for over ten years for plastic carryout bags and four years for film plastic recycling. Accordingly, their costs will not increase for this aspect of the requirements and will likely decrease over time due to the eventual decrease in the amount of film plastic being deposited in the collection bins because the distribution of many of the plastic carryout bags will be eliminated.

With respect to the costs to stores and other retail establishments related to Title 28, these entities will no longer be able to distribute plastic carryout bags to customers. If these entities choose to provide an alternate bag to customers, the cost per bag is estimated to be three to five times greater than a single-use plastic carryout bag. However, this alternative is not required by the regulations. Consumers could realize a cost increase as a result of choices made by stores or other retail establishments regarding the provision of bags.

Manufacturers of plastic carryout bags will experience a decline in sales of those bags in New York State, to the extent that any manufacturers are in rural areas.

Manufactures of paper bags could realize an increase in sales if a store chooses to provide paper bags to customers, to the extent that any manufacturers are in rural areas.

Manufacturers of reusable bags could realize an increase in sales as consumers move to the use of reusable bags over time, to the extent that any manufacturers are in rural areas.

There are no specific requirements for local governments related to plastic carryout bags and film plastic recycling.

It should be noted, however, that Article 28 provides for potential fees on paper carryout bags in cities or counties in the State that choose to opt-in to the paper carryout bag reduction fee provision in the law. This rulemaking does not include or address any of those issues and relates only to plastic carryout bags and film plastic.

4. MINIMIZING ADVERSE IMPACT

While the regulations will not add any direct costs or adverse impacts to rural areas, the enactment of the laws themselves have an impact.

As previously noted, the impacts related to the collection, recycling, and recordkeeping requirements in Title 27 for stores, owners of enclosed shopping malls, and manufacturers have been in place for over ten years for plastic carryout bags and four years for film plastic recycling.

With respect to impacts related to Title 28, the regulations themselves do not pose any unique impacts on rural areas.

5. RURAL AREA PARTICIPATION

The Department of Environmental Conservation (Department) has held numerous meetings with interested stakeholders, including groups representing local government to explain the requirements of the law. The Department has accepted and evaluated the feedback and comments for input into the proposed rulemaking. The proposed regulations are intended to merely implement and clarify the requirements of the law.

Revised Job Impact Statement

6 NYCRR Part 351 Plastic Bag Reduction, Reuse and Recycling

INTRODUCTION

Proposed Part 351 affects stores, other retail establishments, owners of enclosed shopping malls, manufacturers of plastic carryout bags, and producers of reusable bags. Businesses that produce plastic carry out bags could experience a decline in sales. On the other hand, manufacturers of reusable bags and paper carryout bags could experience an increase in sales as consumers move to the use of reusable bags over time and due to a potential shift to paper carryout bag use by some stores. These proposed Part 351 regulations will implement the requirements of Titles 27 and 28 of Article 27 of the Environmental Conservation Law.

The proposed rulemaking addresses the requirements of Title 27, which became effective over ten years ago on January 1, 2009. Title 27 established requirements for stores with 10,000 square feet or more of retail space and chains that operate five or more stores with greater than 5,000 square feet of retail space, and which provide plastic carryout bags to customers, to place bins for the collection of plastic carryout bags and have those collected bags recycled. Pursuant to this law, the owner of an enclosed shopping mall is required to place recycling bins at reasonable intervals throughout the mall. Large mall stores (50,000 square feet or more of retail space) are required to establish their own plastic carryout bag recycling programs. These stores and retail establishments are located statewide, including rural areas.

Title 27 was amended and expanded, effective over four years ago on March 1, 2015, to also require the collection at these same stores of uncontaminated non-rigid film plastic packaging products composed of plastic resins, which include, but are not limited to, newspaper bags, dry cleaning bags and shrink-wrap.

Title 27 established collection, recycling and recordkeeping requirements for stores and manufacturers of these film plastic products and have been in place for over ten years.

In 2019, a new Title 28, "Bag Waste Reduction" was added to Article 27 of the ECL. This law bans the distribution of plastic carryout bags to customers, effective March 1, 2020, by any person required to collect tax. ("Person required to collect tax" means any vendor of tangible personal property subject to the tax imposed by New York State Tax Law section 1105(a), "Imposition of sales tax.") This law provides specific exemptions from the definition of plastic carryout bag and requires these retail entities to allow the use of reusable bags. The law also specifically identifies that the new requirements do not exempt the provisions set forth in Title 27 relating to at store film plastic collection and recycling.

Titles 27 and 28 use similar terms, have some overlapping provisions, and taken together are intended to reduce the use of plastic carryout bags and increase the recovery and recycling of film plastic. Clarification of several terms and the coordination of Titles 27 and 28 through the proposed rulemaking is necessary because without further defining these terms in a consistent manner, the intent of the ban on plastic carryout bag distribution will not be accomplished in an efficient and effective manner.

1. NATURE OF IMPACT

While the regulations themselves will not add any direct costs to the

regulated parties, the enactment of the laws themselves influence costs. However, it is not anticipated that there will be job impacts to stores and retail establishments complying with the laws and regulations.

The Title 27 requirements for stores, owners of enclosed shopping malls, and manufacturers have been in place for over ten years for plastic carryout bags and four years for film plastic recycling, with respect to the collection, recycling, and recordkeeping requirements. Accordingly, their costs will likely decrease over time due to the eventual decrease in the amount of film plastic being deposited in the collection bins because the distribution of many of the plastic carryout bags will be eliminated. Accordingly, no job impacts are anticipated.

With respect to the potential impacts for stores and other retail establishments related to Title 28, these entities will no longer be able to distribute plastic carryout bags to customers. If these entities choose to provide an alternate bag to customers, the cost per bag is estimated to be three to five times greater than a plastic carryout bag. These actions are not anticipated to have job-related impacts.

Manufacturers of plastic carryout bags will experience a decline in sales of those bags in New York State. To the extent that any manufacturers of film plastic bags are located in New York, jobs could be negatively impacted. We have been advised that a business that produces plastic carryout bags in Long Island with up to 300 employees could be significantly impacted.

Manufacturers of paper bags could experience an increase in sales due to a potential shift to paper bag use by some stores. The Department of Environmental Conservation (Department) has been advised that there is currently not enough production capacity to completely replace all plastic carryout bags with paper bags, with an estimated time frame of three to five years to build that full capacity. However, the intent of the law is to promote the use of reusable bags instead of any single-use bag, whether plastic or paper, so the production capacity disparity may only have a short-term impact on availability of paper carryout bags.

Manufacturers of reusable bags could realize an increase in sales as consumers move to the use of reusable bags over time. To the extent that any manufacturers of reusable bags are located in New York, though none are currently known, jobs could be positively impacted.

2. CATEGORIES AND NUMBERS AFFECTED

As noted previously, the Title 27 requirements have been in place for over ten years for plastic carryout bags and four years for film plastic recycling. The implementation of the proposed regulations is not expected to have an adverse effect on jobs or employment opportunities.

The only potential impacts could be on manufacturers or distributors of plastic carryout bags. To the extent that any manufacturers of film plastic bags are located in New York, jobs could be negatively impacted. The Department has been advised that a business that produces plastic carryout bags in Long Island with up to 300 employees could be significantly impacted. However, manufacturers of film plastic bags will still see a market within New York State for the plastic carryout bag exemptions that are outlined within Title 28, as well as sales to stores in other states. Although manufacturers of plastic carryout bags could be impacted, these companies also typically create other packaging or reusable bag type products or could shift product development to those market opportunity areas over time. Manufacturers of paper carryout bags could also experience an increase in sales due to a potential shift to paper bag use by some stores. Additionally, manufacturers and distributors of reusable bags could realize a sale increase as consumers move to use of reusable bags over time. To the extent that any manufacturers of reusable bags are located in New York, though none are currently known, jobs could be positively impacted.

Although it is difficult to predict the impact of the regulations on employment, there is potential for a loss of jobs at a manufacturer of plastic carryout bags on Long Island, a potential increase in jobs for manufacturers of paper bags due to increased paper bag production, and a small number of jobs to be created if a manufacturer of reusable bags begins operation in New York.

3. REGIONS OF ADVERSE IMPACT

All entities must adhere to the same requirements regardless of where they are located in this State. Therefore, there is no region of the State expected to be adversely impacted from the proposed regulations more so than any other, with the exception of the potential impact on a manufacturer of plastic carryout bags located in Long Island.

4. MINIMIZING ADVERSE IMPACT

Title 27 established collection, recycling and recordkeeping requirements for stores and manufacturers of these film plastic products and these requirements have been in place for over ten years. Over the last few years, the Department has undertaken efforts to minimize any potential impacts by engaging stakeholders directly through outreach. Additionally, in an effort to minimize adverse impacts, the Department has clarified provisions to promote the use of reusable bags and recycling of plastic carryout bags and film plastic. Manufacturers of reusable bags and paper carryout bags could see an increase in sales and employment.

5. SELF-EMPLOYMENT OPPORTUNITIES

The proposed regulations are not expected to negatively impact self-employment opportunities.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, 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 Environmental Conservation (Department) proposed plastic bag reduction, reuse and recycling regulations to implement Titles 27 and 28 of Article 27 of the Environmental Conservation Law (ECL) and published notice of this rulemaking on November 27, 2019. A public hearing was held on January 27, 2020. The Department received 816 separate individual comments, which came from 2,452 form letters and emails during the public comment period. The comment period was open between November 27, 2019 and February 3, 2020. Many comment submissions raised distinct individualized issues, while many of the form letters, emails and mass mailings repeated similar concerns. Because many of the submissions raised multiple comments on different aspects of the proposed rule, the Department broke down each submission into smaller segments and grouped related comments together. This summary provides an overview of the comments and the Department's response. The full Assessment of Public Comment provides a response to the comments raised during the public comment period. The Department made several non-substantive changes to address these comments and to clarify the proposed rule, as described below.

Proposed Part 351 included a requirement that reusable bags contain at least one separately attached strap or handle. Commenters raised concerns that a bag with separately attached handles would not be as strong as one with handles as an extension of the bag. Additionally, commenters were concerned with the increased cost of a bag with separately attached handles. After evaluation of the proposed requirement and the numerous comments received, this requirement has been removed.

Commenters also raised concerns regarding the requirement for low density polyethylene (LDPE) or high density polyethylene (HDPE) reusable bags to have a minimum thickness of 10 mils. Many comments indicated that this requirement would contribute to the plastic waste stream and plastic should be banned from all bag manufacturing. Other comments raised the concern that bags of this thickness would not be able to be manufactured, or that the cost of their production would burden stores and consumers. After evaluation, the Department firmly believes that the use of the industry-based definition for when a material is no longer a film plastic is an important element, among others, in defining reusable bags. However, the Department recognizes the presentation of the information within two definitions has caused confusion. Accordingly, the Department has used some of the suggested language provided through the public comment process to adjust the definition of a reusable bag to provide a more simplified approach to presenting the information and clarify that plastic carryout bags are prohibited and that no film plastic will be allowed to be used in allowable reusable bags.

Proposed Part 351 would regulate the durability requirements of reusable bags. Commenters raised several issues including that an 80 GSM requirement was too stringent, that a 2.25 mil bag is a durable bag, and that the Department should only approve a bag of equivalent material strength and durability following a public comment period. The Department's research has indicated that the 80 GSM standard is the typical requirement for reusable bags in similar laws across the country. Accordingly, the Department retained that requirement as originally proposed. The final rule incorporates a clarified durability standard in the definition of reusable bag to streamline the reusable bag requirements into a single definition.

The proposed regulations detail exemptions to the plastic carryout bag ban. The Department received hundreds of comments related to the exemption applied to plastic carryout bags provided by a restaurant, tavern or other similar food service establishment, as defined in the New York state sanitary code, to carry out or deliver food. Many of the comments overlap with the food sliced or prepared to order exemption in 351-1.2(f)(3). Many commenters disagree with the exemption in the law and others sought clarification of the establishments included, especially convenience stores, gas stations, supermarkets, delis and bodegas. While the definition of food service establishment must be evaluated on a facility-specific basis, this exemption is intended to apply to carryout or delivery of prepared food from one of these establishments. In most instances, but not all, gas stations, bodegas, convenience stores, delis and supermarkets without seating would fall under the exemption in 351-1.2(f)(3), but only for the specific food sliced or prepared to order, and not any other items sold in the store, unless another specific exemption applies. The exemption language has been adjusted slightly to provide clarification.

Many commenters requested clarification regarding the exemptions. It

has been determined that for consistency in implementation, it is best to identify these circumstances in the regulations. The uses identified in the comments are similar to those identified in the proposal as clarifying examples and they will be added to the final rule as further examples.

Lastly, the proposed regulations would enable the Department to determine that a plastic bag is exempt in cases where there is no reasonable or practical alternative. The Department received hundreds of comments expressing concern that this provision is too open-ended and would create loopholes for film plastic bags to be distributed. The intent of the proposed exemption was to provide a means to address unique bag uses that were not considered when the legislation was drafted. After evaluating the proposed exemption, the hundreds of similar comments raising concerns with the wording, and the recommendations for amending the review process, the Department has eliminated this exemption. Instead, the Department has provided examples in some of the other exemptions to clarify the applicability of the rule based on the questions received from the public since the law was enacted.

There were approximately 75 comments related to reusable bags expressing concerns regarding potential cross-contamination of the reusable bags from meat and dairy products, potential contamination of stores from reusable bags brought to the stores by customers for use, potential theft concerns, the specifications of reusable bags, and the lack of a certification program proposed for reusable bags. One of the goals of the law is to help change behavioral habits of New Yorkers and move toward a more waste-free society by using reusable bags. These regulations implement the law.

Several comments requested clarification on individual use of plastic bags. There are no restrictions as to what types of plastic bags individuals can use in their homes. Additionally, consumers can bring any bag to a store for reuse including a film plastic bag acquired prior to the March 1, 2020 effective date of the law. The law and the regulations ban the distribution of plastic carryout bags by a person required to collect tax after March 1, 2020.

The Department received dozens of comments related to the paper carryout bag reduction fee opt-in program for cities and counties identified in the law. The paper carryout bag reduction fee is beyond the scope of this rulemaking and is not addressed in the regulations. The law is the best guide with respect to these issues and questions can be directed to the New York State Department of Taxation and Finance.

The Department received dozens of comments on paper bags ranging from the challenges of using paper bags, to the impracticality or inconvenience of using paper instead of plastic bags, to comments questioning the true recyclability of paper bags, to the fact that there could be a significant production capacity and market shortfall if all formerly provided plastic carryout bags were replaced with paper bags. The requirements for paper bags are outside the scope of this rulemaking. While the available supply of paper carryout bags may be impacted, one of the goals of the legislation is to help change behavioral habits of New Yorkers and move toward a more waste-free society by using reusable bags.

The Department received approximately three dozen comments related to the fiscal impacts of the law. These included comments from citizens noting a potential increase in costs for shopping if the cost of bags is passed on to them by the retailer, retailers indicating the additional costs they have to absorb and the potential need to begin to charge a fee to customers for each bag, bag manufacturers and distributors indicating that there will be a paper bag shortage due to manufacturing capacity limitations if all current plastic carryout bags are replaced by paper bags, and from a manufacturer of plastic carryout bags in New York expressing they will be severely impacted by the implementation of the law. Fiscal impacts were considered as part of the rulemaking process and the fiscal realities identified by the commenters are understood. However, the regulations must also reflect and effectively implement the requirements set forth in the law. One of the goals of the law is to help change behavioral habits of New Yorkers and move toward a more waste-free society by using reusable bags. This move will have some associated fiscal impacts, although those impacts should be minimized by behavioral changes anticipated by the law.

The Department received dozens of similar comments suggesting or requesting there be a grace period for enforcement of the law and regulations to give time for retailers to order appropriate bags, use existing bag supplies, and educate customers about the change in law. There are potential fines outlined in the law and regulations for non-compliance that can be administered by the Department. However, as with most new laws the Department administers and enforces, the Department will continue with its outreach and education efforts, focusing on informing the public and regulated entities about the law and its requirements. The Department will work with retailers during this transition period on the various logistical issues to address and achieve compliance.

Several commenters requested clarification as to whether the plastic carryout bag ban applies only to those entities that fall under the definition

of store. The plastic carryout bag and film plastic recycling requirements in the regulations and Title 27 of Article 27 in the ECL apply to stores of a certain square footage and the plastic carryout bag ban applies to all persons that collect tax.

Approximately 50 commenters raised concerns about biodegradable or compostable plastic bags. While there were several comments that suggested these bags may be a good alternative to explore, the vast majority of the comments received sought clarification as to whether or not a compostable or biodegradable plastic bag was considered a plastic carryout bag subject to the law or spoke to concern for the recycling and composting streams if these bags are used. There are concerns with incorporating compostable or biodegradable plastic bags into the composting or recycling stream and is the reason the warning requirement in 351-2.4(c) is required of manufacturers. These bags are considered to be plastic carryout bags unless they meet the definition of a reusable bag or they are exempt bags, and are subject to the law and regulations accordingly.

The proposed Part 351 regulations also address the plastic carryout bag and film plastic recycling requirements outlined in Article 27, Title 27 of the ECL. The Department received approximately two dozen comments related to the continued requirement for stores to maintain their plastic film recycling collection programs. The requirement for stores specified in Article 27, Title 27 were kept in place with language in Article 27, Title 28. The regulations clarify that requirement. The rationale is that there will still be exempt plastic film bags and the existing recycling infrastructure has been in place since 2009 and should remain in place to provide access for film plastic recycling to citizens. On a related topic, the Department received approximately two dozen comments related to the lack of knowledge or lack of enforcement of the existing requirements in Article 27, Title 27 requiring the collection of plastic carryout bags and film plastic. The requirement for collection of plastic carryout bags has been in place since 2009 and the law was expanded to include other film plastic in 2015.

Any general comments that can be responded to have either been addressed with general outreach information on the Department's website or will be addressed in that manner after the rulemaking is complete. To view the full assessment of public comments received on the revisions to the plastic bag regulations, please visit the Department's website at <http://www.dec.ny.gov/regulations/propreulations.html#public>.

Department of Financial Services

NOTICE OF ADOPTION

Principle-Based Reserving

I.D. No. DFS-44-19-00011-A

Filing No. 128

Filing Date: 2020-02-11

Effective Date: 2020-02-26

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

Action taken: Amendment of Part 103 (Regulation 213) of Title 11 NYCRR.

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

Subject: Principle-Based Reserving.

Purpose: To prescribe minimum principle-based valuation standards.

Substance of final rule: Section 103.1 is renumbered as section 103.2 and amended to specify that this Part applies to all life insurance companies and fraternal benefit societies doing business in New York State and all insurers holding a certificate from the Superintendent of Financial Services ("Superintendent") as being accredited for the reinsurance of life insurance, annuity contracts, or accident and health insurance.

Section 103.2 is renumbered as section 103.3 and is amended to provide that except where the National Association of Insurance Commissioners' ("NAIC's") 2019 valuation manual (the "Manual") conflicts with any provision of the Insurance Law or regulations promulgated thereunder, the valuation manual is adopted in its entirety, subject to the effective dates and other requirements specified in the rule that deviate from the valuation manual.

A new section 103.1 is added to specify the purpose of this Part, which is to prescribe the minimum standards for valuing statutory reserves subject to the requirements of the Manual.

A new section 103.4 (“valuation of individual term life insurance reserves”) is added to specify the minimum valuation standards for individual term life insurance policies issued on or after January 1, 2020. The minimum aggregate reserve shall be the greater of: (1) the sum of the greater of the cash surrender value and 70% of the minimum reserve for each policy determined under the current valuation requirements; and (2) the minimum aggregate reserve calculated in accordance with the methodology and assumptions prescribed by the Manual prior to reflecting any reinsurance ceded. An insurer may submit a request to the Superintendent to delay the implementation of the minimum valuation standards for individual term life insurance policies subject to section 103.4, such that the minimum valuation standards will be effective for policies issued on or after January 1, 2021, upon a demonstration of undue hardship, impracticability, or good cause, subject to the Superintendent’s approval.

A new section 103.5 (“valuation of payout annuity reserves”) is added to specify the minimum valuation standards for payout annuities with premium determination dates on or after January 1, 2019. Insurers are given the following three options to determine the maximum valuation interest rates for policies and contracts with premium determination dates during 2019: (1) the current requirements prescribed by Insurance Law section 4217(c); (2) the current requirements prescribed by Insurance Law section 4217(c) where the reference rate defined by Insurance Law section 4217(c)(4)(F) is reset monthly for jumbo contracts and quarterly for non-jumbo contracts; or (3) the lesser of the rate determined in accordance with section VM-22 of the Manual with certain adjustments, including setting the prescribed portfolio credit quality distribution to 5% treasuries, 45% AA bonds, 50% A bonds and placing a 200 basis point cap on spreads, and the rate determined in accordance with section VM-22 of the Manual without adjustments. For policies and contracts with premium determination dates on or after January 1, 2020, the maximum valuation interest rate shall be determined in accordance with option (3) as stated above. The minimum reserve must be the greater of the minimum reserve calculated in accordance with the current valuation requirements, except that the maximum valuation interest rate must be as determined in accordance with this section, and the minimum reserve calculated in accordance with the methodology and assumptions prescribed by the Manual.

A new section 103.6 (“valuation of variable annuity reserves”) is added to specify the minimum valuation standards for variable annuities effective for valuations on or after January 1, 2020. For policies and contracts issued prior to January 1, 2020, the minimum reserve must be the greater of the minimum reserve calculated in accordance with the methodology and assumptions of the Standard Scenario Reserve prescribed by the 2017 Actuarial Guideline XLIII with certain adjustments and the minimum reserve calculated in accordance with the methodology and assumptions prescribed by the Manual. Such adjustments to the Standard Scenario Reserve prescribed by the 2017 Actuarial Guideline XLIII affect the mortality, discount rate and lapse rate assumptions.

For policies and contracts issued prior to January 1, 2020, insurers are granted a three-year phase-in for any reserves in excess of the greater of the aggregate minimum reserves determined in accordance with the 2017 Actuarial Guideline XLIII and the aggregate minimum reserves determined in accordance with the Manual.

For policies and contracts issued on or after January 1, 2020, the minimum reserve must be the greater of the minimum reserve calculated in accordance with the methodology and assumptions of section 103.6(e) and the minimum reserve calculated in accordance with the methodology and assumptions prescribed by the Manual. Section 103.6(e) dictates that the minimum reserve must be the greater of the standard scenario reserve, cash surrender value, and option value floor and prescribes the required methodology and assumptions, including those for discount rates, fund returns, mortality, lapse rates, and election rates, in order to calculate such amounts.

A new section 103.7 (“valuation of all other reserves”) is added to specify the minimum valuation standards for individual life insurance policies issued on or after January 1, 2020 and group life insurance policies, annuity contracts, and accident and health insurance contracts issued on or after January 1, 2021, for which sections 103.4, 103.5, and 103.6 of Part 103 do not apply. The minimum reserve must be the greater of the minimum reserve calculated in accordance with the current valuation requirements and the minimum reserve calculated in accordance with the methodology and assumptions prescribed by the Manual. Aggregation at the level prescribed by the Manual is permissible for individual life insurance. An insurer may submit a request to the Superintendent to delay the implementation of the minimum valuation standards for individual life insurance policies subject to section 103.7, such that the minimum valuation standards will be effective for policies issued on or after January 1, 2021, upon a demonstration of undue hardship, impracticability, or good cause, subject to the Superintendent’s approval.

A new section 103.8 (“reinsurance”) is added to prescribe the determination of reinsurance reserve credits for policies and contracts subject to

Part 103. A credit for reinsurance must equal the difference between the minimum reserve calculated prior to reflecting reinsurance ceded and the greater of the reserve using the current reinsurance accounting requirements and the reserve determined in accordance with the Manual after reflecting reinsurance ceded.

Final rule as compared with last published rule: Nonsubstantive changes were made in sections 103.5(c)(2), (3), 103.6(e)(2) and (3).

Text of rule and any required statements and analyses may be obtained from: Amanda Fenwick, New York State Department of Financial Services, One Commerce Plaza, Albany, New York 12257, (518) 474-7929, email: amanda.fenwick@dfs.ny.gov

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A revised RIS, RFA, RAFA and JIS are not required for the adoption of the First Amendment to 11 NYCRR 103 (Insurance Regulation 213) because the non-substantive revisions to the regulation do not require a change to the previously published RIS, RFA, RAFA and JIS.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The New York State Department of Financial Services (“DFS”) received one submission of comments from an association of life insurers (“association”).

Comment: The association requested that the regulation include a small company exemption consistent with the principle-based reserving (“PBR”) exemption for life insurance policies provided in the valuation manual (the “Manual”) published by the National Association of Insurance Commissioners (“NAIC”).

Response: The regulation does not disallow the Manual’s PBR exemption for life insurance policies. Insurers that qualify for the exemption may utilize it accordingly. Therefore, DFS did not make any changes in response to this comment.

Comment: The association requested that section 103.1 state that the regulation is not applicable to non-New York domestic companies that meet the definition of “reinsurers” under the federal Dodd-Frank Wall Street Reform and Consumer Protection Act (“Dodd-Frank Act”) due to federal law pre-emption.

Response: DFS did not make any changes in response to this comment because 15 U.S.C. § 8222 already provides that a reinsurer’s domiciliary state is solely responsible for regulating the financial solvency of the reinsurer if the domiciliary state is an NAIC accredited state or has financial solvency requirements substantially similar to the requirements necessary for NAIC accreditation.

Comment: The association requested that insurers be provided additional time to implement the new variable annuity reserving requirements and to elect the option to use linear grading over three years for variable annuity reserves on policies issued prior to January 1, 2020, because the date by which insurers must determine whether to select the grade-in option, set forth in section 103.6(b)(2)(ii) as March 31, 2020, provides insufficient time to make such a determination.

Response: DFS considered the request and determined that no additional time is necessary to implement the new variable annuity reserving requirements, because the regulation does not require insurers to make a determination about the grade-in option by March 31, 2020. If elected, insurers must first establish the excess grade-in reserves by December 31, 2020 pursuant to section 103.6(b)(2)(ii)(a). Therefore, DFS did not make any changes in response to this comment.

Comment: The association proposed revising section 103.4(a), which provides that section 103.4 applies to all individual term life insurance policies, whether directly written or assumed through reinsurance, issued on or after January 1, 2019, to include an explicit reference to section VM-20 of the Manual.

Response: DFS did not make any changes in response to this comment because the scope of section 103.4 sets forth the appropriate insurance policies to which the section applies at present. DFS will consider future changes if the scope of VM-20 in the Manual is updated.

Comment: The association recommended revising “50.0/3%” to “50.0%/3” within section 103.5(c)(3)(i)(a)(2)(ii)(A)(III) when describing the credit quality percentage allocation to A bonds.

Response: DFS agrees with this comment and has made the requested non-substantive change to the regulation.

Comment: The association proposed revising section 103.5(c)(3)(i)(a)(2)(ii)(B) such that the 200 basis points cap on spreads apply to the average credit quality at the level of Aa/AA and A/A, rather than at the more granular level of Aa1/AA+, Aa2/AA, Aa3/AA-, A1/A+, A2/A, and A3/A-.

Response: DFS has considered the comment but remains confident that the methodology detailed in the regulation produces the necessary amount of conservatism. Therefore, DFS did not make any changes in response to this comment.

Comment: The association noted that the quarterly valuation rate, I_q , applied within the daily valuation interest rate formula for jumbo contracts referenced in section 103.5(c)(3)(i)(b)(1) has been adjusted to remove Baa/BBB spreads; whereas, the other elements of the referenced formula, the change observed in a series of indexes between the prior quarter and the immediately prior day, are based on indexes that have 40-50% investment in Baa/BBB bonds. The association proposed adjusting the indexes to a higher credit quality benchmark to avoid the basis risk noted and then removing the cap on the daily valuation interest rate for jumbo contracts defined in section 103.5(c)(3)(i)(b)(2).

Response: DFS has considered the comment but remains confident that the methodology detailed in the regulation produces the necessary amount of conservatism. Therefore, DFS did not make any changes in response to this comment.

Comment: The association proposed revisions to section 103.5(c)(3)(i)(b)(1) to clarify that the quarterly valuation rate, denoted by I_q , is the unrounded quarterly rate.

Response: The quarterly valuation rate, denoted by I_q , is the final rate determined in accordance with section 103.5(c)(3)(i)(a). Therefore, DFS did not make any changes in response to this comment.

Comment: The association requested clarification that the credit quality weights used to calculate the default cost in "D" defined in section 103.5(c)(3)(i)(b)(2)(ii) are based on the credit quality distribution listed in section 103.5(c)(3)(i)(a)(2).

Response: The association's interpretation is correct. DFS has made a non-substantive revision to section 103.5(c)(3)(i)(b)(2)(ii) to clarify that "D" is based on the portfolio credit quality distribution defined in section 103.5(c)(3)(i)(a)(2)(ii)(A).

Comment: The association commented that section 103.5(c)(3)(ii) appears to be superfluous as section 103.5(c)(3)(i)(a) is already defined in such a way that the discount rate cannot exceed the rate defined in the Manual. The association further suggested renumbering section 103.5(c)(3)(ii) to 103.5(c)(3)(i)(b)(3) if DFS feels it necessary to apply such cap to the jumbo rates.

Response: DFS considered the comment; however, no changes were made as DFS finds it necessary for the regulation to explicitly state that the cap imposed by section 103.5(c)(3)(ii) applies to both non-jumbo and jumbo valuation interest rates.

Comment: The association proposed adding a title heading to section 103.5(d).

Response: DFS does not believe that a title heading for this section is necessary. Therefore, DFS did not make any changes in response to this comment.

Comment: The association commented that the option value floor detailed in section 103.6(e)(5) should be removed. The association requested, however, that if the option value floor must remain, it should be an aggregate calculation, not a seriatim calculation. Furthermore, the association requested that the option value floor not apply to policies that use the "Alternate Methodology" under Section 7 of VM-21 of the Manual.

Response: DFS did not make any changes in response to this comment because the option value floor is intended to be a seriatim calculation.

Comment: The association proposed reorganizing section 103.6(b)(2) and 103.6(b)(3) to clarify that the minimum reserve calculated in accordance with the Manual should be determined in aggregate for contracts issued prior to, on or after January 1, 2020.

Response: The minimum reserve calculated in accordance with the Manual is determined in aggregate for policies issued prior to, on or after January 1, 2020. This amount is then allocated to each contract, which is used in section 103.6(b)(2) and 103.6(b)(3) to calculate the minimum reserve. Since the minimum reserve calculated in accordance with the Manual is an aggregate calculation, no change to the regulation is necessary.

Comment: The association proposed replacing the references to 11 NYCRR 99 (Insurance Regulation 151) in section 103.6(e)(2) with the 2017 Actuarial Guideline XLIII. The association believes that the inclusion of such reference will lead to the use of valuation standards of updated versions of Actuarial Guideline XLIII, as adopted by the NAIC's Accounting Practices and Procedures Manual ("APPM").

Response: The references to Insurance Regulation 151 included in section 103.6(e)(2)(i) and 103.6(e)(2)(i)(a) will not lead to the use of valuation standards of the APPM because such references only apply to contracts without, or disregarding any, guaranteed benefits. Therefore, DFS did not make any changes in response to this comment.

Comment: The association believes that the reference to section 103.6(e)(2)(ii)(b) within section 103.6(e)(2)(iii)(c)(1) is a typographical error and should instead reference section 103.6(e)(2)(ii)(a).

Response: DFS agrees with this comment and has made the non-substantive change to the regulation.

Comment: The association proposed deleting the requirement of section 103.6(e)(2)(iv) that implies that a contract with more than one guaranteed benefit will require multiple model runs.

Response: Insurers may save on model run-times and decrease the operational burden where intuitive arguments or demonstrations support doing so. Therefore, DFS did not make any changes in response to this comment.

Comment: The association proposed revising section 103.6(e)(3)(vi)(d) to reference section 6.C.5 of VM-21 of the Manual with certain adjustments for the guaranteed minimum withdrawal benefit election rates.

Response: DFS considered the comment and did not make any changes because the regulation appropriately reflects the intended differences from the Manual.

Comment: The association commented that section 103.6(e)(3)(vi)(d)(2) implies that election rates must be redetermined for each policy at each valuation date and contradicts section 103.6(e)(3)(vi)(d)(6), which states that "the calculations prescribed by this clause only shall need to be performed once for a given set of contracts with a certain issue age, guaranteed benefit product, and tax status".

Response: DFS has considered this comment and has determined that the wording is unnecessary and therefore has removed it from section 103.6(e)(3)(vi)(d)(2), as a clarification.

Comment: With respect to variable annuity contracts issued on or after January 1, 2020, the association expressed concerns about the different mortality assumptions made for projection periods before and after benefit election as prescribed by section 103.6(e)(3)(viii). The association recommended using the 2012 Individual Annuity Mortality Basic Table with adjustment factors throughout the projection.

Response: DFS has considered the comment but remains confident that the methodology detailed in the regulation produces the necessary amount of conservatism. Therefore, DFS did not make any changes in response to this comment.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Public Access to Department Records

I.D. No. DFS-08-20-00011-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 repeal Supervisory Procedure G 106 of Title 3 NYCRR; repeal Part 241 of Title 11 NYCRR; add Part 3 to Title 23 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; Banking Law, section 14; Insurance Law, section 301; Public Officers Law, art. 6

Subject: Public Access to Department Records.

Purpose: To update regulations regarding public access to records of the Department of Financial Services.

Text of proposed rule: Text of the proposed consolidated rulemaking repealing 3 NYCRR SP G 106 and 11 NYCRR 241 and adding new Part 3 to 23 NYCRR.

Supervisory Procedure Part G 106 of 3 NYCRR is hereby repealed.

Part 241 of 11 NYCRR is hereby repealed.

New Part 3 is added to 23 NYCRR, to read as follows:

Section 3.1 Records available to the public.

Except as otherwise provided by the Banking Law, Financial Services Law, Insurance Law, Public Officers Law section 87(2), or other provision of law, all records of the department shall be made available to the public in accordance with Public Officers Law Article 6, known as the Freedom of Information Law ("FOIL").

Section 3.2 Records specifically exempted from disclosure.

In accordance with Public Officers Law section 87(2)(a), the department may deny access to records or portions thereof that are specifically exempted from disclosure by state or federal statute, which include, without limitation, applicable provisions of the Banking Law, the Insurance Law and the Financial Services Law.

Section 3.3 Designation of records access officers.

One or more records access officers shall be designated by the superintendent or the superintendent's designee from among the attorneys in the office of general counsel, administration, or any other unit of the department.

Section 3.4 Designation of appeals officer.

An appeal made pursuant to Public Officers Law section 89(4)(a) or (5)(c), and section 3.5(d) of this Part, shall be determined by an appeals

officer, who shall be designated from among the counsels or attorneys in the office of general counsel and does not serve as a records access officer.

Section 3.5 Request for records.

(a) A person or entity seeking access to records available to the public under FOIL ("FOIL requester") is to make such request, in writing:

(1) on a form prescribed by the department and sent electronically from the department's website at <http://www.dfs.ny.gov>; or

(2) by email to: recordsaccessofficer@dfs.ny.gov; or

(3) by mail to: Records Access Officer, New York State Department of Financial Services, Office of General Counsel, One State Street, 20th Floor, New York, NY 10004.

(b) Requests for records are to be made in accordance with FOIL and reasonably describe the records sought, including applicable dates, titles, names, and other identifying information that will assist the department to locate the requested records.

(c) At the time a FOIL request is made, the FOIL requester may choose to receive copies of records or ask to inspect records in person. If the FOIL requester asks to inspect records, which are not excepted from disclosure under Public Officers Law section 87(2), the department shall contact the FOIL requester to schedule an appointment for the inspection of the records. Records shall be available for inspection from 9:00 a.m. to 5:00 p.m. on each regular working day at the Albany or New York City office of the department's bureau or unit that is charged with maintaining, and possesses, the records requested.

(d) A FOIL requester that is denied access to the records of the department, or portions thereof, may submit a written appeal of the denial in accordance with Public Officers Law section 89(4)(a) or (5)(c), as applicable, to: Appeals Officer, New York State Department of Financial Services, Office of General Counsel, One State Street, 20th Floor, New York, NY 10004, or by email to: FOIL.Appeals@dfs.ny.gov

Section 3.6 Fees and payment for copies or reproductions of records.

(a) Photocopied records or other records. The fee for copies of records photocopied by department staff shall be 25 cents per page not exceeding nine by 14 inches or the actual cost to the department to reproduce any other record.

(b) Email attachments and file transfers. There is no fee for records provided to a requester that are sent electronically as an attachment to email or by file transfer application through the department's secure portal.

(c) Preparation costs. If the department requires more than two hours to prepare one or more copies of a record in response to a FOIL request, the fee charged for such preparation after the first two hours shall be an amount equal to the hourly salary attributed to the lowest paid department employee. Preparation costs shall not include search time or administrative costs.

(d) Outside service. If the department must engage an outside professional service to prepare a copy of a requested record, because the department's information technology equipment is inadequate to prepare such copy, the fee shall be the actual cost charged by such outside professional service to the department.

(e) Time of payment. The department requires payment for copies of records prior to releasing records in response to a FOIL request. The department may require payment for copies of records prior to processing a FOIL request when the request entails the copying of voluminous records.

(f) Waiver of fees. The department may waive the applicable fee for the provision of records on a case-by-case basis, which will be decided based upon the circumstances surrounding the individual request. No organization or entity, except a governmental agency, is entitled to a blanket waiver of fees.

Section 3.7 Trade secret/competitive harm exemption.

(a) Pursuant to Public Officers Law section 89(5), any person or entity that submits records to the department may, at the time of submission, request that the department except those records from disclosure under Public Officers Law section 87(2)(d), ("record submitter"). Where the request for an exception itself contains information that, if disclosed, would defeat the purpose for which the exception is sought, such information also shall be excepted from disclosure. The request for an exception shall be in writing and state the reasons why the records, or portions thereof, should be excepted from disclosure. The records submitted to the department shall be excepted from disclosure and shall be maintained separate and apart from all other records until 15 days after the department has finally determined that the records are not entitled to the exception, or such further time as may be ordered by a court of competent jurisdiction.

(b) Upon the initiative of the department, or upon a request for a record that the department maintains separate and apart from all other records pursuant to Public Officers Law section 89(5), the department shall:

(1) inform the record submitter of the department's intention to determine whether an exception should be continued;

(2) afford the record submitter 10 business days after receipt of notification from the department to submit a written statement in support of the necessity for the continuation of such exception;

(3) within seven business days of receipt of such written statement, or within seven business days of the expiration of the period prescribed for submission of such statement, issue to the record submitter a written determination continuing or terminating such exception and stating the reasons therefor. Copies of such determination also shall be served upon the FOIL requester and the Committee on Open Government.

(c) A denial of an exception from disclosure may be appealed by the record submitter, and a denial of access to a record may be appealed by the FOIL requester, in accordance with the following procedures:

(1) within seven business days of receipt of the department's determination, the record submitter or FOIL requester may file a written appeal of the determination with the department's appeals officer; and

(2) the appeal shall be determined by the appeals officer within 10 business days after its receipt. Written notice of the determination shall be served upon the FOIL requester, the record submitter, and the Committee on Open Government. The notice shall contain a statement of the reasons for the determination.

(d) A proceeding to review an adverse determination of appeal pursuant to subdivision (c) of this section may be commenced by the FOIL requester or record submitter pursuant to article 78 of the Civil Practice Law and Rules. Such proceeding, if commenced by the record submitter, must be commenced within 15 days of the service of the written notice containing the adverse determination of appeal in accordance with the provisions of Public Officers Law section 89(5)(d).

(e) The record submitter shall have the burden of proving entitlement to the exception from disclosure provided by Public Officers Law section 87(2)(d), except when the department on its own initiative denies access to a record pursuant to that exception. In such event, the department shall have the burden of proving that the record falls within the exception from disclosure provided in Public Officers Law section 87(2)(d).

Text of proposed rule and any required statements and analyses may be obtained from: Colleen Dawson, New York State Department of Financial Services, One Commerce Plaza, Albany, NY 12257, (518) 486-4737, email: Colleen.Dawson@dfs.ny.gov

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

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

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

Consensus Rule Making Determination

The proposed consolidated rulemaking repeals Supervisory Procedure Part G 106 of 3 NYCRR and Part 241 of 11 NYCRR, and adds a new Part 3 to 23 NYCRR. The rulemaking repeals Banking and Insurance regulations regarding public access to agency records that were promulgated prior to the consolidation of the Banking and Insurance Departments into the Department of Financial Services ("Department"), and adds a new Part to the Financial Services regulations to provide updated information regarding public access to Department records in accordance with Public Officers Law ("POL") Article 6, commonly known as the Freedom of Information Law or "FOIL", and 21 NYCRR 1401, the regulations promulgated under POL Article 6. Because the rulemaking merely repeals outdated regulations and adds a new regulation providing updated information regarding public access to Department records, in conformity with FOIL, no person or entity is likely to object to this proposed rulemaking.

The Department determines this rulemaking to be a consensus rulemaking, as defined in State Administrative Procedure Act § 102(11) (SAPA), and is proposed pursuant to SAPA § 202(1)(b)(i). Accordingly, 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

The proposed consolidated rulemaking will not adversely impact job or employment opportunities in New York, or have any adverse impact on self-employment opportunities, because the rulemaking merely repeals outdated Banking and Insurance regulations regarding public access to agency records and adds a new regulation to provide updated information regarding public access to records of the Department of Financial Services, in conformity with FOIL. Therefore, the rulemaking will not result in any adverse impact on jobs or employment opportunities.

Department of Health

EMERGENCY RULE MAKING

Secondary Syringe Exchange in New York State

I.D. No. HLT-48-19-00003-E

Filing No. 119

Filing Date: 2020-02-10

Effective Date: 2020-02-10

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

Action taken: Amendment of sections 80.135 and 80.137 of Title 10 NYCRR.

Statutory authority: Public Health Law, sections 3308 and 3381

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

Specific reasons underlying the finding of necessity: Compliance with the requirements of the State Administrative Procedure Act for filing of a regulation on a non-emergency basis including the requirement for a period of time for public comment would be detrimental to the health and general welfare of individuals who inject drugs, primarily in parts of New York State not currently served by syringe exchange programs (SEPs) or expanded syringe access programs (ESAP).

In 2017, drug overdose deaths involving an opioid accounted for more than 47,000 lives nationwide.¹ Among NYS residents, the number of overdose deaths involving any opioid increased from 1,074 in 2010 to 3,224 in 2017. The age-adjusted rate of deaths involving all opioids in NYS tripled between 2010 and 2017, from 5.4 to 16.1 deaths per 100,000 population.

By providing additional access to sterile syringes in settings in which opioid overdoses can be minimized, this regulation will reduce the number of opioid overdoses and deaths.

In addition, Massachusetts, Connecticut, Delaware, Pennsylvania and Rhode Island are reporting an increase in HIV transmission due to injection drug use between 2015 and 2016. Given the impact of the opioid epidemic in New York, a similar situation could occur in this state. By providing greater access to clean syringes, this regulation will reduce the possibility of individuals reusing needles, thereby reducing the transmission of HIV, HCV and other bloodborne pathogens.

Without this emergency regulation, individuals who lack access to SEPs and ESAP will continue be at greater risk of HIV infection, overdose and death.

¹ Scholl L, Seth P, Kariisa M, Wilson N, Bladwin G. Drug and Opioid-Involved Overdose Deaths – United States, 2013-2017. Morbidity and Mortality Weekly Report 2019;67:1419-1427.

Subject: Secondary Syringe Exchange in New York State.

Purpose: To reduce the spread of blood-borne pathogens, to reduce or eliminate other harms associated with contaminated syringes.

Text of emergency rule: Paragraphs (12) and (13) of subdivision (m) of section 80.135 is amended, a new paragraph (14) of subdivision (m) is added, and a new subdivision (n) is added to read as follows:

(12) the proposed plan for direct provision or referral to HIV antibody testing services, health services, including evaluation and treatment services for HIV infection, sexually transmitted diseases and tuberculosis, family planning, prenatal and obstetrical care, social services, viral hepatitis and drug [abuse] treatment services, including the plan to work with service providers and community-based organizations to establish service linkages; [and]

(13) the proposed plan for evaluating program services and goals[.]; and

(14) overdose prevention education that specifically includes information about methods participants should use to prevent any adverse reactions from:

(i) injecting fentanyl; and

(ii) lack of knowledge of the kinds and amounts of substances users are injecting.

(n) The Commissioner may approve programs with plans that do not include all of the elements specified in subdivision (m) of this section, provided that:

(1) the not-for-profit organization or government entity does not

receive funding to operate a hypodermic syringe or needle exchange program from the Department;

(2) the not-for-profit organization or government entity provides other services to individuals at heightened risk for adverse outcomes;

(3) the plan includes at least the following elements:

(i) a description of staffing and training planned for employees and volunteers working for the proposed program.

(ii) if the plan does not have procedures for enrollment of participants in the program or issuance of participant identification cards, procedures to make it possible for clients to demonstrate that they received syringes from a legally authorized program.

(iii) policies and procedures for the proper safeguarding, handling and disposal of hypodermic syringes and needles, including inventory control, securing injection equipment from theft, adherence to appropriate infection control practices, and appropriate disposal of used hypodermic syringes and needles.

(iv) policies and procedures for enlisting community support for the program, including responding to concerns from the community and law enforcement agencies.

(v) submission of quarterly reports to the Department, in a format determined by the Department; and

(4) the program is approved by any other state agency that licenses or certifies the operations of the not-for-profit organization or government entity.

Subparagraph (i) of paragraph (2) of subdivision (d) of section 80.137 is amended to read as follows:

(i) shall not advertise to the public the availability for retail or furnishing of hypodermic syringes and needles without a prescription; provided, however, that in-store signage indicating that hypodermic syringes and needles may be purchased without a prescription, and which is consistent with guidance issued by the Department, shall not be considered advertising to the public; and

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. HLT-48-19-00003-P, Issue of November 27, 2019. The emergency rule will expire April 9, 2020.

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

Regulatory Impact Statement

Statutory Authority:

Under New York State Public Health Law (PHL) Section 3308(2), the New York State Department of Health (NYSDOH) Commissioner is authorized to make any rules, regulations and determinations which may be necessary or proper to supplement the provisions of PHL Article 33 (Controlled Substances). The statutory authority for New York State's syringe exchange programs (SEPs) exists under PHL Section 3381(1)(b), which grants the NYSDOH Commissioner the power to authorize persons to legally obtain and possess hypodermic syringes and hypodermic needles. PHL Section 3381(4) and PHL Section 3381(5)(f) set forth the statutory authority for the expanded syringe access program (ESAP) and the manner in which pharmacies, health care facilities and health care practitioners furnish syringes without a prescription.

Legislative Objectives:

The goal of both SEP and ESAP is to reduce the spread of blood-borne pathogens, reduce or eliminate other harms associated with contaminated syringes, and improve the health of individuals who inject drugs, and their communities.

Needs and Benefits:

New York State currently has 24 SEPs. The reach of these SEPs is limited by their staffing and geography. Having a second-tier of programs authorized to furnish syringes will more comprehensively address the needs of persons who inject drugs, particularly in areas where there are no SEPs. Pharmacies participating in ESAP are a complementary means for individuals to obtain their injection equipment. However, those syringes must be paid for by the consumer, and for many persons who inject drugs this is a hardship. Persons who inject drugs may also fear being stigmatized in pharmacies. Second-tier syringe exchange programs may also serve as a source of syringes for individuals who have already been enrolled in a SEP, but who are located too far away from that SEP to routinely obtain syringes there.

The second-tier syringe exchange programs will also incorporate overdose response training in their work. These programs are well-positioned to ensure that the individuals they work with are educated regarding hygienic injection practices and are engaged in strategies to avoid overdosing.

Costs for the Implementation of, and Continuing Compliance with the Regulation to the Regulated Entity:

The NYSDOH will be providing the harm reduction supplies at no cost to programs that are approved as second-tier syringe exchange programs. Quantities will be individually assessed and determined for each site. Included among those supplies are syringes, sharps containers, alcohol pads, and non-latex gloves. The estimated cost of providing these supplies is \$250,000 annually. There will be added responsibility for regulated entities deploying these second-tier programs, but the furnishing and collection of syringes will have a negligible impact on the current staff job responsibilities.

Costs:

Costs to State and Local Governments:

NYSDOH will be covering the cost of harm reduction supplies for local government agencies that voluntarily choose to have second-tier syringe exchange programs. Included among those supplies are syringes, sharps containers, alcohol pads, and non-latex gloves. There will be added responsibility for local government agency staff if they choose to become second-tier syringe exchange programs, but the furnishing and collection of syringes will have a negligible impact on their current job responsibilities.

Costs to the Department of Health:

Agencies approved to be second-tier syringe exchange programs will not receive funding from the NYSDOH. The NYSDOH will provide the harm reduction supplies at no cost to programs that are approved as second-tier syringe exchange programs. Quantities will be individually assessed and determined for each site. The estimated cost of providing these supplies is \$250,000 annually. The NYSDOH already has a contract to purchase, store and distribute harm reduction supplies. Agencies approved to be second-tier syringe exchange programs will be able to order harm reduction supplies through this contract. Second-tier syringe exchange programs are limited to not-for-profit organizations and government entities, including but not limited to, LGBTQ centers, STD clinics, and local health departments.

Local Government Mandates:

The proposed regulation does not impose any new programs, services, duties or responsibilities upon any county, city, town, village, school district, fire district or other special district.

Paperwork:

Agencies that apply to have a second-tier syringe exchange program will complete an application and submit it to NYSDOH. Once a program is approved, the agency will be required to submit quarterly reports.

Duplication:

There is no duplication of effort or of expenses in implementing the second-tier syringe exchange programs. SEP, ESAP and the second-tier syringe access programs are complementary, each meeting distinct needs.

Alternatives:

There are no viable alternatives that meet the objectives of this regulation. Applications from agencies to become syringe exchange programs (first tier) will continue to be reviewed and approved when all of the requirements are met and funding is available. The second-tier syringe exchange programs are lower threshold in terms of the application process, and this is likely to provide a meaningful adjunct to current syringe access capacity. The agencies anticipated to apply to become a second-tier syringe exchange program will reach individuals who may not come to a syringe exchange program. Once an agency is approved to become a second-tier syringe exchange program, individuals receiving services at these agencies can receive syringes as well.

Federal Standards:

The proposed second-tier syringe exchange programs are consistent with Federal support for syringe services programs (SSPs). No federal funding, under federal regulation, can be used for supporting the provision of syringes. However, federal funding can be used for ancillary services.

Compliance Schedule:

Syringe exchange programs are subject to comprehensive monitoring by NYSDOH staff every two years. A similar standard will be applied for the second-tier syringe access programs.

Regulatory Flexibility Analysis

Effect of Rule:

Second-tier syringe exchange programs are limited to not-for-profit organizations and government entities, including but not limited to, LGBTQ centers, STD clinics, and local government agencies. This regulation's provisions related to second-tier syringe exchange programs will therefore not impact small businesses or local governments, except those local government agencies that voluntarily choose to have second-tier syringe exchange programs. NYSDOH will be covering the cost of harm reduction supplies for these local government agencies. Included among those supplies are syringes, sharps containers, alcohol pads, and non-latex gloves. There will be added responsibility for local government agency staff if they choose to become second-tier syringe exchange programs, but the furnishing and collection of syringes will have a negligible impact on their current job responsibilities.

There are more than 5,450 pharmacies throughout New York State of which 3,385 participate in ESAP, some of which are small businesses. The rule change will give the ESAP-participating pharmacies the ability to have signage within their stores indicating that syringes without a prescription are available for sale. This will enhance the revenue of these stores.

Compliance Requirements:

The second-tier syringe exchange programs will be required to develop policies and procedures for 1) the proper safeguarding and handling and disposal of hypodermic syringes and needles, including inventory control, and securing injection equipment from theft; 2) adherence to appropriate infection control practices; 3) appropriate disposal of used hypodermic syringes and needles; and 4) enlisting community support for the program, including responding to concerns from the community and law enforcement agencies. The Department has developed guidance for these programs for the development of these policies and procedures.

The second-tier syringe exchange programs are required to submit quarterly reports to NYSDOH pursuant to guidance from the Department.

ESAP-participating pharmacies advertising the availability of syringes will have no additional compliance requirements.

Professional Services:

No additional professional services are associated with the rule change. Programs choosing to become a registered opioid overdose prevention programs under Public Health Law Section 3309 and the regulations in 10 NYCRR 80.138 will need to have the services of a prescriber to serve as the clinical director of that program. All SEPs already maintain registered opioid overdose prevention programs. It will be advisable, though not mandated, that second-tier syringe exchange programs become registered programs to ensure that the individuals with which they are working have low-threshold access to naloxone.

Compliance Costs:

No capital costs are required to comply with these regulations. The costs associated with the quarterly reporting requirement for second-tier syringe exchange programs is minimal.

Economic and Technological Feasibility:

There are no economic or technology impediments to any of the proposed rule changes.

Minimizing Adverse Impact:

There is no adverse impact expected. Participation in the second-tier syringe exchange program is voluntary. There are no capital costs required to comply with these regulations, and costs associated with quarterly reporting requirements are expected to be minimal. In addition, NYSDOH will be covering the cost of harm reduction supplies for local government agencies that voluntarily choose to participate in second-tier syringe exchange programs.

Small Business and Local Government Participation:

Copies of these proposed regulations will be transmitted to the Pharmacists Society of the State of New York and to local pharmacy societies for comment.

Rural Area Flexibility Analysis

Types and Estimated Numbers of Rural Areas:

This rule applies uniformly throughout the state, including rural areas. Rural areas are defined as counties with a population less than 200,000 and counties with a population of 200,000 or greater that have towns with population densities of 150 persons or fewer per square mile. The 43 counties listed below have a population of less than 200,000 based upon the United States Census estimated county populations for 2010 (<https://www.census.gov/quickfacts/>). Thirteen of the 24 Syringe Exchange Programs (SEPs) and 525 of the 3,385 Expanded Syringe Access Program (ESAP) pharmacies are in rural areas.

Allegany County	Greene County	Schoharie County
Cattaraugus County	Hamilton County	Schuyler County
Cayuga County	Herkimer County	Seneca County
Chautauqua County	Jefferson County	St. Lawrence County
Chemung County	Lewis County	Steuben County
Chenango County	Livingston County	Sullivan County
Clinton County	Madison County	Tioga County
Columbia County	Montgomery County	Tompkins County
Cortland County	Ontario County	Ulster County
Delaware County	Orleans County	Warren County
Essex County	Oswego County	Washington County
Franklin County	Otsego County	Wayne County
Fulton County	Putnam County	Wyoming County

Genesee County Rensselaer County Yates County
Schenectady County

The following counties have a population of 200,000 or greater and towns with population densities of 150 persons or fewer per square mile. Data is based upon the United States Census estimated county populations for 2010.

Albany County Monroe County Orange County
Broome County Niagara County Saratoga County
Dutchess County Oneida County Suffolk County
Erie County Onondaga County

Ten existing SEPs and 883 ESAP pharmacies are located in these rural areas.

The second-tier syringe exchange programs are likely to be particularly important in rural parts of New York State where SEPs are not currently situated and where the stigma of going into a pharmacy to acquire syringes may be particularly onerous.

Reporting, Recordkeeping and Other Compliance Requirements; and Professional Services:

The second-tier syringe exchange programs will be required to develop policies and procedures for 1) the proper safeguarding and handling and disposal of hypodermic syringes and needles, including inventory control, and securing injection equipment from theft; 2) adherence to appropriate infection control practices; 3) appropriate disposal of used hypodermic syringes and needles; and 4) enlisting community support for the program, including responding to concerns from the community and law enforcement agencies. The Department has developed guidance for these programs for the development of these policies and procedures.

The second-tier syringe exchange programs will be required to submit quarterly reports to NYSDOH pursuant to guidance from the Department.

ESAP-participating pharmacies advertising the availability of syringes will have no additional compliance requirements.

No additional professional services are associated with the rule change. Programs choosing to become a registered opioid overdose prevention program under Public Health Law Section 3309 and the regulations in 10 NYCRR 80.138 will need to have the services of a prescriber to serve as the clinical director of that program. All SEPs already maintain registered opioid overdose prevention programs. It will be advisable, though not mandated, that second-tier syringe exchange programs become registered programs to ensure that the individuals with which they are working have low-threshold access to naloxone.

Costs:

No capital costs are required to comply with these regulations. The costs associated with the quarterly reporting requirement for second-tier syringe access programs is minimal.

Minimizing Adverse Impact:

There is no adverse impact expected. Participation in the second-tier syringe exchange program is voluntary. There are no capital costs required to comply with these regulations, and costs associated with quarterly reporting requirements are expected to be minimal. In addition, NYSDOH will be covering the cost of harm reduction supplies for local government agencies that voluntarily choose to participate in second-tier syringe exchange programs.

Rural Area Participation:

Copies of these proposed regulations will be transmitted to the Pharmacists Society of the State of New York and to local pharmacy societies.

Job Impact Statement

No job impact statement is required pursuant to section 201-a(2)(a) of the State Administrative Procedure Act. No adverse impact on jobs and employment opportunities is expected as a result of these proposed regulations.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Communicable Diseases Reporting and Control—Adding Severe or Novel Coronavirus

I.D. No. HLT-08-20-00001-EP

Filing No. 90

Filing Date: 2020-02-06

Effective Date: 2020-02-06

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

Proposed Action: Amendment of sections 2.1 and 2.5 of Title 10 NYCRR.

Statutory authority: Public Health Law, section 225

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

Specific reasons underlying the finding of necessity: Compliance with the requirements of the State Administrative Procedure Act for filing of a regulation on a non-emergency basis including the requirement for a period of time for public comment cannot be met because to do so would be detrimental to the health and safety of the general public.

The 2019 Novel Coronavirus (2019-nCoV) is a virus that was found to be the cause of an outbreak of respiratory illness in Wuhan, Hubei Province, China in December 2019. It is associated with mild to severe respiratory illness including symptoms of fever, cough, and difficulty breathing. People infected with the virus have had symptoms ranging from those that are mild (like a common cold) to severe pneumonia that requires medical care in a hospital and may be fatal.

As of February 3, 2020, 17,391 confirmed cases of 2019-nCoV were reported to the World Health Organization from 23 countries, including Canada and the United States, with 362 deaths reported.

On January 30, 2020 the World Health Organization designated the 2019-nCoV outbreak as a Public Health Emergency of International Concern, advising that further cases may appear in any country. On January 31, 2020, the Secretary of Health and Human Services determined that as a result of confirmed cases of 2019-nCoV in the United States, a public health emergency exists and has existed since January 27, 2020, nationwide.

If 2019-nCoV spreads in the general population, there could be severe public health consequences. On February 1, 2020, the New York State Commissioner of Health determined that 2019-nCoV is communicable, rapidly emergent and a significant threat to the public health, and designated 2019-nCoV as a communicable disease under 10 NYCRR Section 2.1. This designation will expire at the next scheduled meeting of the Public Health and Health Planning Council on February 6, 2020.

This emergency regulation is necessary to confirm the Commissioner's designation and permit the Department of Health (Department) to systematically monitor for this disease and permit decisions about isolation or quarantine of suspect or confirmed cases to be made on a timely basis.

Subject: Communicable Diseases Reporting and Control—Adding Severe or Novel Coronavirus.

Purpose: To require physicians, hospitals, nursing homes, D&TCs and clinical laboratories to report instances of severe or novel coronavirus.

Text of emergency/proposed rule: Subdivision (a) of Section 2.1 is amended to read as follows:

(a) When used in the Public Health Law and in this Chapter, the term infectious, contagious or communicable disease, shall be held to include the following diseases and any other disease which the commissioner, in the reasonable exercise of his or her medical judgment, determines to be communicable, rapidly emergent or a significant threat to public health, provided that the disease which is added to this list solely by the commissioner's authority shall remain on the list only if confirmed by the Public Health and Health Planning Council at its next scheduled meeting:

- Amebiasis
- Anthrax
- Arboviral infection
- Babesiosis
- Botulism
- Brucellosis
- Campylobacteriosis
- Chancroid
- Chlamydia trachomatis infection
- Cholera
- Cryptosporidiosis

Cyclosporiasis
 Diphtheria
 E. coli 0157:H7 infections
 Ehrlichiosis
 Encephalitis
 Giardiasis
 Glanders
 Gonococcal infection
 Group A Streptococcal invasive disease
 Group B Streptococcal invasive disease
 Hantavirus disease
 Hemolytic uremic syndrome
 Hemophilus influenzae (invasive disease)
 Hepatitis (A; B; C)
 Herpes infection in infants aged 60 days or younger (neonatal)
 Hospital-associated infections (as defined in section 2.2 of this Part)
 Influenza (laboratory-confirmed)
 Legionellosis
 Listeriosis
 Lyme disease
 Lymphogranuloma venereum
 Malaria
 Measles
 Melioidosis
 Meningitis
 Aseptic
 Hemophilus
 Meningococcal
 Other (specify type)
 Meningococcemia
 Monkeypox
 Mumps
 Pertussis (whooping cough)
 Plague
 Poliomyelitis
 Psittacosis
 Q Fever
 Rabies
 Rocky Mountain spotted fever
 Rubella
 Congenital rubella syndrome
 Salmonellosis
 [Severe Acute Respiratory Syndrome (SARS)]
Severe or novel coronavirus
 2019-Novel Coronavirus (2019-nCoV)
 Severe Acute Respiratory Syndrome (SARS)
 Middle East Respiratory Syndrome (MERS)
 Other (specify type)
 Shigellosis
 Smallpox
 Staphylococcal enterotoxin B poisoning
 Streptococcus pneumoniae invasive disease
 Syphilis, specify stage
 Tetanus
 Toxic Shock Syndrome
 Trichinosis
 Tuberculosis, current disease (specify site)
 Tularemia
 Typhoid
 Vaccinia disease (as defined in section 2.2 of this Part)
 Viral hemorrhagic fever
 Yersiniosis

* * *

Section 2.5 is amended to read as follows:

2.5. Physician to submit specimens for laboratory examination in cases or suspected cases of certain communicable diseases. A physician in attendance on a person affected with or suspected of being affected with any of the diseases mentioned in this section shall submit to an approved laboratory, or to the laboratory of the State Department of Health, for examination of such specimens as may be designated by the State Commissioner of Health, together with data concerning the history and clinical manifestations pertinent to the examination:

Anthrax
 Babesiosis
 Botulism
 Brucellosis
 Campylobacteriosis
 Chlamydia trachomatis infection
 Cholera

Congenital rubella syndrome
 Conjunctivitis, purulent, of the newborn (28 days of age or less)
 Cryptosporidiosis
 Cyclosporiasis
 Diphtheria
 E. coli 0157:H7 infections
 Ehrlichiosis
 Giardiasis
 Glanders
 Gonococcal infection
 Group A Streptococcal invasive disease
 Group B Streptococcal invasive disease
 Hantavirus disease
 Hemophilus influenzae (invasive disease)
 Hemolytic uremic syndrome
 Herpes infection in infants aged 60 days or younger (neonatal)
 Legionellosis
 Listeriosis
 Malaria
 Melioidosis
 Meningitis
 Hemophilus
 Meningococcal
 Meningococcemia
 Monkeypox
 Plague
 Poliomyelitis
 Q Fever
 Rabies
 Rocky Mountain spotted fever
 Salmonellosis
 [Severe Acute Respiratory Syndrome (SARS)]
Severe or novel coronavirus
 2019-Novel Coronavirus (2019-nCoV)
 Severe Acute Respiratory Syndrome (SARS)
 Middle East Respiratory Syndrome (MERS)
 Other (specify type)
 Shigellosis
 Smallpox
 Staphylococcal enterotoxin B poisoning
 Streptococcus pneumoniae invasive
 Syphilis
 Tuberculosis
 Tularemia
 Typhoid
 Viral hemorrhagic fever
 Yellow Fever
 Yersiniosis

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 May 5, 2020.

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

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

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

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

Regulatory Impact Statement

Statutory Authority:

Section 225 of the Public Health Law ("PHL") authorizes the Public Health and Health Planning Council (PHHPC), subject to the approval of the Commissioner of Health (Commissioner) to establish and amend State Sanitary Code provisions relating to the designation of communicable diseases which are dangerous to public health, designation of diseases for which specimens shall be submitted for laboratory examination, and the nature of information required to be furnished by physicians in each case of communicable disease.

Legislative Objectives:

The legislative objective of PHL § 225 is, in part, to protect the public health by authorizing PHHPC, with the approval of the Commissioner, to designate communicable diseases, thereby permitting enhanced disease monitoring and authorizing isolation and quarantine measures, if necessary, to prevent further transmission.

Needs and Benefits:

The 2019 Novel Coronavirus (2019-nCoV) is a virus that was found to be the cause of an outbreak of respiratory illness in Wuhan, Hubei Province, China in December 2019. It is associated with mild to severe respiratory illness including symptoms of fever, cough, and difficulty breathing. People infected with the virus have had symptoms ranging from those that are mild (like a common cold) to severe pneumonia that requires medical care in a hospital and may be fatal.

As of February 3, 2020, 17,391 confirmed cases of 2019-nCoV were reported to the World Health Organization from 23 countries, including Canada and the United States, with 362 deaths reported.

On January 30, 2020 the World Health Organization designated the 2019-nCoV outbreak as a Public Health Emergency of International Concern, advising that further cases may appear in any country. On January 31, 2020, the Secretary of Health and Human Services determined that as a result of confirmed cases of 2019-nCoV in the United States, a public health emergency exists and has existed since January 27, 2020, nationwide.

If 2019-nCoV spreads in the general population, there could be severe public health consequences. On February 1, 2020, the New York State Commissioner of Health determined that 2019-nCoV is communicable, rapidly emergent and a significant threat to the public health, and designated 2019-nCoV as a communicable disease under 10 NYCRR Section 2.1. This designation will expire at the next scheduled meeting of the Public Health and Health Planning Council on February 6, 2020. Adding "severe or novel coronavirus" to the reportable disease list will confirm the Commissioner's designation and permit the Department of Health (Department) to systematically monitor for the disease and permit decisions about isolation or quarantine of suspect or confirmed cases to be made on a timely basis.

The regulation will also permit the Department to monitor and respond to other severe or novel coronavirus cases that may arise, including Middle East Respiratory Syndrome (MERS).

Costs:**Costs to Regulated Parties:**

As 2019-nCoV is a newly emerging disease, it is not possible to accurately predict the extent of the outbreak or potential costs. In the event of the occurrence of 2019-nCoV cases, however, it is imperative to the public health that they be reported immediately and investigated thoroughly to curtail additional exposure and potential morbidity and mortality and to protect the public health.

The costs associated with implementing the reporting of this disease are lessened as reporting processes and forms already exist. Hospitals, practitioners and clinical laboratories are accustomed to reporting communicable disease to public health authorities.

Costs to Local and State Governments:

As 2019-nCoV is a newly emerging disease, it is not possible to accurately predict the extent of the outbreak or potential costs.

Costs to local or state governments associated with investigating and implementing control strategies to curtail the spread of 2019-nCoV, however, could be significant. Control efforts may include isolation or quarantine. Close contacts of individuals diagnosed with 2019-nCoV may need to be closely monitored with daily follow-up by local health departments for up to two weeks post-exposure. These intensive efforts are critical to minimize the spread of this disease.

However, by potentially decreasing the spread of 2019-nCoV, this regulation may reduce costs associated with public health control activities, morbidity, treatment and premature death.

Costs to the Department of Health:

As 2019-nCoV is a newly emerging disease, it is not possible to accurately predict the extent of the outbreak or potential costs. Costs to the Department associated with assisting local health departments investigating and implementing control strategies to curtail the spread of 2019-nCoV, however, could be significant.

Paperwork:

The existing general communicable disease reporting form (DOH-389) will be revised. This form is familiar to and is already used by regulated parties.

Local Government Mandates:

Under Part 2 of the State Sanitary Code (10 NYCRR Part 2), the city, county or district health officer receiving reports from physicians in attendance on persons with or suspected of being affected with 2019-nCoV, will be required to immediately forward such reports to the State Health Commissioner and to investigate and monitor the cases reported.

Duplication:

There is no duplication of this initiative in existing State or federal law.

Alternatives:

No other alternatives are available, because reporting of cases of 2019-nCoV is of critical importance to public health. There is an urgent need to conduct surveillance, identify human cases in a timely manner, and reduce the potential for further exposure to contacts.

Federal Standards:

Currently there are no federal standards requiring the reporting of 2019-nCoV.

Compliance Schedule:

Reporting of 2019-nCoV is currently mandated, pursuant to the authority vested in the Commissioner of Health by 10 NYCRR Section 2.1(a). This mandate will be extended upon filing of a Notice of Emergency Adoption of this regulation with the Secretary of State and made permanent by publication of a Notice of Adoption of this regulation in the New York State Register.

Regulatory Flexibility Analysis**Effect on Small Business and Local Government:**

This rule will apply to physicians, hospitals, nursing homes, diagnostic and treatment centers and clinical laboratories. There are approximately 76,500 licensed and registered physicians in New York State; it is not known how many of them practice in small businesses. Five hospitals, 130 nursing homes, 311 diagnostic and treatment centers, and 150 clinical laboratories employ less than 100 persons and qualify as small businesses.

Implementation will require reporting of 2019-nCoV in all 57 counties of the State outside of New York City. New York City has already adopted regulations identifying severe or novel coronavirus as a reportable, communicable disease.

Compliance Requirements:

Hospitals, clinics, physicians, nursing homes, and clinical laboratories that are small businesses and local governments will utilize revised Department of Health reporting forms and existing laboratory referral forms.

Local health officers receiving reports from physicians in attendance on persons with or suspected of being affected with 2019-nCoV, will be required to immediately forward such reports to the State Health Commissioner and to investigate and monitor the cases reported. Local health officers may also need to isolate or quarantine individuals to stop the spread of disease.

Professional Services:

No additional professional services will be required since providers are expected to be able to utilize existing staff to report occurrences of 2019-nCoV and to order laboratory tests.

Compliance Costs:

No initial capital costs of compliance are anticipated. Annual compliance costs will depend upon the number of 2019-nCoV cases. The reporting of 2019-nCoV should have a negligible to modest effect on the estimated cost of disease reporting by hospitals, but the exact cost cannot be estimated. The cost would be less for physicians and other small businesses.

As 2019-nCoV is a newly emerging disease, it is not possible to accurately predict the extent of the outbreak or potential costs for local governments. Costs to local governments associated with investigating and implementing control strategies to curtail the spread of 2019-nCoV, however, could be significant. Control efforts may include isolation or quarantine. Close contacts of individuals diagnosed with 2019-nCoV may need to be closely monitored with daily follow-up by local health departments for up to two weeks post-exposure. These intensive efforts are critical to minimize the spread of this disease.

However, by potentially decreasing the spread of 2019-nCoV, this regulation may reduce costs associated with public health control activities, morbidity, treatment and premature death.

Economic and Technological Feasibility:

There are no economic or technological impediments to the rule changes.

Minimizing Adverse Impact:

There are no alternatives to the reporting requirement. Adverse impacts have been minimized since revised forms and reporting staff will be utilized by regulated parties. Electronic reporting will save time and expense.

Small Business and Local Government Participation:

Local governments have been consulted in the process through ongoing communication on this issue with local health departments and the New York State Association of County Health Officers (NYSACHO).

Rural Area Flexibility Analysis**Types and Estimated Numbers of Rural Areas:**

This rule applies uniformly throughout the state, including rural areas. Rural areas are defined as counties with a population less than 200,000 and counties with a population of 200,000 or greater that have towns with population densities of 150 persons or fewer per square mile. The following 43 counties have a population of less than 200,000 based upon the United States Census estimated county populations for 2010 (<https://www.census.gov/quickfacts/>).

Allegany County

Greene County

Schoharie County

NOTICE OF ADOPTION

Cattaraugus County	Hamilton County	Schuyler County
Cayuga County	Herkimer County	Seneca County
Chautauqua County	Jefferson County	St. Lawrence County
Chemung County	Lewis County	Steuben County
Chenango County	Livingston County	Sullivan County
Clinton County	Madison County	Tioga County
Columbia County	Montgomery County	Tompkins County
Cortland County	Ontario County	Ulster County
Delaware County	Orleans County	Warren County
Essex County	Oswego County	Washington County
Franklin County	Otsego County	Wayne County
Fulton County	Putnam County	Wyoming County
Genesee County	Rensselaer County	Yates County
	Schenectady County	

The following counties have a population of 200,000 or greater and towns with population densities of 150 persons or fewer per square mile. Data is based upon the United States Census estimated county populations for 2010.

Albany County	Monroe County	Orange County
Broome County	Niagara County	Saratoga County
Dutchess County	Oneida County	Suffolk County
Erie County	Onondaga County	

Compliance Requirements:

Hospitals, clinics, physicians, nursing homes, and clinical laboratories that are located in rural areas will utilize revised Department of Health reporting forms and existing laboratory referral forms.

Local health officers in rural areas receiving reports from physicians in attendance on persons with or suspected of being affected with 2019-nCoV, will be required to immediately forward such reports to the State Health Commissioner and to investigate and monitor the cases reported. Local health officers may also need to isolate or quarantine individuals to stop the spread of disease.

Professional Services:

No additional professional services will be required. Rural providers are expected to use existing staff to comply with the requirements of this regulation.

Compliance Costs:

No initial capital costs of compliance are anticipated. Annual compliance costs will depend upon the number of 2019-nCoV cases. The reporting of 2019-nCoV should have a negligible to modest effect on the estimated cost of disease reporting by hospitals in rural areas, but the exact cost cannot be estimated. The cost would be less for physicians and other small businesses.

As 2019-nCoV is a newly emerging disease, it is not possible to accurately predict the extent of the outbreak or potential costs for local governments in rural areas. Costs to local governments associated with investigating and implementing control strategies to curtail the spread of 2019-nCoV, however, could be significant. Control efforts may include isolation or quarantine. Close contacts of individuals diagnosed with 2019-nCoV may need to be closely monitored with daily follow-up by local health departments for up to two weeks post-exposure. These intensive efforts are critical to minimize the spread of this disease.

However, by potentially decreasing the spread of 2019-nCoV, this regulation may reduce costs associated with public health control activities, morbidity, treatment and premature death.

Minimizing Adverse Impact:

No alternative to the reporting requirements were considered due to the obvious need to prevent the spread of nCoV. Adverse impacts have been minimized since familiar forms and reporting staff will be utilized by regulated parties.

Rural Area Input:

The New York State Association of County Health Officers, including representatives of rural counties, has been informed about of this rule change and supports the need for it.

Job Impact Statement

The Department of Health has determined that this regulatory change will not have a substantial adverse impact on jobs and employment, based upon its nature and purpose.

Medical Use of Marihuana

I.D. No. HLT-45-19-00001-A

Filing No. 122

Filing Date: 2020-02-11

Effective Date: 2020-02-26

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

Action taken: Amendment of section 1004.11 of Title 10 NYCRR.

Statutory authority: Public Health Law, section 3369-a

Subject: Medical Use of Marihuana.

Purpose: To allow NYS hemp growers to sell hemp-derived cannabidiol to the Registered Organizations to reduce the cost of manufacturing.

Text or summary was published in the November 6, 2019 issue of the Register, I.D. No. HLT-45-19-00001-P.

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

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

Initial Review of Rule

As a rule that does not require a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2025, which is no later than the 5th year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

Public Service Commission

NOTICE OF ADOPTION

Levelization Surcharge and SIC Projects

I.D. No. PSC-16-19-00007-A

Filing Date: 2020-02-06

Effective Date: 2020-02-06

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

Action taken: On 2/6/20, the PSC adopted an order postponing New York American Water Company, Inc.'s (NYAW) levelization surcharge and authorizing amended System Improvement Charge (SIC) projects.

Statutory authority: Public Service Law, sections 89-b and 89-c

Subject: Levelization surcharge and SIC projects.

Purpose: To postpone NYAW's levelization surcharge and authorize amended SIC projects.

Substance of final rule: The Commission, on February 6, 2020, adopted an order postponing New York American Water Company, Inc.'s (NYAW) levelization surcharge for Rate Year 3 and Rate Year 4 and authorizing amended System Improvement Charge (SIC) projects. NYAW is directed to postpone the levelization surcharge mechanism set to become effective for Service Area 1 customers on April 1, 2020 to April 1, 2021. NYAW is directed to file tariff amendments effectuating opt-out fees and provisions for digital non-communicating meters, as discussed in the body of the Order, on not less than 30 days' notice, to become effective on May 1, 2020. NYAW is authorized to substitute and expand the number of capital projects as shown in Appendix A that are eligible for recovery through the SIC mechanism, including Advanced Metering Infrastructure (AMI), provided that NYAW accepts a one year stay-out provision. NYAW is directed to file SIC Statement No. 3 to include the projects as approved in the Order on not less than ten days' notice, to become effective on May 1, 2020. NYAW and Department of Public Service staff shall meet to develop additional reporting metrics to track the benefits and costs of the AMI project along with the reasons for changes within 45 days of issuance of the Order, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commis-

sion, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(16-W-0259SA9)

NOTICE OF ADOPTION

Implementation Plan

I.D. No. PSC-31-19-00014-A

Filing Date: 2020-02-06

Effective Date: 2020-02-06

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

Action taken: On 2/6/20, the PSC adopted an order approving, with modifications, New York American Water Company, Inc.'s (NYAW) Final Implementation Plan.

Statutory authority: Public Service Law, sections 89-b and 89-c
Subject: Implementation Plan.

Purpose: To approve, with modifications, NYAW's Final Implementation Plan.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving, with modifications, New York American Water Company, Inc.'s (NYAW) Final Implementation Plan. NYAW is directed to file, within 15 days of the date of issuance of the Order to become effective on July 1, 2020, tariff amendments implementing the prorated tariff language discussed in the body of the Order, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(16-W-0259SA11)

NOTICE OF ADOPTION

Modifications to the Meter Data Access Plan

I.D. No. PSC-39-19-00013-A

Filing Date: 2020-02-07

Effective Date: 2020-02-07

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

Action taken: On 2/6/20, the PSC adopted an order approving Consolidated Edison Company of New York, Inc.'s (Con Edison) petition for modifications to Commercial Demand Response Meter Data Access requirements.

Statutory authority: Public Service Law, sections 5(1), (2), 65(1), (5), 66(1), (12) and (14)

Subject: Modifications to the Meter Data Access Plan.

Purpose: To approve Con Edison's petition to modify Commercial Demand Response Meter Data Access requirements.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving Consolidated Edison Company of New York, Inc.'s (Con Edison) petition for modifications to Commercial Demand Response Meter Data Access requirements. Con Edison shall suspend the requirement to provide near-real-time data to commercial demand response customers, only to the extent the requirement applies to customers with legacy interval meters, and shall provide near-real-time data to such customers when Advanced Metering Infrastructure implementation is completed, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(19-E-0442SA1)

NOTICE OF ADOPTION

Waiver Extension on ESCO Low-Income Prohibition

I.D. No. PSC-42-19-00006-A

Filing Date: 2020-02-07

Effective Date: 2020-02-07

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

Action taken: On 2/6/20, the PSC adopted an order approving Ambit New York, LLC's (Ambit) petition for a 24-month waiver extension on the Energy Service Company (ESCO) Low-Income Prohibition.

Statutory authority: Public Service Law, sections 5(1)(b), 65(1), (2), (3), 66(1), (2), (3), (5) and (8)

Subject: Waiver extension on ESCO Low-Income Prohibition.

Purpose: To approve Ambit's petition for a 24-month waiver extension on ESCO Low-Income Prohibition.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving Ambit New York, LLC's (Ambit) petition for a 24-month limited waiver on the Public Service Commission's Order Adopting a Prohibition on Service to Low-Income Customers by Energy Service Companies, issued on December 16, 2016 in Case 12-M-0476, et al. (Commission's Order), thereby allowing Ambit to serve low-income customers. Ambit is directed to report to Department of Public Service Staff semi-annually, commencing six months after the issuance of the order, on the status of its compliance with the Commission's Order, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(12-M-0476SA32)

NOTICE OF ADOPTION

Waiver Extension on ESCO Low-Income Prohibition

I.D. No. PSC-42-19-00007-A

Filing Date: 2020-02-07

Effective Date: 2020-02-07

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

Action taken: On 2/6/20, the PSC adopted an order approving Zone One Energy, LLC's (Zone One) petition for a 24-month waiver extension on the Energy Service Company (ESCO) Low-Income Prohibition.

Statutory authority: Public Service Law, sections 5(1)(b), 65(1), (2), (3), 66(1), (2), (3), (5) and (8)

Subject: Waiver extension on ESCO Low-Income Prohibition.

Purpose: To approve Zone One's petition for a 24-month waiver extension on ESCO Low-Income Prohibition.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving Zone One Energy, LLC's (Zone One) petition for a 24-month limited waiver on the Public Service Commission's Order Adopting a Prohibition on Service to Low-Income Customers by Energy Service

Companies, issued on December 16, 2016 in Case 12-M-0476, et al. (Commission's Order), thereby allowing Zone One to serve low-income customers. Zone One is directed to report to Department of Public Service Staff semi-annually, commencing six months after the issuance of the order, on the status of its compliance with the Commission's Order, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(12-M-0476SA33)

NOTICE OF ADOPTION

Motion for Waivers

I.D. No. PSC-46-19-00007-A

Filing Date: 2020-02-10

Effective Date: 2020-02-10

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

Action taken: On 2/6/20, the PSC adopted an order approving New York Transco, LLC's (NY Transco) motion for waiver of certain Commission regulations relating to Public Service Law Article VII applications.

Statutory authority: Public Service Law, sections 4 and 122

Subject: Motion for waivers.

Purpose: To approve NY Transco's motion for waivers relating to Public Service Law Article VII applications.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving New York Transco, LLC's motion for waiver of certain Commission regulations relating to Public Service Law Article VII applications, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(19-T-0684SA1)

NOTICE OF ADOPTION

Transfer of Property

I.D. No. PSC-46-19-00009-A

Filing Date: 2020-02-06

Effective Date: 2020-02-06

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

Action taken: On 2/6/20, the PSC adopted an order approving a petition authorizing New York American Water Company, Inc. (NYAW) to transfer certain property to the Incorporated Village of Sea Cliff (Sea Cliff).

Statutory authority: Public Service Law, sections 4(1), 89-c(1), (10) and 89-h(1)

Subject: Transfer of property.

Purpose: To approve NYAW to transfer certain property to Sea Cliff.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving New York American Water Company, Inc. (NYAW) and Incorporated Village of Sea Cliff's (Sea Cliff) petition authorizing NYAW to transfer certain property, located at 325 Prospect Avenue, Sea Cliff, New York, to Sea Cliff, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(19-W-0648SA1)

NOTICE OF ADOPTION

Transfer of Street Lighting Facilities

I.D. No. PSC-47-19-00012-A

Filing Date: 2020-02-10

Effective Date: 2020-02-10

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

Action taken: On 2/6/20, the PSC adopted an order approving New York State Electric & Gas Corporation's (NYSEG) petition to transfer the street lighting facilities within the Village of Cayuga Heights to the Village of Cayuga Heights.

Statutory authority: Public Service Law, section 70(1)

Subject: Transfer of street lighting facilities.

Purpose: To approve NYSEG's petition for a transfer of street lighting facilities.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving New York State Electric & Gas Corporation's petition to transfer the street lighting facilities within the Village of Cayuga Heights to the Village of Cayuga Heights, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(19-E-0685SA1)

NOTICE OF ADOPTION

Water Supply Agreement and Waiver Request

I.D. No. PSC-47-19-00014-A

Filing Date: 2020-02-10

Effective Date: 2020-02-10

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

Action taken: On 2/6/20, the PSC adopted an order approving the terms of a water supply agreement by and between Saratoga Water Services, Inc. (SWS) and Millerton Co-op, Inc. (Millerton) and approved SWS's waiver request.

Statutory authority: Public Service Law, sections 4(1), 20(1) and 89-b

Subject: Water supply agreement and waiver request.

Purpose: To approve the terms of a water supply agreement by and between SWS and Millerton and SWS' waiver request.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving the terms of Saratoga Water Services, Inc.'s Agreement for the Provision of Water Service with Millerton Co-op, Inc. and Saratoga Water Services, Inc.'s (SWS) request for waivers of Sections XI (1) and XIII, on Leaves 44 and 45 of SWS' tariff (PSC No. 3 – Water) and 16 NYCRR § 501.2, 501.3, 501.4, 501.6, 501.9, 501.10, and 502.3. SWS is directed to file with the Secretary to the Commission, within 30 days of issuance by the Department of Environmental Conservation, a copy of the permit authorizing the extension of water service described in the order, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(19-W-0682SA1)

NOTICE OF ADOPTION

Levelization Surcharge and SIC Projects

I.D. No. PSC-48-19-00004-A

Filing Date: 2020-02-06

Effective Date: 2020-02-06

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

Action taken: On 2/6/20, the PSC adopted an order postponing New York American Water Company, Inc.'s (NYAW) levelization surcharge and authorizing amended System Improvement Charge (SIC) projects.

Statutory authority: Public Service Law, sections 89-b and 89-c

Subject: Levelization surcharge and SIC projects.

Purpose: To postpone NYAW's levelization surcharge and authorize amended SIC projects.

Substance of final rule: The Commission, on February 6, 2020, adopted an order postponing New York American Water Company, Inc.'s (NYAW) levelization surcharge for Rate Year 3 and Rate Year 4 and authorizing amended System Improvement Charge (SIC) projects. NYAW is directed to postpone the levelization surcharge mechanism set to become effective for Service Area 1 customers on April 1, 2020 to April 1, 2021. NYAW is directed to file tariff amendments effectuating opt-out fees and provisions for digital non-communicating meters, as discussed in the body of the Order, on not less than 30 days' notice, to become effective on May 1, 2020. NYAW is authorized to substitute and expand the number of capital projects as shown in Appendix A that are eligible for recovery through the SIC mechanism, including Advanced Metering Infrastructure (AMI), provided that NYAW accepts a one year stay-out provision. NYAW is directed to file SIC Statement No. 3 to include the projects as approved in the Order on not less than ten days' notice, to become effective on May 1, 2020. NYAW and Department of Public Service staff shall meet to develop additional reporting metrics to track the benefits and costs of the AMI project along with the reasons for changes within 45 days of issuance of the Order, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(16-W-0259SA13)

NOTICE OF ADOPTION

Waiver Extension on ESCO Low-Income Prohibition

I.D. No. PSC-49-19-00006-A

Filing Date: 2020-02-07

Effective Date: 2020-02-07

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

Action taken: On 2/6/20, the PSC adopted an order approving New Wave Energy Corporation's (New Wave) petition for a 24-month waiver extension on the Energy Service Company (ESCO) Low-Income Prohibition.

Statutory authority: Public Service Law, sections 5(1)(b), 65(1), (2), (3), 66(1), (2), (3), (5) and (8)

Subject: Waiver extension on ESCO Low-Income Prohibition.

Purpose: To approve New Wave's petition for a 24-month waiver extension on ESCO Low-Income Prohibition.

Substance of final rule: The Commission, on February 6, 2020, adopted an order approving New Wave Energy Corporation's (New Wave) petition for a 24-month limited waiver on the Public Service Commission's Order Adopting a Prohibition on Service to Low-Income Customers by Energy Service Companies, issued on December 16, 2016 in Case 12-M-0476, et al. (Commission's Order), thereby allowing New Wave to serve low-income customers. New Wave is directed to report to Department of Public Service Staff semi-annually, commencing six months after the issuance of the order, on the status of its compliance with the Commission's Order, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

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.

(12-M-0476SA34)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Transfer of Stock Resulting in a Complete Ownership Transfer

I.D. No. PSC-08-20-00002-P

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

Proposed Action: The Public Service Commission is considering a petition filed by N.E.A. Cross of N.Y. on January 16, 2020, for the transfer of 100% of company stock from the Estate of Vincent L. Cross to Michael G. Cross.

Statutory authority: Public Service Law, sections 5, 65, 66 and 70(1)

Subject: Transfer of stock resulting in a complete ownership transfer.

Purpose: To determine whether the proposed transfer is in the public interest.

Substance of proposed rule: The Public Service Commission is considering a petition filed by N.E.A. Cross of N.Y. (N.E.A. Cross or the Company) on January 16, 2020, for the transfer of 100% of company stock from the Estate of Vincent L. Cross to Michael G. Cross. N.E.A. Cross is a natural gas utility serving approximately 823 customers in Chautauqua County.

The transaction would allow Michael G. Cross to acquire all issued and outstanding shares of stock (valued at \$790,463, as of December 31, 2018) of N.E.A. Cross and allow Michael G. Cross to continue to serve as President of N.E.A. Cross. Vincent L. Cross acquired complete ownership of the Company in 2006 and maintained complete ownership until his death in September 2018. Michael G. Cross, Vincent's son, has been the Vice-President of N.E.A. Cross since November 2005, and has been serving as President since his father's passing. The petition states that the proposed transfer will not affect the day-to-day.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6517, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-G-0026SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

PSC Regulation 16 NYCRR Section 86.3(a)(2) and (b)(2)

I.D. No. PSC-08-20-00003-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 petition filed by Champlain Hudson Power Express for a waiver of two provisions of 16 NYCRR regarding the required contents of applications filed under Article VII of the Public Service Law.

Statutory authority: Public Service Law, sections 4 and 122

Subject: PSC regulation 16 NYCRR section 86.3(a)(2) and (b)(2).

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 petition filed by Champlain Hudson Power Express, on December 6, 2019, for a waiver of two provisions of 16 NYCRR regarding the required contents of applications filed under Article VII of the Public Service Law.

On April 18, 2013, the New York State Public Service Commission (Commission) granted Champlain Hudson Power Express, Inc. and CHPE Properties, Inc. (Applicants) a certificate under Public Service Law Article VII to construct and operate the Champlain Hudson Power Express Project (Project). The Project is a High Voltage, Direct Current (HVDC) transmission line extending approximately 330 miles from the New York/Canada border to a converter station in Astoria, Queens. Applicants have applied for a modified certificate for certain alternative routes for the Project.

In the rulemaking portion of this case, Applicants seek a Commission waiver of 16 NYCRR §§ 86.3(a)(2) and 86.3(b)(2). Section 86.3(a)(2) requires an application to include New York State Department of Transportation (NYSDOT) maps (scale 1:250,000) showing the Project's relationship to the Applicant's overall system. Section 86.3(b)(2) requires an application to include aerial photographs taken within six months of the filing of the application showing the landscape and associated buildings and infrastructure.

Applicants provide the following reasons for their waiver request: (1) the required NYSDOT mapping does not clearly depict the location of the preferred alternative routes; (2) the provided USGS topographic edition maps, provided in place of the NYSDOT maps, include the information required by § 86.3(a)(2); (3) aerial imagery taken within six months of the Project's filing date is not available; (4) the included photographs provide alternative information consistent with § 86.3(b)(2); (5) field surveys have confirmed that the photographs included by Applicants represent current conditions along the proposed Project route; and (6) waivers have previously been granted under similar circumstances.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(10-T-0139SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Waiver of Provisions and Service Agreement

I.D. No. PSC-08-20-00004-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 joint petition filed by Saratoga Water Services, Inc. and CDP 3 Silos, LLC requesting a waiver of the Company's tariff provisions and Commission regulations, and requesting approval of the service agreement.

Statutory authority: Public Service Law, sections 4(1), 20(1) and 89-b

Subject: Waiver of provisions and service agreement.

Purpose: To consider if the waiver and the proposed terms of a service agreement are in the public interest.

Substance of proposed rule: The Commission is considering the petition of Saratoga Water Services, Inc. (Saratoga) filed on March 21, 2011, requesting a waiver of certain tariff provisions to allow it to provide service to a customer outside of its service territory on non-tariff terms. Specifically, Saratoga seeks to provide water service to CDP 3 Silos, LLC (CDP), which is outside Saratoga's service territory as defined by the Department of Environmental Conservation (DEC).

On August 31, 2009, Saratoga and CDP filed a joint petition requesting a declaratory ruling from the Commission that their Agreement for the Provision of Water Service (Agreement) dated April 21, 2009, to be in the public interest. The Commission, in turn, issued a Declaratory Ruling on the Provision of Water Service on February 18, 2010, finding the Agreement to be in the public interest, and directed Saratoga to obtain DEC approval before resubmitting a new waiver request. Saratoga received the required permits on March 1, 2011.

Having received the requisite approvals, Saratoga requests the issuance of an Order: (a) approving the terms and conditions of the Agreement; (b) waiving Saratoga's tariff provisions to the extent they are inconsistent with the agreement; and (c) waiving the applicability of the provisions of 16 NYCRR Parts 501 and 502, to the extent they are inconsistent with the agreement.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(09-W-0643SP2)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Use Funding for Certain Pipeline Safety Programs

I.D. No. PSC-08-20-00005-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 proposal filed by Niagara Mohawk Power Corporation d/b/a National Grid regarding the use of monies reserved for use on gas safety programs.

Statutory authority: Public Service Law, sections 5, 65 and 66

Subject: Use funding for certain pipeline safety programs.

Purpose: To ensure appropriate use of funds reserved for gas safety programs.

Substance of proposed rule: The Public Service Commission is considering a petition filed by Niagara Mohawk Power Corporation d/b/a National Grid (National Grid) on January 14, 2020. In the petition, National Grid proposes to use \$6.351 million in funds identified and reserved for future use on gas safety programs in the Commission's March 15, 2018 Order Adopting Terms of Joint Proposal and Establishing Electric and Gas Rate Plans (Rate Order) in Cases 17-E-0238 and 17-G-0239.

The Rate Order required National Grid to reserve \$5 million from certain deferral credits (the "Rate Plan Settlement Credits") and \$1.351 million of negative revenue adjustments resulting from National Grid's performance in a calendar year 2015 metric. The Rate Order further required National Grid to propose how to use these funds to implement incremental gas safety and compliance improvement programs. National Grid's petition proposes to use the funds for the following programs: (1) Damage Prevention – Locator Assurance Technology; (2) Damage Prevention – Training Simulator; (3) Depth of Cover Survey Remediation; (4) Distribution of Additional Residential Methane Detectors; (5) Remote Methane Leak Detection Equipment to Aid First Responders; (6) Excess Flow Valves/Relocating Meters from Inside Buildings to Outside; (7) Develop Site Specific Procedures; (8) Damage Prevention – Ticket Risk Assessment Algorithm.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-G-0239SP3)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

To Establish Procedures and Modify Terminology for Underground Residential Distribution Systems

I.D. No. PSC-08-20-00006-P

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

Proposed Action: The Commission is considering proposals filed by Central Hudson Gas & Electric Corporation modifying its gas and electric tariff schedules regarding Underground Residential Distribution and consistency with terminology regarding deposits.

Statutory authority: Public Service Law, sections 65 and 66

Subject: To establish procedures and modify terminology for Underground Residential Distribution Systems.

Purpose: To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Substance of proposed rule: The Commission is considering proposals filed by Central Hudson Gas & Electric Corporation (Central Hudson or the Company) on January 3, 2020, to amend its gas and electric tariff schedules, P.S.C. Nos. 12 and 15, respectively, to establish procedures for gas Underground Residential Distribution Systems (URD) and to modify its electric tariff schedule to maintain consistency between the gas and electric schedules regarding deposits.

Central Hudson's proposed modifications would add provisions for URDs to provide clarification for developers. In addition, changes proposed to P.S.C. No. 15 are to maintain consistency between electric and gas tariff terminology regarding deposits and removal of the URD application as it will be made available on the Company's website prior to the effective date of the proposed tariff leaves. Finally, the Company proposes to incorporate a Statement of URD Contribution to P.S.C. No. 12, similar to the electric URD statement, and establish procedures in or-

der to provide clarification for developers. The proposed amendments have an effective date of May 1, 2020.

The full text of the proposals and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-M-0002SP1)

Office of Temporary and Disability Assistance

ERRATUM

A Notice of Adoption, I.D. No. TDA-19-19-00007-A, pertaining to Adult-Care Facilities and Shelters for Adults, published in the December 11, 2019 issue of the *State Register*, indicated that a new provision regarding Certificates of Incorporation would be added and numbered as section "491.2-a." In order to maintain consistency with the numbering system for the NYCRR, the unaltered text of the new provision will appear instead as new paragraphs "(1)" and "(2)" under section 491.2(b) of Title 18 NYCRR.

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Bridge Authority, New York State		
SBA-01-20-00004-P	A proposal to amend the NYS Bridge Authority toll schedule	Poughkeepsie Grand Hotel, 40 Civic Center Plaza, Palm Court Rm., Poughkeepsie, NY—March 9, 2020, 7:00 p.m.
SBA-01-20-00005-P	Toll collection and violations	Poughkeepsie Grand Hotel, 40 Civic Center Plaza, Palm Court Rm., Poughkeepsie, NY—March 9, 2020, 7:00 p.m.
Environmental Conservation, Department of		
ENV-53-19-00016-P	Certain substances that contain hydrofluorocarbons, highly-potent greenhouse gases	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—March 4, 2020, 12:30 p.m. Henrietta Public Library, 625 Calkins Rd., Community Rm., Rochester, NY—March 6, 2020, 12:30 p.m. Department of Environmental Conservation, Region 2 Office, 47-40 21st St., 8th Fl., Rm. 834A/834B, Long Island City, NY—March 9, 2020, 12:30 p.m.
ENV-05-20-00001-P	Use of ultra low sulfur diesel fuel and best available retrofit technology for heavy duty vehicles	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 10, 2020, 11:00 a.m.
ENV-05-20-00002-P	Sulfur-in fuel limitations	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 10, 2020, 11:00 a.m.
ENV-06-20-00018-P	Repeal and replacement of 6 NYCRR Part 230 gasoline dispensing sites and transport vehicles	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 14, 2020, 11:00 a.m. Department of Transportation, One Hunter's Point Plaza, 47-40 21st St., Rm. 834, Long Island City, NY—April 15, 2020, 11:00 a.m. Department of Environmental Conservation, 6274 Avon-Lima Rd., Rtes. 5 and 20, Conference Rm., Avon, NY—April 16, 2020, 11:00 a.m.
ENV-06-20-00019-P	Consumer products	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 14, 2020, 11:00 a.m. Department of Transportation, One Hunter's Point Plaza, 47-40 21st St., Rm. 834, Long Island City, NY—April 15, 2020, 11:00 a.m. Department of Environmental Conservation, 6274 Avon-Lima Rd., Rtes. 5 and 20, Conference Rm., Avon, NY—April 16, 2020, 11:00 a.m.
ENV-06-20-00020-P	New source review requirements for proposed new major facilities and major modifications to existing facilities	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—April 14, 2020, 11:00 a.m. Department of Transportation, One Hunter's Point Plaza, 47-40 21st St., Rm. 834, Long Island City, NY—April 15, 2020, 11:00 a.m. Department of Environmental Conservation, 6274 Avon-Lima Rd., Rtes. 5 and 20, Conference Rm., Avon, NY—April 16, 2020, 11:00 a.m.

ACTION PENDING INDEX

The action pending index is a list of all proposed rules which are currently being considered for adoption. A proposed rule is added to the index when the notice of proposed rule making is first published in the *Register*. A proposed rule is removed from the index when any of the following occur: (1) the proposal is adopted as a permanent rule; (2) the proposal is rejected and withdrawn from consideration; or (3) the proposal's notice expires.

Most notices expire in approximately 12 months if the agency does not adopt or reject the proposal within that time. The expiration date is printed in the second column of the action pending index. Some notices, however, never expire. Those notices are identified by the word "exempt" in the second column. Actions pending for one year or more are preceded by an asterisk(*).

For additional information concerning any of the proposals

listed in the action pending index, use the identification number to locate the text of the original notice of proposed rule making. The identification number contains a code which identifies the agency, the issue of the *Register* in which the notice was printed, the year in which the notice was printed and the notice's serial number. The following diagram shows how to read identification number codes.

Agency code	Issue number	Year published	Serial number	Action Code
AAM	01	12	00001	P

Action codes: P — proposed rule making; EP — emergency and proposed rule making (expiration date refers to proposed rule); RP — revised rule making

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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AGING, OFFICE FOR THE

AGE-34-19-00014-P	08/20/20	Limits on Administrative Expenses and Executive Compensation	To bring this rule into compliance with current law in New York State
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ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF

ASA-06-20-00011-P	02/11/21	Credentialing of addiction professionals	Outlines the regulatory requirements for persons seeking credentialing as an addiction professional
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AUDIT AND CONTROL, DEPARTMENT OF

AAC-07-20-00012-P	02/18/21	Approval of contracts made by MTA and the NYCTA	Modify existing time frames for the approval of MTA and NYCTA contracts to conform with the MTA Reform and Traffic Mobility Act
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BRIDGE AUTHORITY, NEW YORK STATE

SBA-01-20-00004-P	exempt	A proposal to amend the NYS Bridge Authority Toll Schedule.	To amend toll schedule for vehicular bridges controlled by the NYS Bridge Authority in order to provide additional revenue.
SBA-01-20-00005-P	03/09/21	Toll collection and violations.	To amend toll collection procedures and implement toll violation enforcement on NYSBA bridges.

CHILDREN AND FAMILY SERVICES, OFFICE OF

*CFS-51-18-00010-RP	03/18/20	Residential and non-residential services to victims of domestic violence	To conform the existing regulations to comply with state and federal laws regarding services to victims of domestic violence
CFS-39-19-00005-ERP	09/24/20	Implement federal statutory requirements to include enhanced background checks, annual inspections, annual training and safety	Implement federal statutory requirements to include enhanced background checks, annual inspections, annual training and safety

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-39-19-00007-ERP	09/24/20	Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.	Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.
CFS-42-19-00002-P	10/15/20	Permissible disclosure of records maintained by OCFS.	To amend existing regulations regarding the permissible disclosure of records by OCFS.
CFS-46-19-00002-P	11/12/20	Behavioral health services, elimination of room isolation and authority to operate de-escalation rooms	To implement standards for behavioral health services and the operation of de-escalation rooms and to eliminate room isolation
CFS-49-19-00001-P	12/03/20	Limits on executive compensation	To remove the soft cap limit on executive compensation
CFS-04-20-00009-P	01/28/21	Host Family Homes	The proposed regulations would establish standards for the approval and administration of host family homes.
CFS-06-20-00021-EP	02/11/21	Categories of relatives eligible to become a foster parent of a child in non-relative foster care.	Regulations are necessary to comply with legislative changes to Family Court Act section 1028-a by Ch. 434 of L. 2019.
CIVIL SERVICE, DEPARTMENT OF			
*CVS-06-19-00001-P	02/06/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-25-19-00006-P	06/18/20	Jurisdictional Classification	To classify positions in the non-competitive class.
CVS-34-19-00011-P	08/20/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-42-19-00010-P	10/15/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-42-19-00014-P	10/15/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-42-19-00020-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00021-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00023-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00024-P	10/15/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-45-19-00003-P	11/05/20	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-45-19-00004-P	11/05/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-45-19-00005-P	11/05/20	Jurisdictional Classification	To delete positions from and classify a position in the non-competitive class
CVS-45-19-00006-P	11/05/20	Jurisdictional Classification	To delete positions from the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-45-19-00007-P	11/05/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class and to delete positions from the non-competitive class
CVS-45-19-00009-P	11/05/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-51-19-00002-P	12/17/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-51-19-00003-P	12/17/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-51-19-00004-P	12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00005-P	12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00006-P	12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00007-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00008-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00009-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00010-P	12/17/20	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-51-19-00011-P	12/17/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-51-19-00012-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00013-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00014-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-03-20-00003-P	01/21/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-03-20-00004-P	01/21/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-03-20-00005-P	01/21/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-03-20-00006-P	01/21/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-03-20-00007-P	01/21/21	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-06-20-00001-P	02/11/21	Jurisdictional Classification	To classify a position in the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-06-20-00002-P	02/11/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-06-20-00003-P	02/11/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-06-20-00004-P	02/11/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-06-20-00005-P	02/11/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-06-20-00006-P	02/11/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-06-20-00007-P	02/11/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class and to delete positions from the non-competitive class
CVS-06-20-00008-P	02/11/21	Jurisdictional Classification	To delete a subheading and positions from and to classify a subheading and positions in the exempt and non-competitive classes
CORRECTION, STATE COMMISSION OF			
CMC-35-19-00002-P	08/27/20	Disciplinary and administrative segregation of inmates in special housing.	Prohibit the segregation of vulnerable inmates, and to standardize allowable uses and duration of special housing segregation.
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
CCS-21-19-00014-P	05/21/20	Adolescent Offender Facilities	To reclassify two existing correctional facilities to adolescent offender facilities.
CCS-35-19-00001-P	08/27/20	Special Housing Units	Revisions have been made in order to be in compliance with new laws regarding special housing units and solitary confinement use
CCS-50-19-00002-P	12/10/20	Raise the Age	To update each correctional facility's regulation as a direct result of the Raise the Age legislation
CRIMINAL JUSTICE SERVICES, DIVISION OF			
CJS-20-19-00003-P	05/14/20	Certified Instructors and Course Directors	Establish/maintain effective procedures governing certified instructors and course directors who deliver MPTC-approved courses
CJS-30-19-00010-ERP	07/23/20	Use of Force	Set forth use of force reporting and recordkeeping procedures
EDUCATION DEPARTMENT			
EDU-17-19-00008-P	04/23/20	To require study in language acquisition and literacy development of English language learners in certain teacher preparation	To ensure that newly certified teachers enter the workforce fully prepared to serve our ELL population
EDU-27-19-00010-P	07/02/20	Substantially Equivalent Instruction for Nonpublic School Students	Provide guidance to local school authorities to assist them in fulfilling their responsibilities under the Compulsory Ed Law

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-39-19-00008-ERP	09/24/20	The Education, Experience, Examination and Endorsement Requirements for Licensure as an Architect	To more closely align New York's requirements for architects with national standards and to streamline the endorsement process.
EDU-39-19-00009-RP	09/24/20	Requirements for Licensure as an Architect	To more closely align the Commissioner's Regulations with national standards for licensure as an architect.
EDU-43-19-00012-ERP	10/22/20	Annual Professional Performance Reviews of Classroom Teachers and Building Principals	Necessary to implement part YYY of chapter 59 of the Laws of 2019
EDU-52-19-00007-P	12/23/20	Update Provisions Relating to Pupil Transportation	To update provisions of the Commissioner's Regulations relating to pupil transportation
EDU-52-19-00008-EP	12/23/20	Restricted License for Clinical Laboratory Technologist	Implement chapter 227 of 2019 by adding toxicology to the category of restricted licenses for clinical laboratory technologists
EDU-52-19-00009-EP	12/23/20	Continuing Education in the Profession of Public Accountancy	Implement the provisions of chapter 413 of the Laws of 2018
EDU-52-19-00010-EP	12/23/20	Duties and responsibilities of the counsel of the State Education Department	To designate counsel as the deputy commissioner of education as specified in Education Law, section 101
EDU-04-20-00005-P	01/28/21	Residency Program Requirement for Dental Licensure	Adds dental anesthesiology to the list of accredited residency programs in a specialty of dentistry.
EDU-04-20-00006-P	01/28/21	Financial Transparency and Data Reporting Requirements for Charter Schools	To establish criteria and procedures relating to charter financial transparency reporting to ensure compliance with ESSA.
EDU-04-20-00007-P	01/28/21	Time Extension of Initial, Transitional and Provisional Certificates	To provide educators with a Time Extension after the issuance of their first Initial or Provisional certificate.
EDU-04-20-00008-EP	01/28/21	ESSA Financial Transparency Reporting Requirements.	To implement financial transparency reporting requirements of ESSA.
EDU-08-20-00007-P	02/25/21	The Practice of Psychology, Social Work and Mental Health Practitioner Professions	To implement part Y of chapter 57 of the laws of 2018
EDU-08-20-00008-P	02/25/21	The Composition of the Professional Standards and Practices Board for Teaching (PSPB)	To require the PSPB to have at least four members who are practicing, certified school building or district administrator
EDU-08-20-00009-P	02/25/21	Term Limits for Members of the Advisory Committee on Long-Term Clinical Clerkships	To remove the two term limit for committee members to most effectively advise the Board of Regents and the Department
ELECTIONS, STATE BOARD OF			
SBE-22-19-00003-EP	05/28/20	Process for Early Voting	Establishing Process for Early Voting
SBE-02-20-00002-P	01/14/21	Combine the 10 Day Post Primary Filing with the July 15th disclosure statement	This amendment combines the 10 Day Post Primary Filing with the July 15th disclosure statement that political committees file

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-18-19-00006-EP	04/30/20	Regulations governing commercial fishing and harvest of scup.	To revise regulations concerning the commercial harvest of scup in New York State waters.
ENV-24-19-00002-P	08/18/20	Hazardous Waste Management Regulations (FedReg5)	To amend regulations pertaining to hazardous waste management
ENV-27-19-00003-P	07/02/20	Black Bear hunting.	Expand bear hunting opportunities in Wildlife Management Unit 4W to reduce bear abundance.
ENV-36-19-00001-P	11/07/20	Waste Fuels	Update permit references, rule citations, monitoring, record keeping, reporting requirements, and incorporate federal standards.
ENV-36-19-00002-P	11/07/20	New Aftermarket Catalytic Converter (AMCC) standards	Prohibit sale of federal AMCCs and update existing AMCC record keeping and reporting requirements
ENV-36-19-00003-P	11/07/20	Stationary Combustion Installations	Update permit references, rule citations, monitoring, record keeping, reporting requirements, and lower emission standards.
ENV-36-19-00014-P	11/19/20	Distributed generation sources located in New York City, Long Island and Westchester and Rockland counties	Establish emission control requirements for sources used in demand response programs or as price-responsive generation sources
ENV-37-19-00003-P	09/10/20	Clarifying determination of jurisdiction under the Endangered and Threatened Fish and Wildlife regulations	To improve the review of projects by removing some project types that are known not to cause harm from the review stream
ENV-38-19-00001-P	09/17/20	Animals dangerous to health or welfare	To expand the list of animals which pose a risk to health or welfare of the people of the state or indigenous fish and wildlife
ENV-39-19-00003-P	12/05/20	Part 219 applies to various types of incinerators and crematories operated in New York State.	This rule establishes emission limits and operating requirements for various types of incinerators.
ENV-43-19-00006-P	01/07/21	Class I and Class SD waters	To clarify best usages of Class I and SD waters were/are "secondary contact recreation and fishing" and "fishing," respectively
ENV-43-19-00010-P	01/06/21	Repeal and replace 6 NYCRR Part 622 and amend 6 NYCRR Part 624, Part 621 and Part 620	To incorporate procedural and legal developments, develop consistency & reflect current practice in DEC hearings
ENV-48-19-00008-P	01/26/21	Plastic Bag Reduction, Reuse and Recycling	The objectives of this rulemaking are to provide clarity to Titles 27 and 28 so that they can both be effectively implemented
ENV-53-19-00016-P	03/09/21	Certain substances that contain hydrofluorocarbons, highly-potent greenhouse gases	Remove greenhouse gas emission sources that endanger public health and the environment
ENV-04-20-00004-EP	01/28/21	Regulations governing commercial fishing of quota managed species.	To improve efficiency, reduce waste, and increase safety in marine commercial fisheries.
ENV-05-20-00001-P	04/10/21	Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology for Heavy Duty Vehicles	Updating to meet with statutory deadline

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-05-20-00002-P	04/10/21	Sulfur-in Fuel Limitations	Limit sulfur in liquid and solid fuels throughout NYS
ENV-06-20-00018-P	04/16/21	The repeal and replacement of 6 NYCRR Part 230 Gasoline Dispensing Sites and Transport Vehicles	To further reduce harmful volatile organic compounds (VOCs) emitted into the atmosphere.
ENV-06-20-00019-P	04/16/21	Consumer Products	Reduce Volatile Organic Compound emissions from Consumer Products - those products used in the average household.
ENV-06-20-00020-P	04/16/21	New Source Review requirements for proposed new major facilities and major modifications to existing facilities.	To conform to federal NSR rule requirements and related court rulings, correct typographical errors, and clarify rule language.
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-25-18-00006-P	exempt	Plan of Conversion by Medical Liability Mutual Insurance Company	To convert a mutual property and casualty insurance company to a stock property and casualty insurance company
DFS-33-19-00004-P	08/13/20	Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards for Full and Fair Disclosure	To set forth minimum standards for the content of health insurance identification cards.
DFS-43-19-00017-P	10/22/20	INDEPENDENT DISPUTE RESOLUTION FOR EMERGENCY SERVICES AND SURPRISE BILLS	To require notices and consumer disclosure information related to surprise bills and bills for emergency service to be provided
DFS-48-19-00002-P	11/26/20	SUPERINTENDENT'S REGULATIONS: INFORMATION SUBJECT TO CONFIDENTIAL TREATMENT	Provide rules concerning publication or disclosure of information subject to confidential treatment
DFS-51-19-00015-P	12/17/20	Minimum Standards for Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure	Clarifying discriminatory activities prohibited by and coverages included within preventive care and screenings under the IL
DFS-53-19-00013-EP	12/30/20	Rules Governing the Procedures for Adjudicatory Proceedings Before the Department of Financial Services	To unify and clarify the procedures for adjudicatory proceedings before the Department of Financial Services
DFS-53-19-00014-EP	12/30/20	Charges for Professional Health Services	To delay the effective date of the workers' compensation fee schedules for no-fault reimbursement.
DFS-53-19-00015-EP	12/30/20	Supplementary Uninsured/Underinsured Motorist Coverage	To comport with statutory amendments to Chapter 59, Part III of the Laws of 2019 and Insurance Law Section 3420(f)
DFS-01-20-00002-P	01/07/21	Certification of Compliance, Due Date	To amend the date by which Covered Entities must submit a certification of compliance, from February to April.
DFS-03-20-00011-EP	01/21/21	Valuation of Life Insurance Reserves; Recognition of the 2001 CSO Mortality Table and the 2017 CSO Mortality Table, et al	Prescribes 2001 CSO ultimate mortality for guaranteed issue policies issued on or after 1/1/20 and extends 2015 reserve relief

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
FINANCIAL SERVICES, DEPARTMENT OF			
DFS-07-20-00015-P	02/18/21	Audited Financial Statements	To require insurers meeting a certain premium threshold to establish and maintain an internal audit function.
DFS-08-20-00011-P	02/25/21	Public Access to Department Records	To update regulations regarding public access to records of the Department of Financial Services
GAMING COMMISSION, NEW YORK STATE			
SGC-01-20-00006-P	01/07/21	Permit Thoroughbred horses with digital tattoos to race in New York	To promote the integrity of racing and derive a reasonable return for government
SGC-07-20-00002-P	02/18/21	Allow claimant to void claim of lame horse	To enhance horse health and safety in thoroughbred racing
SGC-07-20-00003-P	02/18/21	Spanish 21, a blackjack variant to be offered in commercial casinos.	To set forth the practices and procedures for the operation of Spanish 21 as a casino table game.
SGC-07-20-00004-P	02/18/21	Relating to the provision of social security numbers.	Limit collection of social security numbers.
SGC-07-20-00014-P	02/18/21	Thoroughbred pick-five and pick-six wagers.	To improve the pick-five and pick-six wagers in thoroughbred racing.
GENERAL SERVICES, OFFICE OF			
GNS-40-19-00005-P	10/01/20	Facility Use	To add "plastic knuckles" and remove "gravity knife" from the definition of "deadly weapon"
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-30-19-00006-RP	07/23/20	Maximum Contaminant Levels (MCLs)	Incorporating MCLs for perfluorooctanoic acid (PFOA), perfluorooctanesulfonic acid (PFOS) and 1,4-dioxane.
HLT-36-19-00006-P	09/03/20	Limits on Executive Compensation	Removes "Soft Cap" prohibition on covered executive salaries.
HLT-40-19-00004-P	10/01/20	Drug Take Back	To implement the State's drug take back program to provide for the safe disposal of drugs
HLT-43-19-00005-P	10/22/20	Transitional Adult Home Admission Standards for Individuals with Serious Mental Illness	Delineate a clear pre-admissions process for determining whether a prospective resident is a person with serious mental illness
HLT-45-19-00002-P	11/05/20	Licensed Home Care Services Agencies (LHCSAs)	To implement changes to public need & financial feasibility review for applications for HCSAs licensure & change of ownership.
HLT-46-19-00003-P	11/12/20	Tanning Facilities	To prohibit the use of indoor tanning facilities by individuals less than 18 years of age

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-47-19-00008-P	11/19/20	Hospital Medical Staff - Limited Permit Holders	To repeal extra years of training required for limited permit holders to work in New York State hospitals.
HLT-47-19-00009-P	11/19/20	Empire Clinical Research Investigator Program (ECRIP)	To expand the types of & change the time frames for past research grants that qualify staff to supervise the ECRIP project.
HLT-48-19-00003-EP	11/26/20	Secondary Syringe Exchange in New York State	To reduce the spread of blood-borne pathogens, to reduce or eliminate other harms associated with contaminated syringes
HLT-51-19-00001-P	12/17/20	Women, Infants and Children (WIC) Program	To support implementation of eWIC; clarify rules for violations, penalties & hearings & conform vendor authorization criteria.
HLT-53-19-00001-P	12/30/20	Prohibition on the Sale of Electronic Liquids with Characterizing Flavors	To prohibit the sale of electronic liquids with characterizing flavors
HLT-53-19-00011-P	12/30/20	Cardiac Services	To amend existing Certificate of Need requirements for approval of adult cardiac surgery centers.
HLT-53-19-00012-P	12/30/20	Consumer Directed Personal Assistance Program Reimbursement	To establish a program to pay home care services & establish a methodology framework for the payment of FI administrative costs.
HLT-04-20-00002-P	01/28/21	Reducing Annual Tuberculosis Testing of Health Care Workers	To replace annual tuberculosis testing of health care workers.
HLT-04-20-00003-P	01/28/21	Applied Behavior Analysis	To include Applied Behavior Analysis in the Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) benefit.
HLT-04-20-00011-P	01/28/21	Nursing Home Case Mix Rationalization	To authorize the Department of Health to change the case mix acuity process for all nursing homes.
HLT-04-20-00012-P	01/28/21	State Aid for Public Health Services: Counties and Cities	Clarifying State Aid payments for maintaining a cooling tower program.
HLT-08-20-00001-EP	02/25/21	Communicable Diseases Reporting and Control - Adding Severe or Novel Coronavirus	To require physicians, hospitals, nursing homes, D&TCs and clinical laboratories to report instances of severe or novel coronavirus

HOUSING AND COMMUNITY RENEWAL, DIVISION OF

HCR-21-19-00019-P	07/21/20	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of low-income housing tax credits.
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HOUSING FINANCE AGENCY

HFA-21-19-00020-P	07/21/20	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of low-income housing tax credits
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Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HUMAN RIGHTS, DIVISION OF			
HRT-27-19-00002-P	07/02/20	Gender Identity or Expression Discrimination	To conform the Division's regulations with Executive Law as amended by Chapter 8 of the Laws of New York 2019.
LABOR, DEPARTMENT OF			
LAB-46-19-00004-P	11/12/20	NY State Public Employees Occupational Safety and Health Standards	To incorporate by reference updates to OSHA standards into the NY State Public Employee Occupational Safety and Health Standards
LAB-03-20-00012-P	01/21/21	Minimum Wage Tip Allowances	Amendment of regulations governing tip allowances in the Miscellaneous Industries Wage Order
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
*LPA-15-18-00013-P	exempt	Outdoor area lighting	To add an option and pricing for efficient LED lamps to the Authority's outdoor area lighting
*LPA-37-18-00013-P	exempt	The net energy metering provisions of the Authority's Tariff for Electric Service	To implement PSC guidance increasing eligibility for value stack compensation to larger projects
*LPA-37-18-00017-P	exempt	The treatment of electric vehicle charging in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on electric vehicle supply equipment.
*LPA-37-18-00018-P	exempt	The treatment of energy storage in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on the NY Energy Storage Roadmap.
LPA-47-19-00017-P	exempt	VDER, net metering, and community distributed generation	To update the Authority's tariff for consistency with the Public Service Commission, Department of Public Service, and CLCPA.
MENTAL HEALTH, OFFICE OF			
OMH-46-19-00005-P	11/12/20	Definition of "Case record, clinical record, medical record or patient record"	To clarify that the agency does not consider the provision to apply to the definition of "record" as set forth in MHL 9.01
OMH-47-19-00001-P	11/19/20	Limits on Executive Compensation	To eliminate "soft cap" restrictions on compensation.
METROPOLITAN TRANSPORTATION AGENCY			
MTA-23-19-00006-EP	06/04/20	Debarment of contractors	To comply with Public Authorities Law, section 1279-h, which requires the MTA to establish a debarment process for contractors

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
MOTOR VEHICLES, DEPARTMENT OF			
MTV-07-20-00005-P	02/18/21	Electronic transmission of data by dismantlers and scrap processors	To establish procedures for the electronic transmission of data by dismantlers and scrap processors
NIAGARA FALLS WATER BOARD			
*NFW-04-13-00004-EP	exempt	Adoption of Rates, Fees and Charges	To pay for the increased costs necessary to operate, maintain and manage the system, and to achieve covenants with bondholders
*NFW-13-14-00006-EP	exempt	Adoption of Rates, Fees and Charges	To pay for increased costs necessary to operate, maintain and manage the system and to achieve covenants with the bondholders
OGDENSBURG BRIDGE AND PORT AUTHORITY			
*OBA-33-18-00019-P	exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit.
*OBA-07-19-00019-P	exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-06-20-00009-EP	02/11/21	Creates Extended Treatment Units	To provide service and supports for individuals in crisis
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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-41-03-00010-P exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-41-03-00011-P exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-44-03-00009-P exempt	Retail access data between jurisdictional utilities	To accommodate changes in retail access market structure or commission mandates
*PSC-02-04-00008-P exempt	Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York	To rehear the Nov. 25, 2003 order
*PSC-06-04-00009-P exempt	Transfer of ownership interest by SCS Energy LLC and AE Investors LLC	To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC
*PSC-10-04-00005-P exempt	Temporary protective order	To consider adopting a protective order
*PSC-10-04-00008-P exempt	Interconnection agreement between Verizon New York Inc. and VIC-RMTS-DC, L.L.C. d/b/a Verizon Avenue	To amend the agreement
*PSC-14-04-00008-P exempt	Submetering of natural gas service to industrial and commercial customers by Hamburg Fairgrounds	To submeter gas service to commercial customers located at the Buffalo Speedway
*PSC-15-04-00022-P exempt	Submetering of electricity by Glenn Gardens Associates, L.P.	To permit submetering at 175 W. 87th St., New York, NY
*PSC-21-04-00013-P exempt	Verizon performance assurance plan by Metropolitan Telecommunications	To clarify the appropriate performance level
*PSC-22-04-00010-P exempt	Approval of new types of electricity meters by Powell Power Electric Company	To permit the use of the PE-1250 electronic meter
*PSC-22-04-00013-P exempt	Major gas rate increase by Consolidated Edison Company of New York, Inc.	To increase annual gas revenues
*PSC-22-04-00016-P exempt	Master metering of water by South Liberty Corporation	To waive the requirement for installation of separate water meters
*PSC-25-04-00012-P exempt	Interconnection agreement between Frontier Communications of Ausable Valley, Inc., et al. and Sprint Communications Company, L.P.	To amend the agreement
*PSC-27-04-00008-P exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-27-04-00009-P exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-28-04-00006-P exempt	Approval of loans by Dunkirk & Fredonia Telephone Company and Cassadaga Telephone Corporation	To authorize participation in the parent corporation's line of credit
*PSC-31-04-00023-P exempt	Distributed generation service by Consolidated Edison Company of New York, Inc.	To provide an application form

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PUBLIC SERVICE COMMISSION			
*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
*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

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PUBLIC SERVICE COMMISSION			
*PSC-06-06-00015-P exempt	Gas curtailment policies and procedures	To examine the manner and extent to which gas curtailment policies and procedures should be modified and/or established
*PSC-07-06-00009-P exempt	Modification of the current Environmental Disclosure Program	To include an attributes accounting system
*PSC-22-06-00019-P exempt	Hourly pricing by National Grid	To assess the impacts
*PSC-22-06-00020-P exempt	Hourly pricing by New York State Electric & Gas Corporation	To assess the impacts
*PSC-22-06-00021-P exempt	Hourly pricing by Rochester Gas & Electric Corporation	To assess the impacts
*PSC-22-06-00022-P exempt	Hourly pricing by Consolidated Edison Company of New York, Inc.	To assess the impacts
*PSC-22-06-00023-P exempt	Hourly pricing by Orange and Rockland Utilities, Inc.	To assess the impacts
*PSC-24-06-00005-EP exempt	Supplemental home energy assistance benefits	To extend the deadline to Central Hudson's low-income customers
*PSC-25-06-00017-P exempt	Purchased power adjustment by Massena Electric Department	To revise the method of calculating the purchased power adjustment and update the factor of adjustment
*PSC-34-06-00009-P exempt	Inter-carrier telephone service quality standards and metrics by the Carrier Working Group	To incorporate appropriate modifications
*PSC-37-06-00015-P exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-37-06-00017-P exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-43-06-00014-P exempt	Electric delivery services by Strategic Power Management, Inc.	To determine the proper mechanism for the rate-recovery of costs
*PSC-04-07-00012-P exempt	Petition for rehearing by Orange and Rockland Utilities, Inc.	To clarify the order
*PSC-06-07-00015-P exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for electric service
*PSC-06-07-00020-P exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for gas service
*PSC-11-07-00010-P exempt	Investigation of the electric power outages by the Consolidated Edison Company of New York, Inc.	To implement the recommendations in the staff's investigation
*PSC-11-07-00011-P exempt	Storm-related power outages by Consolidated Edison Company of New York, Inc.	To modify the company's response to power outages, the timing for any such changes and other related matters
*PSC-17-07-00008-P exempt	Interconnection agreement between Verizon New York Inc. and BridgeCom International, Inc.	To amend the agreement

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PUBLIC SERVICE COMMISSION			
*PSC-18-07-00010-P exempt	Existing electric generating stations by Independent Power Producers of New York, Inc.	To repower and upgrade existing electric generating stations owned by Rochester Gas and Electric Corporation
*PSC-20-07-00016-P exempt	Tariff revisions and making rates permanent by New York State Electric & Gas Corporation	To seek rehearing
*PSC-21-07-00007-P exempt	Natural Gas Supply and Acquisition Plan by Corning Natural Gas Corporation	To revise the rates, charges, rules and regulations for gas service
*PSC-22-07-00015-P exempt	Demand Side Management Program by Consolidated Edison Company of New York, Inc.	To recover incremental program costs and lost revenue
*PSC-23-07-00022-P exempt	Supplier, transportation, balancing and aggregation service by National Fuel Gas Distribution Corporation	To explicitly state in the company's tariff that the threshold level of elective upstream transmission capacity is a maximum of 112,600 Dth/day of marketer-provided upstream capacity
*PSC-24-07-00012-P exempt	Gas Efficiency Program by the City of New York	To consider rehearing a decision establishing a Gas Efficiency Program
*PSC-39-07-00017-P exempt	Gas bill issuance charge by New York State Electric & Gas Corporation	To create a gas bill issuance charge unbundled from delivery rates
*PSC-41-07-00009-P exempt	Submetering of electricity rehearing	To seek reversal
*PSC-42-07-00012-P exempt	Energy efficiency program by Orange and Rockland Utilities, Inc.	To consider any energy efficiency program for Orange and Rockland Utilities, Inc.'s electric service
*PSC-42-07-00013-P exempt	Revenue decoupling by Orange and Rockland Utilities, Inc.	To consider a revenue decoupling mechanism for Orange and Rockland Utilities, Inc.
*PSC-45-07-00005-P exempt	Customer incentive programs by Orange and Rockland Utilities, Inc.	To establish a tariff provision
*PSC-02-08-00006-P exempt	Additional central office codes in the 315 area code region	To consider options for making additional codes
*PSC-03-08-00006-P exempt	Rehearing of the accounting determinations	To grant or deny a petition for rehearing of the accounting determinations
*PSC-04-08-00010-P exempt	Granting of easement rights on utility property by Central Hudson Gas & Electric Corporation	To grant easement rights to Millennium Pipeline Company, L.L.C.
*PSC-04-08-00012-P exempt	Marketing practices of energy service companies by the Consumer Protection Board and New York City Department of Consumer Affairs	To consider modifying the commission's regulation over marketing practices of energy service companies
*PSC-08-08-00016-P exempt	Transfer of ownership by Entergy Nuclear Fitzpatrick LLC, et al.	To consider the transfer
*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

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PUBLIC SERVICE COMMISSION			
*PSC-12-08-00021-P exempt	Extend the provisions of the existing gas rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-13-08-00011-P exempt	Waiver of commission policy and NYSEG tariff by Turner Engineering, PC	To grant or deny Turner's petition
*PSC-13-08-00012-P exempt	Voltage drops by New York State Electric & Gas Corporation	To grant or deny the petition
*PSC-23-08-00008-P exempt	Petition requesting rehearing and clarification of the commission's April 25, 2008 order denying petition of public utility law project	To consider whether to grant or deny, in whole or in part, the May 7, 2008 Public Utility Law Project (PULP) petition for rehearing and clarification of the commission's April 25, 2008 order denying petition of Public Utility Law Project
*PSC-25-08-00007-P exempt	Policies and procedures regarding the selection of regulatory proposals to meet reliability needs	To establish policies and procedures regarding the selection of regulatory proposals to meet reliability needs
*PSC-25-08-00008-P exempt	Report on Callable Load Opportunities	Rider U report assessing callable load opportunities in New York City and Westchester County during the next 10 years
*PSC-28-08-00004-P exempt	Con Edison's procedure for providing customers access to their account information	To consider Con Edison's implementation plan and timetable for providing customers access to their account information
*PSC-31-08-00025-P exempt	Recovery of reasonable DRS costs from the cost mitigation reserve (CMR)	To authorize recovery of the DRS costs from the CMR
*PSC-32-08-00009-P exempt	The ESCO referral program for KEDNY to be implemented by October 1, 2008	To approve, reject or modify, in whole or in part, KEDNY's recommended ESCO referral program
*PSC-33-08-00008-P exempt	Noble Allegany's request for lightened regulation	To consider Noble Allegany's request for lightened regulation as an electric corporation
*PSC-36-08-00019-P exempt	Land Transfer in the Borough of Manhattan, New York	To consider petition for transfer of real property to NYPH
*PSC-39-08-00010-P exempt	RG&E's economic development plan and tariffs	Consideration of the approval of RG&E's economic development plan and tariffs
*PSC-40-08-00010-P exempt	Loans from regulated company to its parent	To determine if the cash management program resulting in loans to the parent should be approved
*PSC-41-08-00009-P exempt	Transfer of control of cable TV franchise	To determine if the transfer of control of Margaretville's cable TV subsidiary should be approved
*PSC-43-08-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*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

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PUBLIC SERVICE COMMISSION			
*PSC-46-08-00010-P exempt	A transfer of indirect ownership interests in nuclear generation facilities	Consideration of approval of a transfer of indirect ownership interests in nuclear generation facilities
*PSC-46-08-00014-P exempt	The attachment of cellular antennae to an electric transmission tower	To approve, reject or modify the request for permission to attach cellular antennae to an electric transmission tower
*PSC-48-08-00005-P exempt	A National Grid high efficiency gas heating equipment rebate program	To expand eligibility to customers converting from oil to natural gas
*PSC-48-08-00008-P exempt	Petition for the master metering and submetering of electricity	To consider the request of Bay City Metering, to master meter & submeter electricity at 345 E. 81st St., New York, New York
*PSC-48-08-00009-P exempt	Petition for the submetering of electricity	To consider the request of PCV/ST to submeter electricity at Peter Cooper Village & Stuyvesant Town, New York, New York
*PSC-50-08-00018-P exempt	Market Supply Charge	A study on the implementation of a revised Market Supply Charge
*PSC-51-08-00006-P exempt	Commission's October 27, 2008 Order on Future of Retail Access Programs in Case 07-M-0458	To consider a Petition for rehearing of the Commission's October 27, 2008 Order in Case 07-M-0458
*PSC-51-08-00007-P exempt	Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078	To consider Petitions for rehearing of the Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078
*PSC-53-08-00011-P exempt	Use of deferred Rural Telephone Bank funds	To determine if the purchase of a softswitch by Hancock is an appropriate use of deferred Rural Telephone Bank funds
*PSC-53-08-00012-P exempt	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY
*PSC-53-08-00013-P exempt	To transfer common stock and ownership	To consider transfer of common stock and ownership
*PSC-01-09-00015-P exempt	FCC decision to redefine service area of Citizens/Frontier	Review and consider FCC proposed redefinition of Citizens/Frontier service area
*PSC-02-09-00010-P exempt	Competitive classification of independent local exchange company, and regulatory relief appropriate thereto	To determine if Chazy & Westport Telephone Corporation more appropriately belongs in scenario 1 rather than scenario 2
*PSC-05-09-00008-P exempt	Revenue allocation, rate design, performance metrics, and other non-revenue requirement issues	To consider any remaining non-revenue requirement issues related to the Company's May 9, 2008 tariff filing
*PSC-05-09-00009-P exempt	Numerous decisions involving the steam system including cost allocation, energy efficiency and capital projects	To consider the long term impacts on steam rates and on public policy of various options concerning the steam system
*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.

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PUBLIC SERVICE COMMISSION			
*PSC-07-09-00015-P exempt	Transfer certain utility assets located in the Town of Montgomery from plant held for future use to non-utility property	To consider the request to transfer certain utility assets located in the Town of Montgomery to non-utility assets
*PSC-07-09-00017-P exempt	Request for authorization to defer the incremental costs incurred in the restoration work resulting from the ice storm	To allow the company to defer the incremental costs incurred in the restoration work resulting from the ice storm
*PSC-07-09-00018-P exempt	Whether to permit the submetering of natural gas service to an industrial and commercial customer at Cooper Union, New York, NY	To consider the request of Cooper Union, to submeter natural gas at 41 Cooper Square, New York, New York
*PSC-12-09-00010-P exempt	Charges for commodity	To charge customers for commodity costs
*PSC-12-09-00012-P exempt	Charges for commodity	To charge customers for commodity costs
*PSC-13-09-00008-P exempt	Options for making additional central office codes available in the 718/347 numbering plan area	To consider options for making additional central office codes available in the 718/347 numbering plan area
*PSC-14-09-00014-P exempt	The regulation of revenue requirements for municipal utilities by the Public Service Commission	To determine whether the regulation of revenue requirements for municipal utilities should be modified
*PSC-16-09-00010-P exempt	Petition for the submetering of electricity	To consider the request of AMPS on behalf of Park Imperial to submeter electricity at 230 W. 56th Street, in New York, New York
*PSC-16-09-00020-P exempt	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity
*PSC-17-09-00010-P exempt	Whether to permit the use of Elster REX2 solid state electric meter for use in residential and commercial accounts	To permit electric utilities in New York State to use the Elster REX2
*PSC-17-09-00011-P exempt	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes
*PSC-17-09-00012-P exempt	Petition for the submetering of gas at commercial property	To consider the request of Turner Construction, to submeter natural gas at 550 Short Ave., & 10 South St., Governors Island, NY
*PSC-17-09-00014-P exempt	Benefit-cost framework for evaluating AMI programs prepared by the DPS Staff	To consider a benefit-cost framework for evaluating AMI programs prepared by the DPS Staff
*PSC-17-09-00015-P exempt	The construction of a tower for wireless antennas on land owned by National Grid	To approve, reject or modify the petition to build a tower for wireless antennas in the Town of Onondaga
*PSC-18-09-00012-P exempt	Petition for rehearing of Order approving the submetering of electricity	To consider the request of Frank Signore to rehear petition to submeter electricity at One City Place in White Plains, New York
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-18-09-00017-P exempt	Approval of an arrangement for attachment of wireless antennas to the utility's transmission facilities in the City of Yonkers	To approve, reject or modify the petition for the existing wireless antenna attachment to the utility's transmission tower
*PSC-20-09-00016-P exempt	The recovery of, and accounting for, costs associated with the Companies' advanced metering infrastructure (AMI) pilots etc	To consider a filing of the Companies as to the recovery of, and accounting for, costs associated with it's AMI pilots etc
*PSC-20-09-00017-P exempt	The recovery of, and accounting for, costs associated with CHG&E's AMI pilot program	To consider a filing of CHG&E as to the recovery of, and accounting for, costs associated with it's AMI pilot program
*PSC-22-09-00011-P exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-25-09-00005-P exempt	Whether to grant, deny, or modify, in whole or in part, the petition	Whether to grant, deny, or modify, in whole or in part, the petition
*PSC-25-09-00006-P exempt	Electric utility implementation plans for proposed web based SIR application process and project status database	To determine if the proposed web based SIR systems are adequate and meet requirements needed for implementation
*PSC-25-09-00007-P exempt	Electric rates for Consolidated Edison Company of New York, Inc	Consider a Petition for Rehearing filed by Consolidated Edison Company of New York, Inc
*PSC-27-09-00011-P exempt	Interconnection of the networks between Vernon and tw telecom of new york l.p. for local exchange service and exchange access.	To review the terms and conditions of the negotiated agreement between Vernon and tw telecom of new york l.p.
*PSC-27-09-00014-P exempt	Billing and payment for energy efficiency measures through utility bill	To promote energy conservation
*PSC-27-09-00015-P exempt	Interconnection of the networks between Oriskany and tw telecom of new york l.p. for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Oriskany and tw telecom of new york l.p
*PSC-29-09-00011-P exempt	Consideration of utility compliance filings	Consideration of utility compliance filings
*PSC-32-09-00009-P exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-34-09-00016-P exempt	Recommendations made in the Management Audit Final Report	To consider whether to take action or recommendations contained in the Management Audit Final Report
*PSC-34-09-00017-P exempt	To consider the transfer of control of Plattsburgh Cablevision, Inc. d/b/a Charter Communications to CH Communications, LLC	To allow the Plattsburgh Cablevision, Inc. to distribute its equity interest in CH Communications, LLC
*PSC-36-09-00008-P exempt	The increase in the non-bypassable charge implemented by RG&E on June 1, 2009	Considering exemptions from the increase in the non-bypassable charge implemented by RG&E on June 1, 2009
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-39-09-00015-P exempt	Modifications to the \$5 Bill Credit Program	Consideration of petition of National Grid to modify the Low Income \$5 Bill Credit Program
*PSC-39-09-00018-P exempt	The offset of deferral balances with Positive Benefit Adjustments	To consider a petition to offset deferral balances with Positive Benefit Adjustments
*PSC-40-09-00013-P exempt	Uniform System of Accounts - request for deferral and amortization of costs	To consider a petition to defer and amortize costs
*PSC-51-09-00029-P exempt	Rules and guidelines for the exchange of retail access data between jurisdictional utilities and eligible ESCOs	To revise the uniform Electronic Data Interchange Standards and business practices to incorporate a contest period
*PSC-51-09-00030-P exempt	Waiver or modification of Capital Expenditure condition of merger	To allow the companies to expend less funds for capital improvement than required by the merger
*PSC-52-09-00006-P exempt	ACE's petition for rehearing for an order regarding generator-specific energy deliverability study methodology	To consider whether to change the Order Prescribing Study Methodology
*PSC-52-09-00008-P exempt	Approval for the New York Independent System Operator, Inc. to incur indebtedness and borrow up to \$50,000,000	To finance the renovation and construction of the New York Independent System Operator, Inc.'s power control center facilities
*PSC-05-10-00008-P exempt	Petition for the submetering of electricity	To consider the request of University Residences - Rochester, LLC to submeter electricity at 220 John Street, Henrietta, NY
*PSC-05-10-00015-P exempt	Petition for the submetering of electricity	To consider the request of 243 West End Avenue Owners Corp. to submeter electricity at 243 West End Avenue, New York, NY
*PSC-06-10-00022-P exempt	The Commission's Order of December 17, 2009 related to redevelopment of Consolidated Edison's Hudson Avenue generating facility	To reconsider the Commission's Order of December 17, 2009 related to redevelopment of the Hudson Avenue generating facility
*PSC-07-10-00009-P exempt	Petition to revise the Uniform Business Practices	To consider the RESA petition to allow rescission of a customer request to return to full utility service
*PSC-08-10-00007-P exempt	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847
*PSC-08-10-00009-P exempt	Consolidated Edison of New York, Inc. energy efficiency programs	To modify approved energy efficiency programs
*PSC-12-10-00015-P exempt	Recommendations made by Staff intended to enhance the safety of Con Edison's gas operations	To require that Con Edison implement the Staff recommendations intended to enhance the safety of Con Edison's gas operations
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-16-10-00007-P exempt	Interconnection of the networks between TDS Telecom and PAETEC Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between TDS Telecom and PAETEC Communications
*PSC-16-10-00015-P exempt	Interconnection of the networks between Frontier and Choice One Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier and Choice One Communications
*PSC-18-10-00009-P exempt	Electric utility transmission right-of-way management practices	To consider electric utility transmission right-of-way management practices
*PSC-19-10-00022-P exempt	Whether National Grid should be permitted to transfer a parcel of property located at 1 Eddy Street, Fort Edward, New York	To decide whether to approve National Grid's request to transfer a parcel of vacant property in Fort Edward, New York
*PSC-22-10-00006-P exempt	Requirement that Noble demonstrate that its affiliated electric corporations operating in New York are providing safe service	Consider requiring that Noble demonstrate that its affiliated electric corporations in New York are providing safe service
*PSC-22-10-00008-P exempt	Petition for the submetering of electricity	To consider the request of 48-52 Franklin Street to submeter electricity at 50 Franklin Street, New York, New York
*PSC-24-10-00009-P exempt	Verizon New York Inc. tariff regulations relating to voice messaging service	To remove tariff regulations relating to retail voice messaging service from Verizon New York Inc.'s tariff
*PSC-25-10-00012-P exempt	Reassignment of the 2-1-1 abbreviated dialing code	Consideration of petition to reassign the 2-1-1 abbreviated dialing code
*PSC-27-10-00016-P exempt	Petition for the submetering of electricity	To consider the request of 9271 Group, LLC to submeter electricity at 960 Busti Avenue, Buffalo, New York
*PSC-34-10-00003-P exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-34-10-00005-P exempt	Approval of a contract for \$250,000 in tank repairs that may be a financing	To decide whether to approve a contract between the parties that may be a financing of \$250,000 for tank repairs
*PSC-34-10-00006-P exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-36-10-00010-P exempt	Central Hudson's procedures, terms and conditions for an economic development plan	Consideration of Central Hudson's procedures, terms and conditions for an economic development plan
*PSC-40-10-00014-P exempt	Disposition of a state sales tax refund	To determine how much of a state sales tax refund should be retained by National Grid
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-41-10-00022-P exempt	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY
*PSC-42-10-00011-P exempt	Petition for the submetering of electricity	To consider the request of 4858 Group, LLC to submeter electricity at 456 Main Street, Buffalo, New York
*PSC-43-10-00016-P exempt	Utility Access to Ducts, Conduit Facilities and Utility Poles	To review the complaint from Optical Communications Group
*PSC-44-10-00003-P exempt	Third and fourth stage gas rate increase by Corning Natural Gas Corporation	To consider Corning Natural Gas Corporation's request for a third and fourth stage gas rate increase
*PSC-51-10-00018-P exempt	Commission proceeding concerning three-phase electric service by all major electric utilities	Investigate the consistency of the tariff provisions for three-phase electric service for all major electric utilities
*PSC-11-11-00003-P exempt	The proposed transfer of 55.42 acres of land and \$1.4 million of revenues derived from the rendition of public service	The proposed transfer of 55.42 acres of land and \$1.4 million of revenues derived from the rendition of public service
*PSC-13-11-00005-P exempt	Exclude the minimum monthly bill component from the earnings test calculation	Exclude the minimum monthly bill component from the earnings test calculation
*PSC-14-11-00009-P exempt	Petition for the submetering of electricity	To consider the request of 83-30 118th Street to submeter electricity at 83-30 118th Street, Kew Gardens, New York
*PSC-19-11-00007-P exempt	Utility price reporting requirements related to the Commission's "Power to Choose" website	Modify the Commission's utility electric commodity price reporting requirements related to the "Power to Choose" website
*PSC-20-11-00012-P exempt	Petition for the submetering of electricity	To consider the request of KMW Group LLC to submeter electricity at 122 West Street, Brooklyn, New York
*PSC-20-11-00013-P exempt	Determining the reasonableness of Niagara Mohawk Power Corporation d/b/a National Grid 's make ready charges	To determine if the make ready charges of Niagara Mohawk Power Corporation d/b/a National Grid are reasonable
*PSC-22-11-00004-P exempt	Whether to permit the use of the Sensus accWAVE for use in residential gas meter applications	To permit gas utilities in New York State to use the Sensus accWAVE diaphragm gas meter
*PSC-26-11-00007-P exempt	Water rates and charges	To approve an increase in annual revenues by about \$25,266 or 50%
*PSC-26-11-00009-P exempt	Petition for the submetering of electricity at commercial property	To consider the request of by Hoosick River Hardwoods, LLC to submeter electricity at 28 Taylor Avenue, in Berlin, New York
*PSC-26-11-00012-P exempt	Waiver of generation retirement notice requirements	Consideration of waiver of generation retirement notice requirements
*PSC-29-11-00011-P exempt	Petition requesting the Commission reconsider its May 19, 2011 Order and conduct a hearing, and petition to stay said Order.	To consider whether to grant or deny, in whole or in part, Windstream New York's Petition For Reconsideration and Rehearing.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-35-11-00011-P exempt	Whether to permit Consolidated Edison a waiver to commission regulations Part 226.8	Permit Consolidated Edison to conduct a inspection program in lieu of testing the accuracy of Category C meters
*PSC-36-11-00006-P exempt	To consider expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-38-11-00002-P exempt	Operation and maintenance procedures pertaining to steam trap caps	Adopt modified steam operation and maintenance procedures
*PSC-38-11-00003-P exempt	Waiver of certain provisions of the electric service tariffs of Con Edison	Consideration of waiver of certain provisions of the electric service tariffs of Con Edison
*PSC-40-11-00010-P exempt	Participation of regulated local exchange carriers in the New York Data Exchange, Inc. (NYDE)	Whether to partially modify its order requiring regulated local exchange carriers' participation NYDE
*PSC-40-11-00012-P exempt	Granting of transfer of plant in-service to a regulatory asset	To approve transfer and recovery of unamortized plant investment
*PSC-42-11-00018-P exempt	Availability of telecommunications services in New York State at just and reasonable rates	Providing funding support to help ensure availability of affordable telecommunications service throughout New York
*PSC-43-11-00012-P exempt	Transfer of outstanding shares of stock	Transfer the issued outstanding shares of stock of The Meadows at Hyde Park Water-Works Corporation to HPWS, LLC
*PSC-47-11-00007-P exempt	Remedying miscalculations of delivered gas as between two customer classes	Consideration of Con Edison's proposal to address inter-class delivery imbalances resulting from past Company miscalculations
*PSC-48-11-00007-P exempt	Transfer of controlling interests in generation facilities from Dynegy to PSEG	Consideration of the transfer of controlling interests in electric generation facilities from Dynegy to PSEG
*PSC-48-11-00008-P exempt	Petition for the submetering of electricity	To consider the request of To Better Days, LLC to submeter electricity at 37 East 4th Street, New York, New York
*PSC-01-12-00007-P exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-01-12-00008-P exempt	Transfer of real property and easements from NMPNS to NMP3	Consideration of the transfer of real property and easements from NMPNS to NMP3
*PSC-01-12-00009-P exempt	Recovery of expenses related to the expansion of Con Edison's ESCO referral program, PowerMove	To determine how and to what extent expenses related to the Expansion of Con Edison's ESCO referral program should be recovered
*PSC-11-12-00002-P exempt	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-19-12-00023-P exempt	Petition for approval pursuant to Section 70 for the sale of goods with an original cost of less than \$100,000	To consider whether to grant, deny or modify, in whole or in part, the petition filed by Orange and Rockland Utilities, Inc.
*PSC-21-12-00006-P exempt	Tariff filing requirements and refunds	To determine if certain agreements should be filed pursuant to the Public Service Law and if refunds are warranted
*PSC-21-12-00011-P exempt	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47
*PSC-23-12-00007-P exempt	The approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility	To consider the approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility
*PSC-23-12-00009-P exempt	Over earnings sharing between rate payers and shareholders	To establish an Earnings Sharing Mechanism to be applied following the conclusion of Corning's rate plan
*PSC-27-12-00012-P exempt	Implementation of recommendations made in a Management Audit Report	To consider implementation of recommendations made in a Management Audit Report
*PSC-28-12-00013-P exempt	Exemption of reliability reporting statistics for the purpose of the 2012 Reliability Performance Mechanism	Consideration of Orange and Rockland Utilities request for exemption of the 2012 reliability reporting statistics
*PSC-29-12-00019-P exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Hamden to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-30-12-00010-P exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Andes to waive certain preliminary franchising procedures to expedite the franchising process
*PSC-33-12-00009-P exempt	Telecommunications companies ability to attach to utility company poles	Consideration of Tech Valley's ability to attach to Central Hudson poles
*PSC-37-12-00009-P exempt	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers
*PSC-42-12-00009-P exempt	Regulation of Gipsy Trail Club, Inc.'s long-term financing agreements	To exempt Gipsy Trail Club, Inc. from Commission regulation of its financing agreements
*PSC-45-12-00008-P exempt	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff
*PSC-45-12-00010-P exempt	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District
*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-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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-27-13-00014-P exempt	Columbia Gas Transmission Corporation Cost Refund	For approval for temporary waiver of tariff provisions regarding its Columbia Gas Transmission Corporation cost refund.
*PSC-28-13-00014-P exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-28-13-00016-P exempt	The request of NGT for lightened regulation as a gas corporation.	To consider whether to approve, reject, or modify the request of Niagara gas transport of Lockport, NY LLC.
*PSC-28-13-00017-P exempt	The request by TE for waiver of regulations requiring that natural gas be odorized in certain gathering line segments	Consider the request by TE for waiver of regulations that gas be odorized in certain lines
*PSC-32-13-00009-P exempt	To consider the definition of “misleading or deceptive conduct” in the Commission’s Uniform Business Practices	To consider the definition of “misleading or deceptive conduct” in the Commission’s Uniform Business Practices
*PSC-32-13-00012-P exempt	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion
*PSC-33-13-00027-P exempt	Waive underground facility requirements for new construction in residential subdivisions to allow for overhead electric lines.	Determine whether Chapin Lumberland, LLC subdivision will be allowed overhead electric distribution and service lines.
*PSC-33-13-00029-P exempt	Deferral of incremental costs associated with the restoration of steam service following Superstorm Sandy.	To consider a petition by Con Edison to defer certain incremental steam system restoration costs relating to Superstorm Sandy.
*PSC-34-13-00004-P exempt	Escrow account and surcharge to fund extraordinary repairs	To approve the establishment of an escrow account and surcharge
*PSC-42-13-00013-P exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-42-13-00015-P exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-43-13-00015-P exempt	Petition for submetering of electricity	To consider the request of 2701 Kingsbridge Terrace L.P. to submeter electricity at 2701 Kingsbridge Terrace, Bronx, N.Y.
*PSC-45-13-00021-P exempt	Investigation into effect of bifurcation of gas and electric utility service on Long Island.	To consider a Petition for an investigation into effect of bifurcation of gas and electric utility service on Long Island.
*PSC-45-13-00022-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4)	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00023-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-47-13-00009-P exempt	Petition for submetering of electricity.	To consider the request of Hegeman Avenue Housing L.P. to submeter electricity at 39 Hegeman Avenue, Brooklyn, N.Y.
*PSC-47-13-00012-P exempt	Conditioning, restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.	Consideration of conditioning, restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.
*PSC-49-13-00008-P exempt	Authorization to transfer all of Crystal Water Supply Company, Inc. stocks to Essel Infra West Inc.	To allow Crystal Water Supply Company, Inc to transfer all of its issued and outstanding stocks to Essel Infra West Inc.
*PSC-51-13-00009-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00010-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00011-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-52-13-00012-P exempt	The development of reliability contingency plan(s) to address the potential retirement of Indian Point Energy Center (IPEC).	To address the petition for rehearing and reconsideration/motion for clarification of the IPEC reliability contingency plan(s).
*PSC-52-13-00015-P exempt	To enter into a loan agreement with the banks for up to an amount of \$94,000.	To consider allowing Knolls Water Company to enter into a long-term loan agreement.
*PSC-05-14-00010-P exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-07-14-00008-P exempt	Petition for submetering of electricity	To consider the request of Greater Centennial Homes HDPC, Inc. to submeter electricity at 102, 103 and 106 W 5th Street, et al.
*PSC-07-14-00012-P exempt	Water rates and charges	Implementation of Long-Term Water Supply Surcharge to recover costs associated with the Haverstraw Water Supply Project
*PSC-08-14-00015-P exempt	Verizon New York Inc.'s service quality and Customer Trouble Report Rate (CTRR) levels at certain central office entities	To improve Verizon New York Inc.'s service quality and the 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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-16-14-00015-P exempt	Whether Central Hudson should be permitted to defer obligations of the Order issued on October 18, 2013 in Case 13-G-0336.	Consideration of the petition by Central Hudson to defer reporting obligations of the October 18, 2013 Order in Case 13-G-0336
*PSC-17-14-00003-P exempt	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism
*PSC-17-14-00004-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00007-P exempt	To consider petitions for rehearing, reconsideration and/or clarification	To consider petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00008-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-19-14-00014-P exempt	Market Supply Charge	To make tariff revisions to the Market Supply Charge for capacity related costs
*PSC-19-14-00015-P exempt	Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications	To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter
*PSC-22-14-00013-P exempt	Petition to transfer and merge systems, franchises and assets.	To consider the Comcast and Time Warner Cable merger and transfer of systems, franchises and assets.
*PSC-23-14-00010-P exempt	Whether to permit the use of the GE Dresser Series B3-HPC 11M-1480 rotary gas met for use in industrial gas meter applications	To permit gas utilities in New York State to use the GE Dresser Series B3-HPC 11M-1480 rotary gas meter
*PSC-23-14-00014-P exempt	Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric	Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric
*PSC-24-14-00005-P exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*PSC-26-14-00013-P exempt	Waiver of RG&E's tariffed definition of emergency generator.	To consider waiver of RG&E's tariffed definition of emergency generator.
*PSC-26-14-00020-P exempt	New electric utility backup service tariffs and standards for interconnection may be adopted.	To encourage development of microgrids that enhance the efficiency, safety, reliability and resiliency of the electric grid.
*PSC-26-14-00021-P exempt	Consumer protections, standards and protocols pertaining to access to customer data may be established.	To balance the need for the information necessary to support a robust market with customer privacy concerns.
*PSC-28-14-00014-P exempt	Petition to transfer systems, franchises and assets.	To consider the Comcast and Charter transfer of systems, franchise and assets.
*PSC-30-14-00023-P exempt	Whether to permit the use of the Sensus iPERL Fire Flow Meter.	Pursuant to 16 NYCRR Part 500.3 , it is necessary to permit the use of the Sensus iPERL Fire Flow Meter.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-31-14-00004-P exempt	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross
*PSC-32-14-00012-P exempt	Whether to grant or deny, in whole or in part, the Connect New York Coalition's petition	To consider the Connect New York Coalition's petition seeking a formal investigation and hearings
*PSC-35-14-00004-P exempt	Regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY	To consider regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY
*PSC-35-14-00005-P exempt	Whether to permit the use of the Sensus iConA electric meter	Pursuant to 16 NYCRR Parts 92 and 93, Commission approval is necessary to permit the use of the Sensus iConA electric meter
*PSC-36-14-00009-P exempt	Modification to the Commission's Electric Safety Standards.	To consider revisions to the Commission's Electric Safety Standards.
*PSC-38-14-00003-P exempt	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.
*PSC-38-14-00004-P exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.
*PSC-38-14-00005-P exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-38-14-00007-P exempt	Whether to expand Con Edison's low income program to include Medicaid recipients.	Whether to expand Con Edison's low income program to include Medicaid recipients.
*PSC-38-14-00008-P exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.
*PSC-38-14-00010-P exempt	Inter-carrier telephone service quality standard and metrics and administrative changes.	To review recommendations from the Carrier Working Group and incorporate appropriate modifications to the existing Guidelines.
*PSC-38-14-00012-P exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-39-14-00020-P exempt	Whether to permit the use of the Mueller Systems 400 Series and 500 Series of water meters	Pursuant to 16 NYCRR section 500.3, whether to permit the use of the Mueller Systems 400, and 500 Series of water meters
*PSC-40-14-00008-P exempt	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.
*PSC-40-14-00009-P exempt	Whether to permit the use of the Itron Open Way Centron Meter with Hardware 3.1 for AMR and AMI functionality.	Pursuant to 16 NYCRR Parts 93, is necessary to permit the use of the Itron Open Way Centron Meter with Hardware 3.1.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-40-14-00013-P exempt	Regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.	To consider regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.
*PSC-40-14-00014-P exempt	Waiver of 16 NYCRR Sections 894.1 through 894.4(b)(2)	To allow the Town of Goshen, NY, to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-40-14-00015-P exempt	Late Payment Charge.	To modify Section 6.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-42-14-00003-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-42-14-00004-P exempt	Winter Bundled Sales Service Option	To modify SC-11 to remove language relating to fixed storage charges in the determination of the Winter Bundled Sales charge
*PSC-48-14-00014-P exempt	Considering the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.	To consider the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.
*PSC-52-14-00019-P exempt	Petition for a waiver to master meter electricity.	Considering the request of 614 South Crouse Avenue, LLC to master meter electricity at 614 South Crouse Avenue, Syracuse, NY..
*PSC-01-15-00014-P exempt	State Universal Service Fund Disbursements	To consider Edwards Telephone Company's request for State Universal Service Fund disbursements
*PSC-08-15-00010-P exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.
*PSC-10-15-00007-P exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds
*PSC-10-15-00008-P exempt	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes
*PSC-13-15-00024-P exempt	Whether Leatherstocking should be permitted to recover a shortfall in earnings	To decide whether to approve Leatherstocking's request to recover a shortfall in earnings
*PSC-13-15-00026-P exempt	Whether to permit the use of the Sensus Smart Point Gas AMR/AMI product	To permit the use of the Sensus Smart Point Gas AMR/AMI product
*PSC-13-15-00027-P exempt	Whether to permit the use of the Measurlogic DTS 310 electric submeter	To permit the use of the Measurlogic DTS 310 submeter
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-17-15-00007-P exempt	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million
*PSC-18-15-00005-P exempt	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism
*PSC-19-15-00011-P exempt	Gas Safety Performance Measures and associated negative revenue adjustments	To update the performance measures applicable to KeySpan Gas East Corporation d/b/a National Grid
*PSC-22-15-00015-P exempt	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)
*PSC-23-15-00005-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-23-15-00006-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-25-15-00008-P exempt	Notice of Intent to Submeter electricity.	To consider the request of 165 E 66 Residences, LLC to submeter electricity at 165 East 66th Street, New York, New York.
*PSC-29-15-00025-P exempt	Joint Petition for authority to transfer real property located at 624 West 132nd Street, New York, NY	Whether to authorize the proposed transfer of real property located at 624 West 132nd Street, New York, NY
*PSC-32-15-00006-P exempt	Development of a Community Solar Demonstration Project.	To approve the development of a Community Solar Demonstration Project.
*PSC-33-15-00009-P exempt	Remote net metering of a demonstration community net metering program.	To consider approval of remote net metering of a demonstration community net metering program.
*PSC-33-15-00012-P exempt	Remote net metering of a Community Solar Demonstration Project.	To consider approval of remote net metering of a Community Solar Demonstration Project.
*PSC-34-15-00021-P exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs
*PSC-35-15-00014-P exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
*PSC-37-15-00007-P exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
*PSC-40-15-00014-P exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-47-15-00013-P exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
*PSC-48-15-00011-P exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
*PSC-50-15-00006-P exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
*PSC-50-15-00009-P exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
*PSC-51-15-00010-P exempt	Modification of the EDP	To consider modifying the EDP
*PSC-01-16-00005-P exempt	Proposed amendment to Section 5, Attachment 1.A of the Uniform Business Practices	To consider amendment to Section 5, Attachment 1.A of the Uniform Business Practices
*PSC-04-16-00007-P exempt	Whether Hamilton Municipal Utilities should be permitted to construct and operate a municipal gas distribution facility.	Consideration of the petition by Hamilton Municipal Utilities to construct and operate a municipal gas distribution facility.
*PSC-04-16-00012-P exempt	Proposal to mothball three gas turbines located at the Astoria Gas Turbine Generating Station.	Consider the proposed mothball of three gas turbines located at the Astoria Gas Turbine Generating Station.
*PSC-04-16-00013-P exempt	Proposal to find that three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.	Consider whether three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.
*PSC-06-16-00013-P exempt	Continued deferral of approximately \$16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately \$16,000,000 in site investigation and remediation costs.
*PSC-06-16-00014-P exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.
*PSC-14-16-00008-P exempt	Resetting retail markets for ESCO mass market customers.	To ensure consumer protections with respect to residential and small non-residential ESCO customers.
*PSC-18-16-00013-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00014-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*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).

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-20-16-00010-P exempt	Deferral and recovery of incremental expense.	To consider deferring costs of conducting leak survey and repairs for subsequent recovery.
*PSC-20-16-00011-P exempt	Enetics LD-1120 Non-Intrusive Load Monitoring Device in the Statewide Residential Appliance Metering Study.	To consider the use of the Enetics LD-1120 Non-Intrusive Load Monitoring Device.
*PSC-24-16-00009-P exempt	Petition to submeter gas service.	To consider the Petition of New York City Economic Development Corp. to submeter gas at Pier 17, 89 South Street, New York, NY.
*PSC-25-16-00009-P exempt	To delay Companies' third-party assessments of customer personally identifiable information until 2018.	To extend the time period between the Companies' third-party assessments of customer personally identifiable information.
*PSC-25-16-00025-P exempt	Acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.	To consider acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.
*PSC-25-16-00026-P exempt	Use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter, in residential fire service applications.	To consider the use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter in fire service applications.
*PSC-28-16-00017-P exempt	A petition for rehearing of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.
*PSC-29-16-00024-P exempt	Participation of NYPA customers in surcharge-funded clean energy programs.	To consider participation of NYPA customers in surcharge-funded clean energy programs.
*PSC-32-16-00012-P exempt	Benefit-Cost Analysis Handbooks.	To evaluate proposed methodologies of benefit-cost evaluation.
*PSC-33-16-00001-EP exempt	Use of escrow funds for repairs.	To authorize the use of escrow account funds for repairs.
*PSC-33-16-00005-P exempt	Exemption from certain charges for delivery of electricity to its Niagara Falls, New York facility.	Application of System Benefits Charges, Renewable Portfolio Standard charges and Clean Energy Fund surcharges.
*PSC-35-16-00015-P exempt	NYSRC's revisions to its rules and measurements	To consider revisions to various rules and measurements of the NYSRC
*PSC-36-16-00004-P exempt	Recovery of costs for installation of electric service.	To consider the recovery of costs for installation of electric service.
*PSC-40-16-00025-P exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Smart One for its apparent non-compliance with Commission requirements.
*PSC-47-16-00009-P exempt	Petition to use commercial electric meters	To consider the petition of Itron, Inc. to use the Itron CP2SO and CP2SOA in commercial electric meter applications
*PSC-47-16-00010-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00013-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-47-16-00014-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00016-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-02-17-00010-P exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for RG&E.
*PSC-02-17-00012-P exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for NYSEG.
*PSC-14-17-00017-P exempt	Petition for Full-Scale Deployment of AMI and to Establish an AMI Surcharge.	To consider the petition for Full-Scale Deployment of AMI and to Establish an AMI Surcharge.
*PSC-18-17-00024-P exempt	A petition for rehearing or reconsideration of the Order Addressing Public Policy Transmission Need for AC Transmission Upgrades	To determine whether Public Policy Transmission Need/Public Policy Requirements continue to exist.
*PSC-18-17-00026-P exempt	Revisions to the Dynamic Load Management surcharge.	To consider revisions to the Dynamic Load Management surcharge.
*PSC-19-17-00004-P exempt	NYAW's request to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2016.	Consideration of NYAW's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2016.
*PSC-20-17-00008-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid NY regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-20-17-00010-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-21-17-00013-P exempt	The establishment and implementation of Earnings Adjustment Mechanisms.	To consider the establishment and implementation of Earnings Adjustment Mechanisms.
*PSC-21-17-00018-P exempt	Proposed agreement for the provision of water service by Saratoga Water Services, Inc.	To consider a waiver and approval of terms of a service agreement.
*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-24-17-00006-P exempt	Development of the Utility Energy Registry.	Improved data access.
*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-34-17-00011-P exempt	Waiver to permit Energy Cooperative of America to serve low-income customers	To consider the petition for a waiver
*PSC-37-17-00005-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives.	To consider the revised Interconnection Survey Process and Earnings Adjustment Mechanisms.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-37-17-00006-P exempt	Petition to submeter electricity.	To consider the petition of ACC OP (Park Point SU) LLC to submeter electricity at 417 Comstock Avenue, Syracuse, New York.
*PSC-39-17-00011-P exempt	Whether to direct New York State Electric & Gas to complete electric facility upgrades at no charge to Hanehan.	To determine financial responsibility between NYSEG and Hanehan for the electric service upgrades to Hanehan.
*PSC-40-17-00006-P exempt	The aggregation of electric service for the Empire State Plaza and the Sheridan Avenue Steam Plant	To consider a waiver of National Grid's tariff provision requiring all electric delivery points to be on the same premises
*PSC-42-17-00010-P exempt	Petition for rehearing of negative revenue adjustment and contents of annual Performance Report.	To consider NFGD's petition for rehearing.
*PSC-48-17-00015-P exempt	Low Income customer options for affordable water bills.	To consider the Low Income Bill Discount and/or Energy Efficiency Rebate Programs.
*PSC-50-17-00017-P exempt	New Wave Energy Corp.'s petition for rehearing.	To consider the petition for rehearing filed by New Wave Energy Corp.
*PSC-50-17-00018-P exempt	Application of the Public Service Law to DER suppliers.	To determine the appropriate regulatory framework for DER suppliers.
*PSC-50-17-00019-P exempt	Transfer of utility property.	To consider the transfer of utility property.
*PSC-50-17-00021-P exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
*PSC-50-17-00022-P exempt	Data protection rules for DER suppliers.	To determine the appropriate regulatory framework for DER suppliers.
*PSC-51-17-00011-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-04-18-00005-P exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Montante/ Morgan Gates Circle LLC to submeter electricity.
*PSC-05-18-00004-P exempt	Lexington Power's ZEC compliance obligation.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-06-18-00012-P exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
*PSC-06-18-00017-P exempt	Merger of NYAW and Whitlock Farms Water Corp.	To consider the merger of NYAW and Whitlock Farms Water Company into a single corporate entity
*PSC-07-18-00015-P exempt	The accuracy and reasonableness of National Grid's billing for certain interconnection upgrades.	To consider AEC's petition requesting resolution of their billing dispute with National Grid.
*PSC-11-18-00004-P exempt	New York State Lifeline Program.	To consider TracFone's petition seeking approval to participate in Lifeline.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-13-18-00015-P exempt	Eligibility of an ESCO to market to and enroll residential customers.	To consider whether Astral should be allowed to market to and enroll residential customers following a suspension.
*PSC-13-18-00023-P exempt	Reconciliation of property taxes.	To consider NYAW's request to reconcile property taxes.
*PSC-14-18-00006-P exempt	Petition for abandonment	To consider the abandonment of Willsboro Bay Water Company's water system
*PSC-17-18-00010-P exempt	Petition for use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
*PSC-18-18-00009-P exempt	Transfer of control of Keene Valley Video Inc.	To ensure performance in accordance with applicable cable laws, regulations and standards and the public interest
*PSC-23-18-00006-P exempt	Whether to impose consequences on Aspiry for its non-compliance with Commission requirements.	To ensure the provision of safe and adequate energy service at just and reasonable rates.
*PSC-24-18-00013-P exempt	Implementation of program rules for Renewable Energy Standard and ZEC requirements.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-28-18-00011-P exempt	Storm Hardening Collaborative Report.	To ensure safe and adequate gas service.
*PSC-29-18-00008-P exempt	Participation in Targeted Accessibility Fund	To encourage enhanced services for low-income consumers
*PSC-29-18-00009-P exempt	Overvaluing real property tax expense recovery in water rates	To prevent unjust and unreasonable water rates
*PSC-34-18-00011-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
*PSC-34-18-00015-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and energy efficiency protections are in place.
*PSC-34-18-00016-P exempt	Deferral of pre-staging and mobilization storm costs.	To ensure just and reasonable rates for ratepayers and utility recovery of unexpected, prudently incurred costs.
*PSC-35-18-00003-P exempt	Con Edison's 2018 DSIP and BCA Handbook Update.	To continue Con Edison's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00005-P exempt	NYSEG and RG&E's 2018 DSIP and BCA Handbook Update.	To continue NYSEG and RG&E's transition to modern utilities acting as Distributed System Platform Providers.
*PSC-35-18-00006-P exempt	National Grid's 2018 DSIP and BCA Handbook Update.	To continue National Grid's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00008-P exempt	Central Hudson's 2018 DSIP and BCA Handbook Update.	To continue Central Hudson's transition to a modern utility serving as a Distributed System Platform Provider.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-35-18-00010-P exempt	O&R's 2018 DSIP and BCA Handbook Update.	To continue O&R's transition to a modern utility acting as a Distributed System Platform Provider.
*PSC-39-18-00005-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
*PSC-40-18-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To review the gas utilities' reconciliation of Gas Expenses and Gas Cost Recoveries for 2018.
*PSC-42-18-00011-P exempt	Voluntary residential beneficial electrification rate design.	To provide efficient rate design for beneficial technologies in New York State that is equitable for all residential customers.
*PSC-42-18-00013-P exempt	Petition for clarification and rehearing of the Smart Solutions Program Order.	To address the increased demand for natural gas in the Con Edison's service territory and the limited pipeline capacity.
*PSC-44-18-00016-P exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
*PSC-45-18-00004-P exempt	Proposed transfer of two natural gas pipeline operating companies, and for lightened and incidental regulation	To consider transfer if there is no market power or ratepayer harm, incidental regulation, and continuing lightened regulation
*PSC-45-18-00005-P exempt	Notice of intent to submeter electricity and waiver of energy audit	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place
*PSC-47-18-00008-P exempt	Proposed Public Policy Transmission Needs/ Public Policy Requirements, as defined under the NYISO tariff.	To identify any proposed Public Policy Transmission Needs/Public Policy Requirements for referral to the NYISO.
*PSC-01-19-00004-P exempt	Advanced Metering Infrastructure.	To determine whether Niagara Mohawk Power Corporation d/b/a National Grid should implement advanced metering infrastructure.
*PSC-01-19-00013-P exempt	Order of the Commission related to caller ID unblocking.	To require telephone companies to unblock caller ID on calls placed to the 311 municipal call center in Suffolk County.
*PSC-01-19-00014-P exempt	To modify provisions for accepting new or additional gas service applications when there is inadequate supply or capacity.	To continue to provide safe and reliable service to existing customers.
*PSC-01-19-00015-P exempt	To modify provisions for accepting new or additional gas service applications when there is inadequate supply or capacity.	To continue to provide safe and reliable service to existing customers.
*PSC-01-19-00016-P exempt	To modify provisions for accepting new or additional gas service applications when there is inadequate supply or capacity.	To continue to provide safe and reliable service to existing customers.
*PSC-02-19-00014-P exempt	Petition for use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
*PSC-03-19-00002-P exempt	DPS Staff White Paper for who must be trained in 16 NYCRR Part 753 requirements and how the Commission will approve trainings.	To reduce damage to underground utility facilities by requiring certain training and approving training curricula.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-04-19-00004-P exempt	Con Edison's petition for the Gas Innovation Program and associated budget.	To pursue programs that continue service reliability and meet customer energy needs while aiding greenhouse gas reduction goals.
*PSC-04-19-00011-P exempt	Update of revenue targets.	To ensure NYAW's rates are just and reasonable and accurately reflect the needed revenues.
*PSC-06-19-00005-P exempt	Consideration of the Joint Utilities' proposed BDP Program.	To to expand opportunities for low-income households to participate in Community Distributed Generation (CDG) projects.
*PSC-07-19-00009-P exempt	Whether to impose consequences on AAA for its non-compliance with Commission requirements.	To insure the provision of safe and adequate energy service at just and reasonable rates.
*PSC-07-19-00016-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
PSC-09-19-00009-P exempt	Amendments to the tariff of Con Edison pertaining to interruptible gas service customers.	To consider the appropriate tariff provisions for Con Edison interruptible gas service customers.
PSC-09-19-00010-P exempt	Non-pipeline alternatives report recommendations.	To consider the terms and conditions applicable to gas service.
PSC-12-19-00004-P exempt	To test innovative pricing proposals on an opt-out basis.	To provide pricing structures that deliver benefits to customers and promote beneficial electrification technologies.
PSC-13-19-00010-P exempt	New Commission requirements for gas company operator qualification programs.	To make pipelines safer with improved training of workers who perform construction and repairs on natural gas facilities.
PSC-13-19-00012-P exempt	Paperless billing credit.	To provide just and reasonable rates.
PSC-19-19-00013-P exempt	Proposed merger of three water utilities into one corporation.	To determine if the proposed merger is in the public interest.
PSC-19-19-00014-P exempt	Establishment of the regulatory regime applicable to an approximately 124 MW electric generating facility.	Consideration of a lightened regulatory regime for an approximately 124 MW electric generating facility.
PSC-19-19-00016-P exempt	Establishment of the regulatory regime applicable to an approximately 242 MW electric generating facility.	Consideration of a lightened regulatory regime for an approximately 242 MW electric generating facility.
PSC-20-19-00008-P exempt	Reporting on energy sources	To ensure accurate reporting and encourage clean energy purchases
PSC-20-19-00010-P exempt	Compensation policies for certain CHP projects	To consider appropriate rules for compensation of certain CHP resources
PSC-20-19-00015-P exempt	Establishment of the regulatory regime applicable to an approximately 105.8 MW electric generating facility	Consideration of a lightened regulatory regime for an approximately 105.8 MW electric generating facility
PSC-23-19-00005-P exempt	Proposed major rate increase in SWNY's annual base revenues of approximately \$31.5 million (or 19.8% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-30-19-00007-P exempt	Use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-31-19-00011-P exempt	Electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-31-19-00013-P exempt	Implementation of Statewide Energy Benchmarking.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-31-19-00015-P exempt	Proposed major rate increase in KEDNY's gas delivery revenues by \$236.8 million (13.6% increase in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-31-19-00016-P exempt	Proposed major rate increase in KEDLI's gas delivery revenues of approximately \$49.4 million (or 4.1% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-32-19-00008-P exempt	Compensation of distributed energy resources	To ensure just and reasonable rates, including compensation, for distributed energy resources
PSC-32-19-00009-P exempt	Petition to submeter electricity and waiver request	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place
PSC-32-19-00010-P exempt	Notice of intent to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-32-19-00012-P exempt	Standby Service Rates and Buyback Service Rates	To ensure just and reasonable rates, including compensation, for distributed energy resources
PSC-32-19-00013-P exempt	Disposition of tax refunds received by New York American Water Company, Inc.	To determine the disposition of tax refunds and other related matters
PSC-34-19-00015-P exempt	Major electric rate filing.	To consider a proposed increase in RG&E's electric delivery revenues of approximately \$31.7 million (or 4.1% in total revenues).
PSC-34-19-00016-P exempt	Major gas rate filing.	To consider a proposed increase in RG&E's gas delivery revenues of approximately \$5.8 million (or 1.4% in total revenues).
PSC-34-19-00017-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-34-19-00018-P exempt	Major electric rate filing.	To consider a proposed increase in NYSEG's electric delivery revenues of approximately \$156.7 million (10.4% in total revenues).
PSC-34-19-00020-P exempt	Major gas rate filing.	To consider a proposed increase in NYSEG's gas delivery revenues of approximately \$6.3 million (or 1.4% in total revenues).
PSC-36-19-00009-P exempt	Minor rate filing to increase annual electric revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-36-19-00010-P exempt	Notice of intent to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-36-19-00011-P exempt	Minor electric rate filing to increase annual electric revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-37-19-00004-P exempt	Proposed transfer of Hopewell's assets to the Town and dissolution of the company.	To determine if transfer of the water system to the Town of East Fishkill is in the public interest.
PSC-38-19-00002-P exempt	Petition to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-39-19-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To review the gas utilities' reconciliation of Gas Expenses and Gas Cost Recoveries for the period ending August 31, 2019.
PSC-39-19-00018-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-39-19-00020-P exempt	Initial Tariff Schedule, P.S.C. No. 1 - Water.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-40-19-00007-P exempt	The sharing of ratepayer consumption data.	To allow for consumption based sewer billing and protect ratepayers' consumption data.
PSC-41-19-00003-P exempt	A voluntary residential three-part rate that would include fixed, usage and demand charges.	To provide qualifying residential customers with an optional three-part rate.
PSC-43-19-00014-P exempt	Petition for the use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-43-19-00015-P exempt	Modifications to the Gas Cost Factor and Daily Delivery Service Programs.	To consider a rehearing petition filed by Consolidated Edison Company of New York, Inc. and Orange and Rockland Utilities, Inc.
PSC-44-19-00003-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00004-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-44-19-00005-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00006-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00007-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-44-19-00009-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-45-19-00011-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-45-19-00012-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-45-19-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-46-19-00008-P exempt	Wappingers Falls Hydroelectric LLC's facility located in Wappingers Falls, New York.	To promote and maintain renewable electric energy resources.
PSC-46-19-00010-P exempt	To test innovative rate designs on an opt-out basis.	To implement alternative innovative rate designs intended to assess customer behaviors in response to price signals
PSC-47-19-00011-P exempt	Waiver of National Grid's code of conduct to allow for use of its name.	To determine if it is in the public interest to allow for the use of National Grid's name in the weatherization program.
PSC-47-19-00013-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-47-19-00015-P exempt	Customer Consent to Contact.	To include a new provision establishing customer consent for the utility to contact them electronically about utility service.
PSC-47-19-00016-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-19-00005-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-19-00006-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-19-00007-P exempt	Extension of the State Universal Service Fund.	To continue to provide universal service at a reasonable rate in certain service territories.
PSC-49-19-00004-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer street of lighting facilities and the proper accounting for the transaction.
PSC-49-19-00005-P exempt	Sale of Street Lighting Facilities to the Town of Farmington.	To consider the transfer of street lighting facilities to the Town of Farmington.
PSC-50-19-00004-P exempt	Petition to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-50-19-00005-P exempt	Modifications and clarifications to the DCFC Per-Plug Incentive Program.	To clarify certain elements of the DCFC Per-Plug Incentive Program and consider modifications to the Program.
PSC-50-19-00006-P exempt	Compensation of and incentives for distributed energy resources.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.
PSC-50-19-00007-P exempt	Participation of customers served under P.S.C. No. 12 (PASNY) in CDG projects receiving Value Stack compensation.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-52-19-00001-P exempt	SUEZ Water New York Inc.'s acquisition of 100% of Heritage Hills Water Works Corporation's assets.	To determine if the proposed acquisition is in the public interest.
PSC-52-19-00002-P exempt	The New York State Reliability Council's establishment of an Installed Reserve Margin of 18.9%	To ensure adequate levels of Installed Capacity.
PSC-52-19-00003-P exempt	Notice of intent to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-52-19-00004-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-52-19-00005-P exempt	Compensation of and rates for distributed energy resources.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.
PSC-52-19-00006-P exempt	Authorization to defer pension settlement losses.	To address the ratemaking related to the pension settlement losses.
PSC-53-19-00003-P 12/30/20	Technical Amendments of State regulations and Administrative Corrections	To make the provision of natural gas service safer in New York State
PSC-53-19-00004-P 12/30/20	Technical Amendments of State regulations and Administrative Corrections	To make the provision of natural gas service safer in New York State.
PSC-53-19-00006-P exempt	To amend the terms to which the customer must abide when discontinuing gas service.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-53-19-00007-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-53-19-00008-P exempt	Extension of time for issuance of securities and other forms of indebtedness.	To consider an additional twelve months for the issuance of securities and other forms of indebtedness.
PSC-53-19-00009-P exempt	Transfer of street lighting facilities.	To consider whether the transfer of certain street lighting facilities is in the public interest.
PSC-53-19-00010-P exempt	To clarify the term "customer" under Rule 28 - Special Services Performed by Company for Customer at a Charge.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-01-20-00007-P exempt	Proposed tariff revisions and clarifications for the summer 2020 capability period.	To have more efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-01-20-00008-P exempt	Request for waiver of 16 NYCRR § 96.5(k)(3).	To consider the request for waiver of the energy audit requirement requirement per 16 NYCRR 96.5(k)(3).
PSC-01-20-00009-P exempt	Modifying RG&E's DLM dispatch threshold to improve the Commercial System Relief Program.	To have more efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-01-20-00010-P exempt	Proposed transfer of water supply assets and dissolution of the Company.	To determine whether the transfer of water supply assets to the Town of North Collins is in the public interest.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-02-20-00005-P exempt	The 2020 Electric Emergency Response Plans for electric utilities subject to the provisions of PSL § 25-a	To consider the adequacy of the 2020 Electric Emergency Response Plans
PSC-02-20-00006-P exempt	The application of the earnings sharing mechanism related to a partial year period.	To consider O&R's petition to modify the application of the earnings sharing mechanism.
PSC-03-20-00008-P exempt	Authority to issue and sell unsecured debt obligations	To consider the Company's request for authority to issue and sell unsecured debt obligations
PSC-03-20-00009-P exempt	Changes to the Utility Energy Registry	To determine appropriate rules for data availability
PSC-03-20-00010-P exempt	Waivers of certain tariff provisions and terms of an agreement for the provision of service	Whether a proposed agreement for provision of service by Saratoga Water Services, Inc. is in the public interest
PSC-04-20-00010-P exempt	Petition for waiver of the requirements of Opinion No. 76-17 and 16 NYCRR Part 96 regarding individual metering of living units.	To consider the petition of Comunilife Woodhull HDfC for waiver of Opinion No. 76-17 and 16 NYCRR Part 96.
PSC-04-20-00014-P exempt	Transfer of the Indian Point site, nuclear waste, and decommissioning and site restoration funds from Entergy to Holtec.	To protect the public interest.
PSC-05-20-00003-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-05-20-00004-P exempt	A statewide Make-Ready Program that that would provide incentives to deploy EVSE&I to charge light duty electric vehicles (EV).	To deploy the infrastructure needed to meet the State's goals of 850,000 EVs by 2025 and recommend appropriate utility roles.
PSC-05-20-00005-P exempt	Wireline and wireless pole attachment rates.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-05-20-00006-P exempt	Waiver of pipeline reassessment completion deadline while adequate tools to conduct inspection are found.	To ensure the safety of the Clove Lake Segment Pipeline with the use of adequate reassessment tools.
PSC-05-20-00007-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-06-20-00012-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-06-20-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-06-20-00014-P exempt	A program for the procurement of Renewable Energy Certificates from existing renewable resources.	To purchase Renewable Energy Certificates and maintain the State's baseline of existing renewable resources.
PSC-06-20-00015-P exempt	New Tariff Schedule, P.S.C. No. 3 - Water and waiver of rate setting authority.	To provide the rates, rules, and regulations under which water service will be provided to the customers of the system.
PSC-06-20-00016-P exempt	Notice of intent to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-06-20-00017-P exempt	Petitions for rehearing, reconsideration, clarification and stay of the December 12, 2019 Order.	To determine whether the Commission should grant, deny, or modify the relief sought and actions proposed by Petitioners
PSC-07-20-00006-P exempt	Discontinuation of a program administered by Con Edison and removal of the program from the tariff.	Consider discontinuation of the Smart AC Kit Program.
PSC-07-20-00007-P exempt	Procurement of environmental attributes associated with offshore wind resources.	To achieve the State's renewable and clean energy goals.
PSC-07-20-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-07-20-00009-P exempt	Transfer of street lighting facilities.	To consider whether the transfer of certain street lighting facilities is in the public interest.
PSC-07-20-00010-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-07-20-00011-P exempt	Transfer of street lighting facilities.	To consider the transfer of street lighting facilities to the Town of Fallsburg.
PSC-08-20-00002-P exempt	Transfer of stock resulting in a complete ownership transfer.	To determine whether the proposed transfer is in the public interest.
PSC-08-20-00003-P exempt	PSC regulation 16 NYCRR § 86.3(a)(2) and 86.3(b)(2).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting.
PSC-08-20-00004-P exempt	Waiver of provisions and service agreement.	To consider if the waiver and the proposed terms of a service agreement are in the public interest.
PSC-08-20-00005-P exempt	The use funding for certain pipeline safety programs.	To ensure appropriate use of funds reserved for gas safety programs.
PSC-08-20-00006-P exempt	To establish procedures and modify terminology for Underground Residential Distribution Systems.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

STATE, DEPARTMENT OF

DOS-42-19-00001-P 10/15/20	Real estate advertisements	To update current regulations concerning real estate advertisements
DOS-02-20-00003-P 01/14/21	Enhanced fair housing provisions	To provide additional notices and other enhancements relating to fair housing and the Human Rights Law

STATE UNIVERSITY OF NEW YORK

SUN-50-19-00001-EP 12/10/20	Tuition, Fees and Charges	To authorize the waiver of admission application fees for military veterans and their spouses
SUN-53-19-00002-P 12/30/20	Proposed amendments to the traffic and parking regulations at State University of New York College at Old Westbury	Amend existing regulations to update traffic and parking regulations

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
STATE UNIVERSITY OF NEW YORK			
SUN-53-19-00005-P	12/30/20	Proposed amendments to the traffic and parking regulations at State University Agricultural and Technical College at Morrisville	Amend existing regulations to update traffic and parking regulations
SUN-01-20-00001-P	01/07/21	Limitations on operating costs for purposes of State financial assistance.	To determine how state appropriated reimbursement for rental costs for physical space will be distributed to community colleges.
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-50-19-00003-EP	12/10/20	Metropolitan Transportation Business Tax Surcharge	To provide metropolitan transportation business tax rate for tax year 2020
TAF-02-20-00001-EP	01/14/21	Property tax levy limits for school districts in relation to certain costs resulting from capital local expenditures	To implement Education Law 2023-a relating to certain costs resulting from capital local expenditures of school districts
TAF-07-20-00013-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 April 1, 2020 through June 30, 2020.
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-14-19-00007-P	04/02/20	Abandonment of requests for fair hearings	To require the issuance of letters to appellants who fail to appear at scheduled fair hearings involving Medical Assistance, also known as Medicaid, advising them how to request the rescheduling of such fair hearings
TDA-46-19-00006-P	11/12/20	Limits on executive compensation	To remove requirements related to private funding from the \$199, 000 per annum limit on executive compensation and to make corresponding technical updates
TDA-49-19-00003-P	12/03/20	Annual service fee on persons receiving child support services and minimum annual collection requirement to impose such fee	To amend the existing State regulatory provisions regarding the annual service fee imposed on persons who receive child support services
THRUWAY AUTHORITY, NEW YORK STATE			
THR-01-20-00003-P	01/07/21	Toll rate adjustments on the New York State Thruway system.	To provide for toll rate adjustments necessary to support the Authority's financial obligations.
WORKERS' COMPENSATION BOARD			
WCB-31-19-00018-P	07/30/20	Medical Treatment Guidelines	Add guidelines for treatment of hip and groin, foot and ankle, elbow and occupational interstitial lung disease
WCB-37-19-00002-P	09/10/20	Applications for Reopenings	Clarify the process for reopening a case that has been previously closed

SECURITIES OFFERINGS

STATE NOTICES

Published pursuant to provisions of General Business Law
[Art. 23-A, § 359-e(2)]

DEALERS; BROKERS

Align Capital Partners Fund II, LP
3401 Tuttle Rd., Suite 250, Shaker Heights, OH 44122
Partnership — Align Capital Partners GP II, LP

Cambrian BioPharma Inc.
19 Morris Ave., Brooklyn Navy Yard, Bldg. 128, Brooklyn, NY 11205
State or country in which incorporated — Delaware

Demand Brands, Inc.
707 W. Corsicana St., Athens, TX 75751
State or country in which incorporated — Washington

Francisco Partners Agility II, L.P.
One Letterman Dr., Bldg. C, Suite 410, San Francisco, CA 94129
Partnership — Francisco Partners Agility GP II, L.P.

Hadaway Road Partners, LLC
8014 Cumming Hwy., Suite 403369, Canton, GA 30115
State or country in which incorporated — Texas

Harspring Capital Offshore Ltd.
c/o Maples Corporate Services Limited, P.O. Box 309, Ugland House,
Grand Cayman KY1-1104 Cayman Islands
State or country in which incorporated — Cayman Islands

INX Limited
Unit 1.02, 1st Fl., Six Bayside Rd., Gibraltar, GX11 1AA
State or country in which incorporated — Gibraltar

Jet Token Inc.
10845 Griffith Peak Dr., Suite 200, Las Vegas, NV 89135
State or country in which incorporated — Delaware

Katana Safety, Inc.
Eight Pristine Dr., Greer, SC 29650
State or country in which incorporated — Delaware

Kotak Mahindra, Inc.
369 Lexington Ave., 28th Fl., New York, NY 10017
State or country in which incorporated — Delaware

MC NC Acquisition 3, LLC
1043 E. Morehead St., Suite 303, Charlotte, NC 28204
State or country in which incorporated — Texas

Stretch Out Studios, Inc.
18 S. Main St., Norwalk, CT 06854
State or country in which incorporated — Delaware

Texas Securities, Inc.
4024 Nazarene Dr., Suite B, Carrollton, TX 75010
State or country in which incorporated — Texas

Tudor Systematic Tactical Trading Fund L.P.
c/o Tudor Investment Corp., 200 Elm St., Stamford, CT 06902
Partnership — Tudor Investment Corporation

Vista Foundation Fund IV, L.P.
c/o Vista Equity Partners, Four Embarcadero Center, 20th Fl., San
Francisco, CA 94111
Partnership — Vista Foundation Fund IV GP, L.P.

Water Street Healthcare Partners IV S, L.P.
444 W. Lake St., Suite 1800, Chicago, IL 60606
Partnership — Water Street Healthcare Management IV S, L.P.

WD Co-Investment Vehicle, L.P.
5200 Town Center Circle, Fourth Fl., Boca Raton, FL 33486
Partnership — WD Co-Investment Vehicle GP, LLC

ADVERTISEMENTS FOR BIDDERS/CONTRACTORS

SEALED BIDS

REPLACE DOORS

Southport Correctional Facility
Pine City, Chemung County

Sealed bids for Project Nos. 44676-C and 44676-E, comprising separate contracts for Construction Work and Electrical Work, Replace Doors, Housing Blocks, Buildings 4, 5 & 6, Southport Correctional Facility, 236 Bob Masia Drive, Pine City (Chemung County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, March 4th, 2020, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$47,800 for C and \$19,500 for E.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$1,000,000 and \$2,000,000 for C and between \$250,000 and \$500,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewycky, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 602 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of

construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

X Project commenced design before January 1, 2020. Not subject to provision.

Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 2:00 p.m. on February 19th, 2020 at the Southport Correctional Facility, 236 Bob Masia Drive, Pine City, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Lance Finnerty, (607-734-2405) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work and Electrical Work. The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

**REPAIR
LEAK**
Capital District Psychiatric Center
Albany, Albany County

Sealed bids for Project No. 45830-C, comprising a separate contract for Construction Work, Repair Leak, Atrium Skylights Building 1, Capital District Psychiatric Center, 75 New Scotland Ave, Albany (Albany County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Office of Mental Health, until 2:00 p.m. on Wednesday, March 4, 2020, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$22,800 for C.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$500,000 and \$1,000,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 281 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

X Project commenced design before January 1, 2020. Not subject to provision.

Project commenced design on or after January 1, 2020. Subject to provision.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 1:00 p.m. on February 19th, 2020 at the Capital District Psychiatric Center, 75 New Scotland Avenue, Albany NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Tyson Gamache (518-474-6726) a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

PROVIDE
SALT STORAGE BUILDING
Department of Transportation Region 5
Lewiston, Niagara County

Sealed bids for Project Nos. 46076-C and 46076-E, comprising separate contracts for Construction Work, and Electrical Work, Provide Salt Storage Building, DOT Region 5, Niagara County, Witmer Road, Lewiston (Niagara County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Transportation, until 2:00 p.m. on Wednesday, March 4, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$23,000 for C and \$5,000 for E.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$500,000 and \$1,000,000 for C and between \$50,000 and \$100,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewycky, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

X Project commenced design before January 1, 2020. Not subject to provision.

Project commenced design on or after January 1, 2020. Subject to provision.

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the apparent low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must occur by August 25, 2020. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on February 19, 2020 at 15 Montegale Drive, Lewiston, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Lauren Clausen, (716-885-0908) a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 10% for MWBE participation, 5% for Minority-Owned Business Enterprises ("MBE") participation and 5% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work. The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewycky*, Deputy Director
OGS - Design & Construction Group

**PROVIDE
CLASSROOMS/OFFICE SPACE
Cayuga Correctional Facility
Moravia, Jefferson County**

Sealed bids for Project Nos. 46130-C, 46130-E, 46130-H and 46130-P, comprising separate contracts for Construction Work, Electrical Work, HVAC Work, and Plumbing Work to Provide Classrooms & Office Space, Building 38, Restricted Housing Program, Cayuga Correctional Facility, Route 38A, Moravia (Jefferson County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, March 4th, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$73,000 for C, \$24,600 for E, \$32,000 for H, and \$23,600 for P.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$2,000,000 and \$3,000,000 for C, between \$500,000 and \$1,000,000 for E, between \$500,000 and \$1,000,000 for H, and between \$250,000 and \$500,000 for P.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract

Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contract that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

X Project commenced design before January 1, 2020. Not subject to provision.

Project commenced design on or after January 1, 2020. Subject to provision.

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must be within 457 days after the Agreement is approved by the Comptroller. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 9:00 a.m. on February 21, 2020 at Cayuga Correctional Facility, Administrative Building, 2020 NY-38A, Moravia, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Kathy Pinckney, (315-253-8282) a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and

15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction, HVAC and Plumbing Work and an overall goal of 4% for MWBE participation, 2% for Minority-Owned Business Enterprises ("MBE") participation and 2% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical Work. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

Division of Homeland Security and Emergency Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

NONPUBLIC NONPROFIT SCHOOLS, NONPROFIT DAY CARE
CENTERS, NONPROFIT COMMUNITY CENTERS, NONPROFIT
CULTURAL MUSEUMS AND NONPROFIT RESIDENTIAL
CAMPS

State Fiscal Year 2019-2020 Securing Communities Against Hate Crimes (SCAHC)

Description:

Governor Andrew M. Cuomo is committed to ensuring the safety and equal treatment of all New Yorkers and as such has continued support of the Securing Communities Against Hate Crimes Program. This program is designed to boost safety and security at New York's nonprofit organizations at risk of hate crimes or attacks because of their ideology, beliefs, or mission. In support of this effort, \$25 million has been made available through this competitive grant program to eligible nonpublic nonprofit schools, nonprofit day care centers, nonprofit community centers, nonprofit cultural museums and nonprofit residential camps as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code which demonstrate a risk of a hate crime due to their ideology, beliefs or mission. Applications will be accepted for up to \$50,000 per facility. Eligible organizations may submit up to five applications for a maximum total request of \$250,000.

Applications will be accepted until February 27, 2020 at 5:00 p.m. through the New York State Division of Homeland Security and Emergency Services' (DHSES) electronic grants management system (E-Grants).

The RFA and other required documents can be found at: <http://www.dhSES.ny.gov/grants/nonprofit/hate-crimes.cfm>

Division of Homeland Security and Emergency Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

NONPUBLIC NONPROFIT SCHOOLS AND NONPROFIT DAY
CAMPS

State Fiscal Year 2019-20 Securing Communities Against Hate Crimes with Local Matching Funds (SCAHC Match Program)

Description:

Governor Andrew M. Cuomo is committed to ensuring the safety and equal treatment of all New Yorkers and as such has continued support of the Securing Communities Against Hate Crimes Program. This program is designed to boost safety and security at New York's nonprofit organizations at risk of hate crimes or attacks because of their ideology, beliefs, or mission. In support of this effort, \$20 million in grant funding has been made available through this competitive grant program to eligible nonpublic nonprofit schools, and nonprofit day camps as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code which demonstrate a risk of a hate crime due to their ideology, beliefs or mission. This program includes a cost match requirement. The applicant must coordinate and partner with local governments (e.g. counties, towns, villages, cities, etc.) to meet the cost match requirement. All applications must have a 3:1 ratio of State to local funding for total project costs. Cost match contributions may be in-kind contributions, cash contributions or a combination of both.

Applications will be accepted for up to \$50,000 per facility (with a local cost match per application). Eligible organizations may submit up to five applications for a maximum total request of \$250,000 (including local cost match).

Applications will be accepted until February 27, 2020 at 5:00 p.m. through the New York State Division of Homeland Security and Emergency Services' (DHSES) electronic grants management system (E-Grants).

The RFA and other required documents can be found at: <http://www.dhSES.ny.gov/grants/nonprofit/hate-crimes.cfm>

Workforce Development Initiative Consolidated Funding Application 2019 Program Guidelines

IMPORTANT PROGRAM UPDATE: New Phase 1 applications for the FY2020 Workforce Development Initiative (WDI) will be accepted until April 30, 2020. All applications submitted on or before April 30 will continue to be active and will be considered under current program guidelines. The Regional Economic Development Councils (REDCs) and the WDI review committee will continue to review completed Phase 1 applications and permit applicants to continue work on and submit open Phase 2 and SUNY Workforce Development Training Grant / Contract Course applications until May 29, 2020; review complete Phase 2 applications; and award funding. In May 2020, the Office of Workforce Development (OWD) will issue updated WDI program guidelines for FY2021. All updates on guideline reissuance will be posted at workforcedevelopment.ny.gov, and questions and comments may be directed to workforce@exec.ny.gov.

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SUNY 2020 Challenge Grant

Funding Available: Up to \$25 million

Purpose

Funding from the NY-SUNY 2020 Capital Challenge Grant Program will be distributed to SUNY institutions to support the needs of the Regional Workforce Development Initiative. These capital funds will help support the construction, rehabilitation, and/or purchase of classrooms, equipment, and / or other physical facilities tailored to meeting workforce development needs of regionally-significant, emerging, in-demand industries and / or occupations identified by the corresponding Regional Economic Development Council(s). Support through the NY-SUNY 2020 Capital Challenge Grant will help accomplish these tasks while also enhancing the academic mission of SUNY institutions and strengthening campus roles as an engine of regional economic development.

Strategic Criteria

Proposals must:

- ☐ Demonstrate projected progress toward the goal of supporting the physical infrastructure and related needs of the Regional Workforce Development Initiative.
- ☐ Note particular ties to strategic industries identified by the Regional Economic Development Council(s) and how the funding would assist in addressing the needs of regional/sector employer networks.
- ☐ Indicate how the proposed project will support the workforce development and educational advancement of the region within which funds would be granted.
- ☐ Provide a timeline to implementation with realistic milestones.
- ☐ Provide a project narrative, data, and pertinent budget information.
- ☐ Indicate and document consultation and coordination with SUNY System Administration, both in the submission and execution phases of the proposed activity.

Please note that proposals that include one or more of the following attributes will be viewed favorably:

- ☐ Demonstrated readiness of partnering with employers in the region, preferably with hiring plans for successful completers of training programs using facilities/equipment supported by the grant.
- ☐ Demonstrated collaboration across multiple institutions.
- ☐ Produce a benefit that can be concretely demonstrated to be scalable or replicable across the system and / or State.
- ☐ Demonstrate use of leveraged funding through philanthropic, in-kind, or existing campus funding to support project costs.

- ☐ Demonstrated ability to leverage existing infrastructure, faculty, and buildings.
- ☐ Provide a quick time frame to implementation, defined as having proposal components that are actionable (i.e. work will begin) within 12-15 months from award.
- ☐ Provide a demonstrated and clear pathway to long-term financial sustainability.

Finally, in general, Institutions are encouraged to develop and submit innovative proposals.

Performance Metrics:

While capital projects, purchase of equipment, or related capital type activities do not lend themselves to the traditional measuring of performance, Proposals made through the NY-SUNY 2020 Challenge Grant program will be expected to define and measure success against the following:

- ☐ Creation of and adherence to a project schedule with specific milestones that either correspond to specific workforce development project needs or facilitate the initiation and success of separate workforce development activities in the approved region.
- ☐ Limited training / research needed for successful implementation of project
 - Defined, for this purpose, as the ability to successfully utilize capital funds in an efficient and accelerated fashion to support workforce development initiatives with limited lead time or additional investment
- ☐ Ability of project to advance both academic needs and meet workforce development initiative needs
 - Defined, for this purpose, as the ability for the proposed project to help implement cutting edge research / emerging workforce needs that are tied to the new needs of the region.

Eligibility:

All SUNY institutions are eligible to participate.

Award Level:

\$25.0M is available for award
Minimum award is \$5.0M
Maximum award is \$25.0M.

*The SUNY Apprenticeship Program funding was awarded on September 23, 2019 to Mohawk Valley Community College to support workforce development apprenticeship initiatives in information technology, cybersecurity, artificial intelligence and other priority industries. SUNY colleges interested in working with MVCC on implementation of this new program across New York State should contact James Willey at JWilley@mvcc.edu.

SUNY Apprenticeship Program

Funding Available: Up to \$3 million

Purpose

The SUNY Apprenticeship Program will assist in developing pre-apprentice and Registered Apprenticeships in advanced manufacturing, healthcare, and other high need fields identified by the corresponding Regional Economic Development Council(s). In partnership with NYSDOL's Apprenticeship Office and SUNY System Administration through the Office of Community Colleges and the Education Pipeline, the program will leverage the resources and capacity of the Community Colleges, as well as other SUNY institutions, to provide expertise and support to expand Registered Apprenticeships (RA) tailored to meeting workforce development needs of regionally-significant, emerging, in-demand industries and occupations

Strategic Criteria

Proposals must:

- ☐ Provide a demonstrated ability to work in partnership with the New York State Department of Labor (NYSDOL).
- ☐ Outline the campus' ability to serve as lead and administer funds to other SUNY institutions as sub-awards.
- ☐ Demonstrate the ability to coordinate key regional sectors and workforce intermediaries in generating partnerships of employers.
- ☐ Coordinate activities to expand Registered Apprenticeships with a focus on engaging all levels of employers to secure paid RAs in high-skilled, high demand, competitive wage occupations in priority sectors identified by the Regional Economic Development Council(s).
- ☐ Focus on outreach, Related Instruction (RI) through non-credit and credit certificate and degree programs and hybrid and competency-based training and testing.
- ☐ Proposals should consider innovative ideas for pre-apprenticeship training, including new pathways for underrepresented populations.

Proposals must be coordinated through SUNY System Administration via the Office of Community Colleges and the Education Pipeline.

Eligibility: While all 30 SUNY community colleges are eligible to apply, two colleges will be selected to serve as leads in priority industries (outside of construction) not previously identified.

Award Level: \$3.0M is available for awards, with a Minimum Award of \$1.0M and a Maximum award of \$3.0M.

*The SUNY Apprenticeship Program funding was awarded on September 23, 2019 to Mohawk Valley Community College to support workforce development apprenticeship initiatives in information technology, cybersecurity, artificial intelligence and other priority industries. SUNY colleges interested in working with MVCC on implementation of this new program across New York State should contact James Willey at JWilley@mvcc.edu.

Reporting: Awarded institutions will be expected to furnish a mid-year and year-end report to the SUNY Office of Community Colleges and the Education Pipeline. Reports must include the following metrics:

- ☐ Number of Registered Apprentices
- ☐ Number of pre apprentices
- ☐ Number of first-time employers offering apprenticeships
 - Number of new employers included on SUNY Apprenticeship Program applications
 - Number of employers newly approved by NYSDOL working with SUNY Apprenticeship Program

SUNY Next Generation Job Linkage Program

Funding Available: Up to \$3 million

Purpose

Job Linkage provides program support for SUNY's Community Colleges' in regionally needed or emerging sector programs leading directly to employment and addressing regional workforce demands aligned with Regional Economic Development Council(s) goals. Programs eligible for support may be included within the areas of certificate, Associate of Occupational Studies, and Associate of Applied Sciences degrees.

Strategic Criteria

Programs must have a demonstrable connection to employer or industry needs that are documented through direct employer or industry feedback, an advisory committee, labor market data, or other forms of credible direct knowledge of the sector or workforce need.

Requests for funding may be in the following areas:

- ☐ Data collection/review and/or research to determine/guide program updates.
- ☐ Creation or enhancement of course offerings and/or curriculum development to meet a workforce need.
- ☐ Providing applied and/or experiential learning opportunities for students in an identified sector/program that support the workforce development needs of regionally-significant, emerging, in-demand industries and occupations identified by the corresponding Regional Economic Development Council(s).
- ☐ Equipment and supplies necessary to run the program.

Applications may be made by a single college, or a consortium of colleges, within the region with an identified lead.

Proposals must be coordinated through System Administration via the Office of Community Colleges and the Education Pipeline.

Eligibility: All 30 SUNY Community Colleges are eligible to apply.

Award Level: \$3.0M is available for awards, with a Minimum Award of \$10.0K and a Maximum award of \$0.5M.

Reporting: Awarded institutions will be expected to furnish a mid-year and year-end report to the SUNY Office of Community Colleges and the Education Pipeline. Reports must include the following metrics:

- ☐ Number of new courses created
- ☐ Number of courses enhanced
- ☐ Number of programs enhanced
- ☐ Number of applied and or experiential learning opportunities
- ☐ Overview of equipment purchased and programs enhanced with purchase
- ☐ Impact of student academic persistence and completion

SUNY Workforce Development Training Grant/Contract Courses

Funding Available: Up to \$1.9 million

Purpose

The Workforce Development Training Grant program provides funding for SUNY Community Colleges to operate workforce development/job training programs to businesses and organizations to promote and encourage the location and development of new business in the State, and to create and retain employment opportunities in local communities.

Strategic Criteria

All proposals should include training that is customized to the employer's needs. Three types of workforce training are eligible for funding:

- ☐ **Individual projects:** Projects that focus on training for a single employer in a particular training area or areas.
- ☐ **Consortium projects:** Projects that focus on a type of training that serves multiple employers or where multiple colleges work together as a regional consortium to train for an employer(s) in a specific area.
- ☐ **Demonstration projects:** A limited number of demonstration projects may be considered that develop and implement new and innovative courses, programs or curriculum.

The employer must contribute at least 25 percent of the total project cost in matching funds and at least 10 percent must be in the form of cash. The remaining 15 percent may be comprised of in-kind commitments.

Proposals must be coordinated through System Administration via the Office of Community Colleges and the Education Pipeline. Proposals for funding of \$15,000 or less will be subject to an expedited, one phase review process by SUNY. Applicants for \$15,000 or less proposals will be directed to a unique application portal, and will be required to complete both the Phase 1 and Phase 2 CFA questions in their initial application.

Eligibility: All 30 SUNY Community Colleges are eligible to apply.

Award Level: \$1.9M is available for awards, with a minimum award of \$500 and a maximum award of \$250,000.

Reporting: Awarded institutions will be expected to furnish a year-end report to the SUNY Office of Community Colleges and the Education Pipeline. Reports must include the following metrics:

- ☐ Number of employer partners
- ☐ Number of individuals trained
- ☐ Number of contact hours

CUNY 2020 Challenge Grant

Funding Available: Up to \$25 million

Purpose

Funding from the CUNY 2020 Capital Challenge Grant Program will be distributed to CUNY institutions to support workforce development initiatives CUNY-wide. These capital funds are to be used for renovations and/or purchase of equipment in support of Work Force Development programs that address needs in emerging, in-demand industries or occupations as identified by the local Regional Economic Development Council. Support through the CUNY 2020 Capital Challenge Grant will help accomplish these tasks while also enhancing the academic mission of CUNY institutions and strengthening campus roles as an engine of regional economic development.

Strategic Criteria

Proposals must:

- ☐ Demonstrate clear link to Regional Workforce Development Initiatives.
- ☐ Note particular ties to strategic industries identified by the Regional Economic Development Council and how the funding would assist in addressing the needs of regional/sector employer networks.
- ☐ Indicate how the proposed project will support the workforce development and academic advancement of the region within which funds would be granted.
- ☐ Provide a timeline for implementation with realistic milestones.
- ☐ Provide a project narrative, data, and pertinent budget information.
- ☐ Indicate and document consultation and coordination with CUNY Central Office, both in the submission and execution phases of the proposed activity.

Please note that proposals that include one or more of the following attributes will be viewed favorably:

- ☐ Demonstrated readiness of partnering with employers in the region, preferably with hiring plans for successful completers of training programs using facilities/equipment supported by the grant.
- ☐ Demonstrated collaboration across multiple institutions.
- ☐ A scalable or replicable benefit across the system and/or State; clear, evidence-based documentation to support this assertion must be included.
- ☐ Demonstrates use of leveraged funding through philanthropic, in-kind, or existing campus funding to support project costs.

- ☐ Proposals that incorporate a quick time frame to implementation, defined as having proposal components that are actionable (i.e. work will begin) within 12-15 months from award.
- ☐ Provide a demonstrated and clear pathway to long-term financial sustainability.

Finally, in general, institutions are encouraged to develop and submit innovative proposals.

Performance Metrics:

CUNY 2020 Challenge Grant program proposals should define and measure success against the following:

- ☐ Creation of and adherence to a project schedule, with specific milestones that either correspond to specific workforce development project needs or that facilitate the initiation and success of separate workforce development activities in the approved region.
- ☐ Calculate results measured in categories related to:
 - Additional academic capacity (ability to educate students, workforce, or general populace),
 - Workforce (measured in terms of the output of additional skilled workers), or
 - A combination of the above.
- ☐ Ability of the project to advance both academic needs and meet workforce development initiative needs:
 - Defined, for this purpose, as the ability of the proposed project to help implement cutting edge research/emerging workforce needs that are tied to the new needs of the region.

Eligibility:

All CUNY institutions are eligible to participate.

Award Level:

\$25.0M is available for award
Minimum award is \$5.0M
Maximum award is \$25.0M.

CUNY Apprenticeship Program

Funding Available: Up to \$2 million

Purpose

The CUNY Apprenticeship Program will assist in developing pre-apprentice and registered apprenticeships in technology, healthcare, construction/trades and other high needs fields identified by the corresponding Regional Economic Development Council. In partnership with NYSDOL's Apprenticeship Office, CUNY is well-positioned to leverage resources at the community colleges to provide expertise and support to expand apprenticeships tailored to meeting workforce development needs of regionally-significant, emerging, in-demand industries and occupations that can help create stable, professional careers for the University's students.

Strategic Criteria

Proposals must:

- Provide a demonstrated ability to work in partnership with the New York State Department of Labor (NYSDOL).
- Demonstrate the ability to coordinate key regional sectors and workforce intermediaries in generating partnerships of employers.
- Promote and strengthen current apprenticeship programs in the New York City area.
- Focus on outreach, Related Instruction (RI) through non-credit and credit certificate and degree programs and hybrid and competency-based training and testing.
- Enhance activities of existing programs such as ongoing development and alignment of curricula with on-the-job-training and employer needs.
- Engage all levels of employers to secure paid registered apprenticeships in high-skilled, high demand, competitive wage occupations identified by the Regional Economic Development Council (i.e. funds are not to be used for wages).
- Proposals should consider innovative ideas for pre-apprenticeship training, including new pathways for underrepresented populations.

Coordinate submission of proposal through CUNY System Office.

Eligibility: All CUNY community colleges are eligible for an award.

Reporting: Award recipients will be expected to furnish a mid-year and final narrative report to the CUNY Central Office. Reports must include the following metrics:

- ☐ Number of students in registered apprenticeship programs
- ☐ Number of students in pre-apprenticeship programs
- ☐ Number of employers that received CUNY Apprenticeship funds

- ☐ Number of employers offering apprenticeships to your students
- Number of employers whose apprenticeship became a “registered apprenticeship” because of their partnership with CUNY

Award Level: \$2.0M in total is available for awards, with an expected (4-5) awards to be made.

CUNY Next Generation Job Linkage Program

Funding Available: Up to \$2 million

Purpose

Support programs, education and training for students in high job demand industries aligned with Regional Economic Development Council goals that support living wages for participants. Programs eligible for support may be included within the areas of certificate and Associate of Applied Sciences degrees.

Strategic Criteria

Programs must have a demonstrable connection to employer or industry needs that are documented through direct employer or industry feedback, an employer advisory committee, labor market data, or other forms of credible direct knowledge of the sector or workforce need.

Requests for funding may be in the following areas:

- Support for students and programs in Associate's Degree programs and credit-bearing certificate programs
- ☐ Labor market research to determine/guide program updates or additions.
- ☐ Creation or enhancement of course offerings and/or curriculum development to meet a workforce need.
- ☐ Providing applied and/or experiential learning opportunities for students in an identified sector/program that support the workforce development needs of regionally-significant, emerging, in-demand industries and occupations identified by the corresponding Regional Economic Development Council.

Coordinate submission of proposal through CUNY System Office.

Proposals should identify how programs connect with labor market trends for the NYC region, and identify any partnerships with employers or industry advisory committees.

Eligibility: All CUNY community colleges are eligible to apply.

Reporting: Award recipients will be expected to furnish a mid-year and final narrative report to the CUNY Central Office. Reports must include the following metrics:

- ☐ Number of new courses created
- ☐ Number of courses enhanced
- ☐ Number of applied learning opportunities
- ☐ Number of job/internship placements
- ☐ Impact of student academic persistence and completion

Award Level: \$2.0M is available for awards.

Application Prompts:

1. Please provide a synopsis of your proposed program/initiative (100 words maximum).
2. How does your program align with the strategic criteria of the CUNY Next Generation Job Linkage Program?
3. What are the specific outcomes, goals, and/or deliverables for this initiative? How will you measure the impact of your program/initiative?
4. For new programs, provide labor market data that demonstrate the need for this program and the return on investment for students to earn this credential/degree.

For existing programs, provide the last two years' outcomes data that demonstrate the impact of your approach.

5. Describe the role of employer partners in your program and identify established partnerships (company/organization name and year partnership began).
6. What challenges do you foresee to achieving program success and what steps will you take to mitigate those challenges?
7. Provide a budget using the FY20 Budget Worksheet

CUNY Workforce Development Training Grant/Contract Courses

Funding Available: Up to \$1.9 million

Purpose

The CUNY Workforce Development Training Grant program is intended to enhance and support programs and initiatives to encourage collaborative efforts with industry to develop a highly-skilled workforce and address needs in NYC economic region particularly in the technology, healthcare, advanced manufacturing, and sustainability/resiliency industries. This program offers funding to develop specific and customized training to cohorts of students from individual employers or a consortium of employers with similar needs.

All proposals must have documented employer partners with whom the training is collaboratively built.

Strategic Criteria

- ☐ Engage in meaningful relationships with industry and work directly with employers to improve academic program alignment to key sectors.
- ☐ Proposals should reflect a mix of industry-aligned coursework and skills trainings in order to give participants hands-on, applicable skills.
- ☐ Employ a career pathways approach to connect students to work with the provision of wraparound services, retention, and/or job placement services.
- ☐ Develop partnerships with companies to create and deliver learning-related solutions to skills gaps.

Coordinate submission of proposal through the CUNY System Office.

Eligibility: All CUNY community colleges are eligible to apply.

Reporting: Award recipients will be expected to furnish a mid-year and final narrative report to the CUNY Central Office. Reports must include the following metrics:

- ☐ Number of employer partners
- ☐ Number of employees trained
- ☐ Number of contact hours

Award Level: \$1.88M is available for awards in total.

Employee Training Incentive Program*Funding Available: Up to \$5 million***Objective**

The Employee Training Incentive Program provides refundable tax credits to New York State employers for procuring skills training that upgrades or improves the productivity of their employees. Businesses can also receive tax credits for approved internship programs that provide training in advanced technology, life sciences, software development or clean energy.

Overview

Tax credits may be awarded for costs associated with an eligible training program for current or new employees. The internship program is available for current students, recent graduates and recent members of the armed forces. Tax credits may be issued only after approved training is completed.

- └ Employee Training Incentive Program: a credit of 50% of eligible training costs, up to \$10,000 per employee receiving eligible training.
- └ Internship Program: a credit of 50% of the stipend paid to an intern, up to \$3,000 per intern.

Eligibility

A business entity must submit an initial application for approval prior to procuring eligible training or retaining interns. Applicants must demonstrate that the training provider has suitable experience and expertise specific to the training for which assistance is being sought.

Employee Skills Training

Businesses must make a significant capital investment resulting in a benefit-cost ratio of at least 10:1 in relation to the eligible training project. Businesses must operate predominantly in a strategic industry based upon the following criteria:

- └ Potential to create jobs in an economically distressed area
- └ Shortages of workers trained to work in that industry
- └ Ability and need to relocate to another state to find qualified workers
- └ Potential to recruit minorities and women to be trained to work in an industry where they are traditionally underrepresented
- └ Recent technological advances have created disruption in the industry and significant capital investment is needed to remain competitive

Internship Program

An eligible internship program must provide training in advanced technology, life sciences, software development or clean energy.

Advanced technology means the research, development and manufacturing of goods and their applications in the areas of advanced materials and processing technologies, integrated electronics, optics, biotechnology, information and communication technologies, automation and robotics, electronics packaging, imaging technology, remanufacturing, and other such areas as the commissioner shall determine.

Life Sciences means agricultural biotechnology, biogenetics, bioinformatics, biomedical engineering, biopharmaceuticals, academic medical centers, biotechnology, chemical synthesis, chemistry technology, medical diagnostics, genomics, medical image analysis, marine biology, medical devices, medical nanotechnology, natural product pharmaceuticals, proteomics, regenerative medicine, RNA interference, stem cell research, medical and neurological clinical trials, health robotics and veterinary science.

Software development means firms engaged in the creation of coded computer instruction.

Clean energy means sources of energy which are capable of being continually restored by natural or other means or are so large as to be useable for centuries without significant depletion and include but are not limited to solar, wind, plant and forest products, wastes, tidal, hydro, geothermal, deuterium, and hydrogen. Fossil fuels are excluded.

Training can be provided by the business or by an approved provider and can be provided to interns who have not previously participated in an eligible internship program, and who are not current or former employees of the business. The business entity must have fewer than 100 employees, and interns cannot comprise more than 50% of the workforce, or displace regular employees. Participation in the internship program cannot last longer than 12 months.

Ineligible Activities/Industries

Training designed to train or upgrade skills as required by a federal or state entity, training that may result in the awarding of a license or certificate required by law in order to perform a job function, and culturally focused training are not eligible for tax credits under the program.

The following types of businesses are also prohibited from participating in the program:

- ▢ Accounting firms

- Businesses engaged in the generation or distribution of electricity, the distribution of natural gas, or the production of steam associated with the generation of electricity
- Businesses providing business administrative or support services
- Businesses providing personal services
- Businesses providing utilities
- Finance and financial services retail and wholesale businesses
- Hospitality
- Law firms
- Medical or dental practices
- Real estate brokers
- Real estate management companies
- Restaurants

NYS Department of Labor – Workforce Development Initiatives Program

Funding Available: Up to \$25 million

Description

The Workforce Development Initiatives Program makes up to \$25 million available to award grants on an ongoing basis to provide occupational skills training commensurate with Regional Economic Development Council (REDC) priorities to: existing employees; newly hired employees; and/or underemployed/unemployed individuals (to qualify them for full-time (35-hours per week or more) or part-time employment or a higher level of employment).

Occupational skills training is defined as instruction conducted in an institutional or worksite setting designed to provide individuals with the skills required to perform a specific job or group of jobs needed by a business.

Eligible Project Type Descriptions

There are three program types under the NYS Department of Labor Workforce Development Initiatives Program:

1. Existing Employee Training (EET) Program;
2. New Hire Training (NHT) Program; and
3. Unemployed/Underemployed Worker Training (UWT) Program.

1. Existing Employee Training Program – up to \$10 million

The Existing Employee Training (EET) Program provides funding to train businesses' existing employees who are currently employed in low or middle-skills occupations.

Middle-skills occupations are defined as those requiring a level of preparation to work in that occupation that includes post-secondary education and training beyond high school but less than a bachelor's degree. The postsecondary education and/or training may include an associate's degree, vocational certificates, significant on-the-job training, previous work experience, or some college.

The position(s) targeted for training must exist and be identified at the time the application is submitted.

Part-time employees are eligible for training under this grant if they have a permanent, year-round attachment to the applicant. Temporary employees, seasonal employees, public (federal, state, county, municipal, public authority and public benefit corporation) employees and volunteers are not eligible for training under the EET Program.

Allowable costs under the EET program include the following:

- The costs of outside vendors or in-house trainers to provide on-site or off-site classroom training. Training provided by in-house staff may not be billed at a per trainee rate. The EET Program will only reimburse the actual hourly wage rate (salary only, no fringe benefits) of the in-house trainer. Training by in-house staff must be for a minimum of two trainees per course.
- Textbooks or training materials directly associated with the training.
- Distance learning fees (i.e., the fee for the training slot and software required to deliver the program of training). The EET program will not pay for the cost of any hardware that may need to be purchased in order to access the instruction.
- Credentialing exam fees.

2. New Hire Training Program – up to \$6 million

The New Hire Training (NHT) Program awards funding to train employees upon being hired, who require on-the-job training in specific occupational skills. Applicants are eligible to receive reimbursement for up to 75% of the newly hired employee's wages (depending on size of business) for a period of time appropriate for the employee to become proficient in the occupation skill, but not to exceed one year (maximum award period). A newly hired worker under this NHT RFA must have been hired as an employee of the Applicant business within six (6) months of the start of the training.

Additional NHT Program requirements include the following:

- The training must apply to a job opportunity for full-time employment (defined as 35 hours or more per week) in New York State paying at least the NYS minimum wage, with an emphasis on higher wages. Wage calculations to determine NHT Program reimbursement may not include payment for holiday or overtime hours worked.
- The training must occur on-the-job while the trainee is engaged in productive work.
- The new hires must be employees of the applicant, and not independent contractors or contract employees.
- Eligible applicants may only apply for one NHT Program grant under this solicitation, not one per location.
- The applicant may not apply for seasonal positions or positions based on the addition of commission or tips to a sub-minimum wage base salary.
- The hiring business must be willing to assure that:
 - The intention in hiring is for the newly hired employee to remain employed with the business at the same or higher rate of pay upon completion of the training.
 - The training will take place during the newly hired employee's work hours (i.e., during the shift/hours for which the worker was hired) and the employee will be compensated at no less than their normal rate of pay.

- No currently employed worker shall be displaced by the newly hired employee, including a partial displacement such as a reduction in the hours, wages, or employment benefits.
- Training is in compliance with New York State labor law and federal law for the protection of workers.

Additional points in scoring will be given to applications that train unemployed/underemployed individuals in priority populations, which include but are not limited to: veterans, individuals with disabilities, formerly incarcerated individuals, long-term unemployed, and TANF and SNAP recipients. The complete list of priority populations under this program is available on the NYSDOL website:
<https://www.labor.ny.gov/cfa/CFA-WDI-DPP-Determining-Priority-Populations.pdf>.

3. Unemployed/Underemployed Worker Training Program – up to \$9 million

The Unemployed/Underemployed Worker Training (UWT) Program awards funding for occupational skills training to unemployed/underemployed workers to qualify them for: full-time employment (35-hours per week or more); part-time employment; and/or a higher level of employment.

Additional points in scoring will be given to applications that train unemployed/underemployed individuals in priority populations, which include but are not limited to: veterans, individuals with disabilities, formerly incarcerated individuals, long-term unemployed, and TANF and SNAP recipients. The complete list of priority populations under this program is available on the NYSDOL website:
<https://www.labor.ny.gov/cfa/CFA-WDI-DPP-Determining-Priority-Populations.pdf>.

Applicants must demonstrate a commitment from business(es) to interview individuals who successfully complete the training.

Allowable costs under this program include:

- The cost of providing occupational skills training course(s) as a tuition rate;
- Credentialing exam fees;
- Textbooks or training materials directly associated with the training;
- Software required to deliver the program of training;
- Distance learning fees (i.e., the fee for the training slot and software required to deliver the program of training). This program will not pay for the cost of any hardware that may need to be purchased in order to access the instruction; and
- Supportive services for trainees which may include: miscellaneous participant expenses; incentives for reaching benchmarks; payments for transportation, child care, housing, and dependent care.

Eligible Applicants**EET Program and NHT Program**

- For-profit entities, including corporations, LLCs, LLPs, etc. with two or more employees or the equivalent of two full-time employees; or
- Not-for-profit entities with two or more employees or the equivalent of two or more full-time employees.

UWT Program

- For-profit entities, including corporations, LLCs, LLPs, etc. with two or more employees or the equivalent of two full-time employees;
- Not-for-profit entities with two or more employees or the equivalent of two or more full-time employees;
- Municipalities with two or more employees or the equivalent of two full-time employees; and
- Educational institutions, including colleges and universities, with two or more employees or the equivalent of two full-time employees.

Note that:

- Unincorporated Local Workforce Development Boards (LWDBs) must designate the local area's WIOA Grant Recipient or Fiscal Agent as the official grantee for any award under this offering.
- Training should be provided by the training providers on the Eligible Training Provider List, but this is not a requirement.
- Eligible applicants are allowed (i.e., have authority) to enter into contracts with institutions of higher education, such as community colleges, or other eligible training providers to facilitate the training of multiple individuals in high-demand occupations.
- LWDBs cannot deliver training directly with these WIOA funds.

Method of Selection

The method of selection will be based on a point system, with the program design worth 80% of the total score and program cost worth 20% of the total score. Applications will be reviewed in the order they are received. Each application will be scored on its individual merit and will not be compared to other applications. Successful applicants will be awarded until the funds allocated to the program have been exhausted. Eligible applications that fail to attain the total score necessary for award will be notified and are eligible to revise their applications and reapply, if sufficient time and funding remain.

Grants Gateway Process

In keeping with the Governor's promise to reform the State's grant contracting process, New York State established a standardized statewide grant contracting system called the Grants Gateway, which is designed to facilitate prompt contracting.

- **All applicants** are required to register in this system in order to be able to enter into a contract with New York State. All entities must log-in to the Grants Gateway website at <https://grantsgateway.ny.gov> and follow the instructions to complete the registration. The registration form must be signed, notarized and mailed to Gateway Administrators. Plan accordingly to avoid potential delays in applying for upcoming grant opportunities.
- **Non-governmental not-for-profit organizations** must take the additional step of prequalifying by completing a basic profile and storing organizational documents. Both registration and prequalification must be completed by not-for-profit organizations before application submission. Failure to do so will mean that their applications will not be reviewed. Not-for-profit organizations will be able to submit their responses online, and, once reviewed and approved by a state agency prequalification specialist, the not-for-profit organization will be able to complete the application process, and all information will be stored in a virtual, secured vault. Not-for-profit organizations must keep their information current throughout the three-year period, including uploading annual documents (990, etc.).

For additional information on registration and prequalification, please log on to the Grants Gateway web site at <https://grantsgateway.ny.gov> and/or the Grants Reform Website at www.grantsreform.ny.gov.

Award, Conditions & Requirements

Awards

EET Program

- Awards may not exceed \$100,000 for applicants with 2-50 employees; \$200,000 for applicants with 51-100 employees; or \$300,000 for applicants with 101 or more employees.

NHT Program

- Awards may not exceed \$100,000 per applicant.

UWT Program

- Awards may not exceed \$200,000 per applicant.

Eligible applicants may apply for funding under one or more of these programs, however the funds awarded cannot be combined for use on the same trainees.

Contracts

The start date for all contracts resulting from this solicitation may be no earlier than the date of the award letter issued by NYSDOL and no later than six months after the date of the award letter. Any training that begins or is paid for prior to the contract start date will fall outside the contract period and be ineligible for reimbursement. Additionally, any training provided after the contract end date will also fall outside the contract period and will be ineligible for reimbursement.

Contracts resulting from this solicitation will be awarded for a period of up to one year. Applicants must include only the training opportunities that can be reasonably accomplished within a one-year time period. Only private or public not-for-profit organizations and LWDBs funded under the UWT Programs and private not-for-profit organizations under the EET program will be eligible for a cash advance of up to 25% upon contract execution at the sole discretion of NYSDOL and subject to the availability of funds appropriated and available for contracts entered into pursuant to this solicitation. Any award must be expended on program activities in New York State.

Once a contract is developed and formally executed, the successful applicant will be considered a NYSDOL Contractor. Funds will be released to the Contractor on a cost reimbursement basis. This means that a Contractor must first pay the expenses and then submit a voucher to NYSDOL for reimbursement. Vouchers must be submitted to NYSDOL on the prescribed forms before payment is made. For cost reimbursements to be approved, certain records must be kept and specific documents submitted.

Contact / Additional Program Information:

The contact for this program is Juie Deo, New York State Department of Labor, Division of Employment and Workforce Solutions, State Office Campus, Building # 12, Room # 440, Albany, New York, 12240, (518) 457-1856.

Applicants may submit questions via electronic mail (CFA@labor.ny.gov). No telephone inquiries will be accepted. All inquiries should reference "CFA Question" in the Subject line. Answers to all questions will be posted on NYSDOL's website (<http://labor.ny.gov/businessservices/funding.shtm>) on an ongoing basis.

The full Request for Applications (RFAs) and any related questions and answers are available on NYSDOL's web site at <http://www.labor.ny.gov/businessservices/funding.shtm> and at <http://labor.ny.gov/cfa/index.shtm>.

The New York State Department of Labor is an Equal Opportunity Employer. Auxiliary aids and services are available upon to individuals with disabilities.

Pay for Success Program

Funding Available: Up to \$51 million

Description

The Pay for Success (PFS) Program makes available up to \$51 million in funding to award grants, on a competitive basis commensurate with Regional Economic Development Council (REDC) priorities, to provide job linkage, training, and/or employment services to individuals. Funding will be provided to the entity providing the training or employing an individual upon certification that predetermined milestones of performance were met and certified by the Office for Workforce Development.

Preference will be given to proposals that provide services to individuals in priority populations, which include but are not limited to: veterans, individuals with disabilities, formerly incarcerated individuals, long-term unemployed, and recipients of Temporary Assistance and Supplemental Nutrition Assistance Program (SNAP). The complete list of priority populations under this program is presented in an Attachment of the solicitation.

The method of selection will be based on a two-phase selection process that includes recommendations by the REDCs and a final determination by an interagency committee.

Eligible Applicants

- Training providers with two or more employees, or the equivalent of two or more full-time employees.
- Organizations, nonprofits, and local governments that have the capacity to manage transformative workforce projects in the region.
- Business enterprises operating in New York State or planning to operate in the State.
- All eligible applicants will have a demonstrated record of securing employment for clients and program participants.

Pay for Success Projects

- ☐ Applicants should propose projects that connect job seekers to employment and provide training, educational, or other services to job seekers with the ultimate outcome of employment for the job seeker.
- ☐ Proposals will identify the types of services that will be provided to ensure positive outcomes.
- ☐ Successful outcomes must have attaining employment and job retention for at least six months as the primary criteria.

- Applicants must demonstrate that they have funds on hand to support the project through the end of the initial milestone that is agreed to between the funder and the application.
- Contracts will be for the length of one year, with the possibility of extension as appropriate and if performance measures are being met.
- Receipt of the full award is contingent upon demonstrating the successful completion of all predetermined performance targets. If the awardee is unable to demonstrate the required results, for each target, some or all the funds may be withheld. Funds may be provided incrementally with the risk of recapture at the various pre-determined milestones, provided that the ultimate milestone must be the achievement and/or maintenance of employment for the individual.

In keeping with the Governor's promise to reform the State's grant contracting process, New York State established a standardized statewide grant contracting system called the Grants Gateway, which is designed to facilitate prompt contracting.

- All applicants are required to register in this system in order to be able to enter into a contract with New York State. All entities must log-in to the Grants Gateway website at <https://grantsgateway.ny.gov> and follow the instructions to complete the registration. The registration form must be signed, notarized and mailed to Gateway Administrators. Plan accordingly to avoid potential delays in applying for upcoming grant opportunities.
- Private not-for-profit organizations must take the additional step of prequalifying by completing a basic profile and storing organizational documents. Both registration and prequalification must be completed by private not-for-profit organizations before the contract execution of successful applicants. Failure to do so will mean that their contracts will not be executed. Private not-for-profit organizations will be able to submit their responses online, and, once reviewed and approved by a state agency prequalification specialist, the private not-for-profit organization will be able to complete the contracting process, and all information will be stored in a virtual, secured vault. Private not-for-profit organizations must keep their information current throughout the three-year period, including uploading annual documents (990, etc).

For additional information on registration and prequalification, please log on to the Grants Gateway web site at <https://grantsgateway.ny.gov> and/or the Grants Reform Website at www.grantsreform.ny.gov.

Award, conditions & requirements

Matching Fund Requirements

The PFS Programs does not have match requirements, but leveraged funds will be looked at favorably during the evaluation process.

Contracts

Contracts resulting from this solicitation will be awarded for a period of up to two years. Any award must be expended on program activities in New York State.

*Effective 5:00pm ET Friday, February 21, 2020, applications for NYSERDA's Building Operations & Maintenance Program (PON 3715) will no longer be accepted through the Workforce Development Initiative (WDI) CFA. On Monday, February 24, 2020, PON 3715 will be available at https://portal.nyserdera.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000000Zn7WNA_AZ, and proposers can apply directly to NYSERDA as indicated in the PON. Program guidelines for a new NYSERDA WDI program will be issued by May 2020.

Workforce Training: Building Operations & Maintenance

Funding Available: Up to \$10 million

Description

NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use, associated carbon emissions, and building operations costs by enhancing the skills of operations and maintenance staff and managers across the State. The Program provides employers and building owners with support to implement workforce development and training projects that create the talent development strategy, corporate culture, on-site training framework, and training tools needed to support building operations and maintenance workers beyond classroom training. NYSERDA will support eligible projects by providing funding for activities such as, but not limited to, on-site training laboratories, curriculum development, career pathways training, coaching/mentorships, apprenticeships, internships, training trainers within a company, and partnerships with manufacturers. Projects submitted to this program should be designed to help employers build upon their employees' technical skills and reduce facility energy use, while realizing other corporate benefits such as reduced equipment downtimes, increased occupant comfort, reduced occupant complaints and tenant turnover, increased numbers of staff with national certifications, and opportunities for promotion and career advancement.

This program targets the operations and maintenance workforce employed in the following building types: multifamily housing, office buildings, retail, colleges and universities, hospitals and health care facilities, State and local governments, not-for-profit and private institutions, industrial facilities, and public and private K-12 schools. Other building types will be evaluated on a case-by-case basis. Eligible participants include facilities that are New York State electricity customers of a participating utility company and are paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF). While a training organization may be the lead proposer, it must partner with a specified entity employing building operations and maintenance workers. Proposals must impact staff working in buildings or groups of buildings, including partnerships of businesses with common training needs and skills gaps that have total annual energy expenditures of \$1 million or more. Building operations and maintenance occupations or job titles that are targeted for hands-on and on-site training under this program may include, but are not limited to, the following: facilities and property managers; operating and stationary engineers; technicians; building superintendents; maintenance workers; mechanics and supervisors; electricians; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers. Potential cost reduction and efficiency improvements achieved through training could target, but are not limited to HVAC systems and controls; building envelope; mechanical systems; building diagnostics; pneumatic systems and controls; building set points and temperature standards; and lighting and lighting controls, motors, etc.

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NYSERDA will provide cost share of up to 50% with a cap of \$400,000 per application.

Contact

- Angela Datri
(518) 862-1090, Ext. 3515
- Adele Ferranti
(518) 862-1090, Ext. 3206

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.

NOTICE OF PUBLIC HEARING

Department of Labor
Farm Laborers Overtime

The New York State Department of Labor announces public hearings before a wage board for farm laborers pursuant to Articles 19 and 19-A of the Labor Law. The board will hear testimony about reducing the threshold for overtime below 60 hours per week and whether to do so in phases.

The dates, times, and locations of such public hearings are as follows:

- Friday February 28 – 11am – Albany – New York State Museum Cultural Education Center, Clark Auditorium, 222 Madison Avenue, Albany, NY 12230
 - Friday March 13 – 11am – Syracuse – Onondaga Community College, Storer Auditorium, 4585 W. Seneca Turnpike, Syracuse, NY 13215
 - Monday March 23 – 11am – Binghamton – Binghamton University, Symposium Hall, Center of Excellence Building Innovative Technology Complex, 45 Murray Hill Road, Vestal, NY 13850
 - Thursday April 16 – 11am – Long Island – Brookhaven Town Hall, 1 Independence Hill, Farmingville, NY 11738
 - Thursday April 23 – 11am – Batavia – Geneseo Community College, William Stuart Forum, 1 College Rd., Batavia, NY
- Additional information is available at:
<https://www.labor.ny.gov/farmwageboard>

Notificación de Audiencias Publica
Departamento del Trabajo

Trabajo Extraordinario de Trabajadores Agrícolas

El Departamento de Trabajo del Estado de Nueva York notifica que se llevara a cabo Audiencias Públicas ante una Comisión de Salario para Trabajadores Agrícolas de acuerdo al Artículo 19 y 19-A de las

leyes laborales. La Comisión de Salario tomara testimonio con respecto a la reducción de los límites del pago por horas extras por debajo de 60 horas y si tal reducción se debe hacer en etapas progresivas.

Las fechas, horas y ubicaciones de dichas Audiencias Públicas son las siguientes:

- Viernes 28 de febrero de 2020 – Albany - New York State Museum Cultural Education Center, Clark Auditorium, 222 Madison Avenue, Albany, NY 12230
- Viernes 13 de marzo de 2020 – Syracuse - Onondaga Community College, Storer Auditorium, 4585 W. Seneca Turnpike, Syracuse, NY 13215
- Lunes 23 de marzo de 2020 – Binghamton - Binghamton University, Symposium Hall, Center of Excellence Building Innovative Technology Complex, 45 Murray Hill Road, Vestal, NY 13850
- Jueves 16 de abril de 2020 – Long Island - Brookhaven Town Hall, 1 Independence Hill, Farmingville, NY 11738
- Jueves 23 de abril de 2020 – Batavia - Geneseo Community College, William Stuart Forum, 1 College Rd., Batavia, NY

Puede encontrar información adicional en: <https://www.labor.ny.gov/farmwageboard>

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 March 2020 will be conducted on March 11 and March 12 commencing at 10:00 a.m. This meeting will be conducted at NYS Media Services Center, Suite 146, South Concourse, Empire State Plaza, Albany, NY with live coverage available at <https://www.cs.ny.gov/commission/>.

For further information, contact: Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. One, Albany, NY 12239, (518) 473-6598

PUBLIC NOTICE

Division of Criminal Justice Services
Commission on Forensic Science

Pursuant to Public Officers Law section 104, the Division of Criminal Justice Services gives notice of a meeting of the New York State Commission on Forensic Science to be held on:

Date: March 11, 2020
Time: 9:00 a.m. - 1:00 p.m.
Place: Division of Criminal Justice Services
Alfred E. Smith Office Bldg.
CrimeStat Rm. 118
80 S. Swan St.
Video Conference with:
Empire State Development Corporation (ESDC)

633 3rd Avenue
37th Floor/Conference Room
New York, NY

*Identification and sign-in required

*Identification and sign-in is required at this location. *For further information, or if you need a reasonable accommodation to attend this meeting, contact:* Elizabeth Suparmanto, Division of Criminal Justice Services, Office of Forensic Services, 80 Swan St., Albany, NY 12210, (518) 485-5052

PUBLIC NOTICE

Division of Criminal Justice Services Law Enforcement Agency Accreditation Council

Pursuant to Public Officers Law § 104, the NYS Division of Criminal Justice Services gives notice of a meeting of the Law Enforcement Agency Accreditation Council to be held on:

Date: Thursday, March 5, 2020
Time: 10:00 a.m.
Place: Division of Criminal Justice Services
Alfred E. Smith Office Bldg.
80 S. Swan St.
CrimeStat Rm. (Rm. 118)
Albany, NY 12210

Identification and sign-in are required at this location. *For further information, or if you need a reasonable accommodation to attend this meeting, please contact:* Division of Criminal Justice Services, Office of Public Safety, Alfred E. Smith Office Bldg., 80 S. Swan St., Albany, NY 12210, (518) 457-2667

Live Webcast will be available as soon as the meeting commences at: <http://www.criminaljustice.ny.gov/pio/openmeetings.htm>

PUBLIC NOTICE

Division of Criminal Justice Services Municipal Police Training Council

Pursuant to Public Officers Law § 104, the NYS Division of Criminal Justice Services gives notice of a meeting of the Municipal Police Training Council to be held on:

Date: Wednesday, March 4, 2020
Time: 10:00 a.m.
Place: Division of Criminal Justice Services
Alfred E. Smith Office Bldg.
80 S. Swan St.
CrimeStat Rm. (Rm. 118)
Albany, NY 12210

Identification and sign-in are required at this location. *For further information, or if you need a reasonable accommodation to attend this meeting, please contact:* Division of Criminal Justice Services, Office of Public Safety, Alfred E. Smith Office Bldg., 80 S. Swan St., Albany, NY 12210, (518) 457-2667

Live Webcast will be available as soon as the meeting commences at: <http://www.criminaljustice.ny.gov/pio/openmeetings.htm>

PUBLIC NOTICE

Department of Health

In July 1997, New York State received approval from the Centers for Medicare and Medicaid Services ("CMS") for its "Partnership Plan" Medicaid Section 1115 Demonstration (the "1115 Demonstration"). In implementing the 1115 Demonstration, the State sought to achieve the following goals:

- Improve access to health care for the Medicaid population;
- Improve the quality of health services delivered; and
- Expand coverage to additional low-income New Yorkers with resources generated through managed care efficiencies.

In furtherance of these goals, the primary objective of the 1115 Demonstration was to enroll most of the State's Medicaid population into managed care, and to use a managed care delivery system to deliver benefits to Medicaid recipients, create efficiencies in the Medicaid program and enable the extension of coverage to certain individuals who would otherwise be without health insurance.

The 1115 Demonstration was last renewed by CMS on December 7, 2016 and, at the time of renewal, the name of 1115 Demonstration was changed from the Partnership Plan to the New York Medicaid Redesign Team ("MRT") Waiver. Since the MRT Waiver's renewal, this waiver has been amended to reflect programmatic needs. Under the waiver, the State is required to seek Federal approval of any amendments.

The Department is seeking to include two additional reasons for terminating 12-month continuous coverage. New York's current exceptions include the following conditions:

- The individual cannot be located;
- The individual is no longer a New York State resident;
- The individual requests termination of eligibility;
- The individual dies;
- The individual fails to provide, or cooperate in obtaining a Social Security Number, if otherwise required;
- The individual was determined eligible for Medicaid in error;
- The individual is receiving treatment in a setting where Medicaid eligibility is not available (e.g. institution for mental disease);
- The individual is receiving care, services or other supplies under a section 1915 waiver;
- The individual was previously otherwise qualified for emergency medical assistance benefits only, based on immigration status, but is no longer qualified because the emergency has been resolved;
- The individual fails to provide the documentation of citizenship or immigration status required under federal law;
- The individual is incarcerated;
- The individual turns 65 years of age is no longer eligible for the Adult Group; and
- The individual policy holder fails to provide documentation of third-party health insurance.

New York is seeking to provide two additional reasons for terminating 12-month continuous coverage, which are as follows and align with the current exceptions:

- The individual fails to comply with federal and state requirements for absent parents to provide available health insurance or medical support to their children; and
- The individual fails to pursue available third-party health insurance coverage.

Continuous coverage was adopted to allow at-risk, vulnerable individuals to retain Medicaid coverage for 12 months, even when the individual would otherwise lose eligibility for Medicaid due to a change in their income. This maintenance of Medicaid enrollment when recipients have increased earnings reduces the risk of financial hardship due to an unexpected event. These two additional reasons for terminating 12-month continuous coverage were omitted from the original proposal inadvertently, and the inclusion of these exceptions align eligibility rules with existing Medicaid eligibility requirements and ensure that the intent of the regulation is met. When continuous coverage was adopted in New York, it was never the intent to allow an individual's failure to comply with a condition of Medicaid eligibility to justify a change in eligibility for the purpose of allowing 12 months of continuous coverage.

As the population subject to these proposed amendments is estimated to include approximately 125 recipients in total, any impact on the annual total enrollment of 2.8 million demonstration recipients is expected to be nominal and not separately identifiable from normal

year-over-year enrollment activity. Accordingly, this amendment is anticipated to result in de minimis federal savings. Given these factors, the State does not anticipate any impact on the annual average demonstration cost of \$40 billion and, therefore, the State does not anticipate any impact on Budget Neutrality of the demonstration resulting from the adoption of this amendment.

Written comments will be accepted at: 1115waivers@health.ny.gov or by mail at Department of Health, Office of Health Insurance Programs, Waiver Management Unit, 99 Washington Ave., 12th Fl., Suite 1208, Albany, NY 12210

All comments must be postmarked or emailed by 30 days from the date of this notice.

PUBLIC NOTICE

Department of State
Notice of Review of Request for
Brownfield Opportunity Area
Conformance Determination
Project: 68 Tonawanda Street
Location: City of Buffalo Tonawanda Street
Corridor Brownfield Opportunity Area
City of Buffalo, Erie County

In accordance with General Municipal Law, Article 18 - C, Section 970-r, the Secretary of State designated the Tonawanda Street Corridor Brownfield Opportunity Area, in the City of Buffalo, on November 27, 2017. The designation of the Tonawanda Street Corridor Brownfield Opportunity Area was supported by a Nomination or a comprehensive planning tool that identifies strategies to revitalize the area which is affected by one or more known or suspected brownfield sites.

Pursuant to New York State Tax Law, Article 1, Section 21, the eligible taxpayer(s) of a project site located in a designated Brownfield Opportunity Area may apply for an increase in the allowable tangible property tax credit component of the brownfield redevelopment tax credit if the Secretary of State determines that the project conforms to the goals and priorities established in the Nomination for a designated Brownfield Opportunity Area.

On January 28th, 2020, Buffalo Freight House LLC submitted a request for the Secretary of State to determine whether 68 Tonawanda Street, which will be located within the designated Tonawanda Street Corridor Brownfield Opportunity Area, conforms to the goals and priorities identified in the Nomination that was prepared for the designated Tonawanda Street Corridor Brownfield Opportunity Area.

The public is permitted and encouraged to review and provide comments on the request for conformance. For this purpose, the full application for a conformance determination is available online at: https://www.dos.ny.gov/opd/programs/pdfs/BOA/B&YlettertoNYSDOS_BOA_68Tonawanda.pdf

Comments must be submitted no later than March 27th, 2020, either by mail to: Christopher Bauer, Department of State, Office of Planning and Development, 65 Court St., Suite 208, Buffalo, NY 14202, or by email to: chris.bauer@dos.ny.gov

PUBLIC NOTICE

Department of State

An open board meeting of the NYS Hearing Aid Dispensing Advisory Board will be held on March 10, 2020 at 11:00 a.m. at the Department of State, 99 Washington Avenue, 5th Floor Conference Room, Albany; 65 Court Street, 2nd Floor Conference Room, Buffalo; and, 123 William Street, 2nd Floor Conference Room, New York City.

Should you require further information, please contact: Denise Tidings at Denise.Tidings@dos.ny.gov or (518) 402-4921

PUBLIC NOTICE

Department of State
F-2019-1065

Date of Issuance – February 26, 2020

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.

In F-2019-1065 or the “68 Peconic Ave Dock Construction”, the applicant Peconic on Shelter, LLC, is proposing to install a 5-foot-wide by 7-foot-long stair structure leading down to a 5-foot-wide by 150-foot-long, on the western and eastern side of the landward end of the proposed pier structure; on the seaward end of the proposed pier, installation of a 5’foot’ wide by 30-foot-long fixed pier forming an “L” shaped pier structure; along the southwestern side of the proposed 150-foot-long pier structure, installation of a 5-foot-wide by 30-foot-long fixed platform; and west of the proposed pier structures, installation of a 2 pile dolphin approximately 30 feet from the western end of the proposed 30-foot-long “L” pier section and 25-feet away from the northern end of the 30-foot-long pier. The authorized work is located at 68 Peconic Avenue, Town of Shelter island, Suffolk County, Shelter Island Sound.

The applicant’s consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1065_68_Peconic_Ave_Dock_App.pdf

Original copies of public information and data submitted by the applicant 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.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, March 27, 2020.

Comments should be addressed to: 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-2019-1084

Date of Issuance – February 26, 2020

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.

In F-2019-1084 or the “Edelman Dock”, the applicant Andrew Edelman, is proposing to remove an existing damaged dock on the easterly side of the property. Construction of a new 4’ x 211’ catwalk (connecting to the existing walkway on southerly side) with a 3’ x 12’ ramp, a 6’ x 20’ float, and two 6” float securing piles. The project is located at 30 Stacy Drive, Village of Westhampton Beach, Suffolk County, Moriches Bay.

The applicant’s consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1084_Edelman_Dock_App.pdf

Original copies of public information and data submitted by the applicant 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.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, March 27, 2020.

Comments should be addressed to: 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-2019-1124

Date of Issuance – February 26, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2019-1124, Jill and John Stevens are proposing to fill in an unused former boat-slip area and secure existing structures from further water damage by constructing a seawall. The project is located at 390 & 393 Ontario Street, Sackets Harbor, NY 13685, on the Black River Bay.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1124JillandJohnStevens.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., 30 days from the date of publication of this notice or March 27, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

F-2019-1136

Date of Issuance – February 26, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2019-1136, Joseph Cattalani is proposing to raise the shoreline

by filling approximately 0.6 acres of the bay to a depth of approximately 4 feet. This project is located at 136 Shore Drive in the Town of Irondequoit, Monroe County, Irondequoit Bay.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1136.pdf>

The proposed activity would be located within or has the potential to affect the following Special Management or Regulated Area(s):

- Irondequoit Bay and Creek Significant Coastal Fish and Wildlife Habitat: <https://www.dos.ny.gov/opd/programs/consistency/scfwhabitats.html>;

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice or March 27, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

F-2019-1257

Date of Issuance – February 26, 2020

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.

In F-2019-1257, Derrek Blair, is proposing to install a 3 foot high steel breakwall along 60 linear feet of Port Bay shoreline. The purpose of the proposed activity is for erosion control management.

The proposed work is for the applicant's property at 7929 Jay Road in the town of Wolcott, Wayne County.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1257ForPN.pdf>

Original copies of public information and data submitted by the applicant 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.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, March 27, 2020.

Comments should be addressed to: 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-2019-1277

Date of Issuance – February 26, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2019-1277, NYC Economic Development Corporation is proposing to expand the ferry service to Coney Island in Brooklyn at the north shore of Coney Island in the Coney Island Creek. This landing will have the capacity to berth two (2) vessels. The proposed landing will feature a new barge that will be 35 feet by 90 feet. A new 80 foot by 10 foot gangway will connect to a 15 foot by 3 foot gangway landing that will attach to the existing fishing pier. The proposed project is located at Leon S. Kaiser Park at 2529 Neptune Avenue, New York, NY 11224, on Coney Island Creek.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1277KaiserPark.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., 30 days from the date of publication of this notice or March 27, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0038

Date of Issuance – February 26, 2020

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.

In F-2020-0038 or the "Phase 2 Development of the Shirley Chisholm State Park at Gateway National Recreation Area", the applicant National Park Service (NPS), is proposing to enter a 60-year lease with New York State Office of Parks, Recreation, and Historic Preservation (NYSOPRHP) to improve access and expand opportunities for recreation at Shirley Chisholm State Park and to operate and maintain the National Park Service (NPS) property as a state park throughout the lease period. Phase 2, NPS proposes to authorize NYSOPRHP to construct and enhance features at several locations on both the Penn and Fountain properties. Improvements include repairs to bulkheads, creation of public space and water access points, installation of signage and lighting, upgrades to Penn Pier, installation of bathroom facilities, and invasive species control. Shirley Chisholm State Park, Gateway National Recreation Area, Brooklyn, Kings County, Jamaica Bay.

The applicant's consistency certification and supporting information are available for review at: [http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0038\(FA\)_US_DOI_Phase_2_-_Shirley_Chisholm_State_Park_App.pdf](http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0038(FA)_US_DOI_Phase_2_-_Shirley_Chisholm_State_Park_App.pdf)

Original copies of public information and data submitted by the applicant 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.

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, March 12, 2020.

Comments should be addressed to: 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
Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2020-0063 Matter of 3E Eleven Eleven Inc., Tony Lam, 1111 Route 25A, Ste 3E, Stony Brook, NY 11790, for a variance concerning safety requirements, including to allow a single unisex toilet room in lieu of the required two (2), one (1) for each sex. Involved is an B occupancy (business) alteration located at 1111 Route 25A; Town of Brookhaven, NY 11790 County of Suffolk, State of New York.

2020-0076 Matter of Stanley and Angela Sorice, 180 Helme Avenue, Miller Place, NY 11764, for a variance concerning safety requirements, including the required ceiling height and heights under a girder/soffit. Involved is an existing one family dwelling located at 180 Helme Avenue; Town of Brookhaven, NY 11764 County of Suffolk, State of New York.

2020-0079 Matter of L3 Drafting and Design, Lilly Bedoya, 28 Island Blvd, Bohemia, NY 11716, for a variance concerning safety requirements, including the required ceiling height and heights under a girder/soffit. Involved is an existing one family dwelling located at Three Robeson Place; Town of Brookhaven, NY 11763 County of Suffolk, State of New York.

PUBLIC NOTICE

Susquehanna River Basin Commission
Commission Meeting

SUMMARY: The Susquehanna River Basin Commission will hold its regular business meeting on March 13, 2020, in Harrisburg, Pennsylvania. Details concerning the matters to be addressed at the business meeting are contained in the Supplementary Information section of this notice. Also the Commission published a document in the Federal Register on January 9, 2020, concerning its public hearing on February 6, 2020, in Harrisburg, Pennsylvania.

DATES: The meeting will be held on Friday, March 13, 2020, at 9 a.m.

ADDRESSES: The meeting will be held at the Susquehanna River Basin Commission, 4423 N. Front Street, Harrisburg, PA 17110.

FOR FURTHER INFORMATION CONTACT: Jason E. Oyler, General Counsel and Secretary to the Commission, telephone: 717-238-0423; fax: 717-238-2436.

SUPPLEMENTARY INFORMATION: The business meeting will include actions or presentations on the following items: (1) informational presentation of interest to the lower Susquehanna River region; (2) Resolution 2020-01 adopting the Commission's Fiscal Year 2021 Budget Reconciliation; (3) ratification/approval of contracts/grants; (4) Resolution 2020-02 adopting Final Rulemaking regarding consumptive use mitigation and adopting Consumptive Use Mitigation Policy; (5) Resolution 2020-03 adopting Guidance For The Preparation Of A Metering Plan & A Groundwater Elevation Monitoring Plan For Water Withdrawals, Consumptive Uses, And Diversions ("Metering Plan Guidance"); and (6) Regulatory Program projects.

This agenda is complete at the time of issuance, but other items

may be added, and some stricken without further notice. The listing of an item on the agenda does not necessarily mean that the Commission will take final action on it at this meeting. When the Commission does take final action, notice of these actions will be published in the Federal Register after the meeting. Any actions specific to projects will also be provided in writing directly to project sponsors.

The Metering Plan Guidance and Regulatory Program projects listed for Commission action were those that were the subject of public hearings conducted by the Commission on February 6, 2020, and identified in the notices for such hearings, which was published in 85 FR 1189, January 9, 2020.

The public is invited to attend the Commission's business meeting. Comments on the Metering Plan Guidance and Regulatory Program projects are subject to a deadline of February 17, 2020. Written comments pertaining to other items on the agenda at the business meeting may be mailed to the Susquehanna River Basin Commission, 4423 North Front Street, Harrisburg, Pennsylvania 17110-1788, or submitted electronically through www.srb.net/about/meetings-events/business-meeting.html. Such comments are due to the Commission on or before March 10, 2020. Comments will not be accepted at the business meeting noticed herein.

Authority: Pub. L. 91-575, 84 Stat. 1509 et seq., 18 CFR Parts 806, 807, and 808.

Dated: February 6, 2020

Jason E. Oyler,

General Counsel and Secretary to the Commission

PUBLIC NOTICE

Susquehanna River Basin Commission Grandfathering (GF) Registration Notice

SUMMARY: This notice lists Grandfathering Registration for projects by the Susquehanna River Basin Commission during the period set forth in DATES.

DATES: January 1-31, 2020.

ADDRESSES: Susquehanna River Basin Commission, 4423 North Front Street, Harrisburg, PA 17110-1788.

FOR FURTHER INFORMATION CONTACT: Jason E. Oyler, General Counsel and Secretary to the Commission, telephone: (717) 238-0423, ext. 1312; fax: (717) 238-2436; e-mail: joyler@srb.net. Regular mail inquiries May be sent to the above address.

SUPPLEMENTARY INFORMATION: This notice lists GF Registration for projects, described below, pursuant to 18 CFR 806, Subpart E for the time period specified above.

Grandfathering Registration Under 18 CFR part 806, Subpart E:

1. Duncansville Municipal Authority – Public Water Supply System, GF Certificate No. GF-202001075, Borough of Duncansville and Allegheny Township, Blair County, Pa.; Well 2; Issue Date: January 24, 2020.

2. Leatherstocking Corporation dba Otesaga Hotel – Leatherstocking Golf Course, GF Certificate No. GF-202001076, Town of Otsego, Otsego County, N.Y.; Otsego Lake and consumptive use; Issue Date: January 24, 2020.

3. Millersburg Area Authority – Public Water Supply System, GF Certificate No. GF-202001077, Millersburg Borough and Upper Paxton Township, Dauphin County, Pa.; Wells 1, 2, 3, 4, and 5, and Springs 1 through 7; Issue Date: January 24, 2020.

4. Village of New Berlin – Public Water Supply System, GF Certificate No. GF-202001078, Town of New Berlin, Chenango County, N.Y.; Sheffield Creamery Well; Issue Date: January 24, 2020.

5. Town of Owego – Water District #4, GF Certificate No. GF-202001079, Town of Owego, Tioga County, N.Y.; Wells 1 and 2; Issue Date: January 24, 2020.

6. Shawville Power, LLC – Shawville Station, GF Certificate No. GF-202001080, Bradford Township, Clearfield County, Pa.; West Branch Susquehanna River and consumptive use; Issue Date: January 24, 2020.

7. West Cocalico Township Authority – Public Water Supply

System, GF Certificate No. GF-202001081, West Cocalico Township, Lancaster County, Pa.; Well 1; Issue Date: January 24, 2020.

8. Northern Cambria Municipal Authority – Public Water Supply System, GF Certificate No. GF-202001082, Northern Cambria Borough, Cambria County, Pa.; Hazeltine Mine and Miller Hollow; Issue Date: January 24, 2020.

Authority: Pub. L. 91-575, 84 Stat. 1509 et seq., 18 CFR parts 806 and 808.

Dated: February 6, 2020.

Jason E. Oyler,

General Counsel and Secretary to the Commission.

EXECUTIVE ORDERS

Executive Order No. 168.33: Continuing the Declaration of a Disaster Emergency in the Five Boroughs of New York City and the Counties of Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester that Incorporate the MTA Region in the State of New York.

WHEREAS, pursuant to Executive Order No. 168, a disaster has heretofore been declared in the five boroughs of New York City and the Counties of Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester that incorporate the Metropolitan Transportation Authority (MTA) Region in the State of New York due to increasingly constant and continuing failures of the tracks, signals, switches and other transportation infrastructure throughout the system including at Pennsylvania Station located in the County of New York (Penn Station), that have resulted in various subway derailments, extensive track outages, and substantial service disruptions impacting the health and safety of hundreds of thousands of riders;

WHEREAS, the ongoing failures of the tracks, signals, switches and other transportation infrastructure throughout the MTA's rail and subway system continue to pose an imminent threat and have a vast and deleterious impact on the health, safety, and livelihood of commuters, tourists, resident New Yorkers, as well as business and commerce in the Metropolitan Commuter Transportation District (MCTD), which is the recognized economic engine of the State of New York, and thereby have adversely affected the New York State economy;

WHEREAS, the track outages and service disruption necessary to implement the Amtrak Repair Program, and other repairs necessary to fix tracks, signals, switches and other transportation infrastructure throughout the MTA's rail and subway system continue to be necessary to protect the public, health and safety of commuters, tourists, resident New Yorkers, and will continue to worsen the transportation disaster emergency that currently exists due to the condition of Penn Station and the MTA's rail and subway system as a whole; and,

WHEREAS, it continues to be necessary for the MTA and its subsidiaries and affiliates to take significant and immediate action to assist in the repair of the tracks, signals, switches and other transportation infrastructure and in the mediation of such track outages and service disruptions due to this disaster emergency;

NOW, THEREFORE, I, ANDREW M. CUOMO, Governor of the State of New York, by virtue of the authority vested in me by the Constitution and the Laws of the State of New York, do hereby extend the state disaster emergency declared pursuant to Executive Order No. 168 and extend all of the terms, conditions, and directives of Executive Order No. 168 and the terms, conditions, and directives for any extensions of the same for the period from the date that the disaster emergency was declared pursuant to Executive Order No. 168 until March 5, 2020; provided that the temporary suspension of any laws, rules, regulations or guidelines pursuant to this and any future extensions of Executive Order 168 shall apply to the extent the Chairman of the MTA or his designee, which shall only include the MTA's President or Managing Director, determines it necessary for the purposes of awarding any contracts, leases, licenses, permits or any other written agreement that may be entered into to mitigate such disaster emergency.

(L.S.)

GIVEN under my hand and the Privy Seal of the State in the City of Albany the fourth day of February in the year two thousand twenty.

BY THE GOVERNOR

/S/ Andrew M. Cuomo

/s/ Melissa DeRosa

Secretary to the Governor

FINANCIAL REPORTS



**Department of
Taxation and Finance**

Depositories for the Funds of the State of New York

Month End: January 31, 2020

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Michael R Schmidt
Commissioner

**ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF
TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER**

Unemployment Insurance Funding Account	Key Bank	2,343,313.33
Occupational Training Act Funding Account	Key Bank	10,564.01
Unemployment Insurance Exchange Account	Key Bank	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(193,317,039.98)
General Checking	Key Bank	(1,002,764,871.27)
Direct Deposit Account	Wells Fargo	63,612.33
TOTAL		(212,646,507.95)
01000 - EXECUTIVE CHAMBER		
Executive Chamber Advance Account	Key Bank	No report received
01010 - DIVISION OF BUDGET		
Advance Account	Bank of America, N.A.	4,931.66
01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL		
Albany		
SLA Investigations Account	Key Bank	1,926.08
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	10,498.65
NY ISO Account	Key Bank	2,563,894.66
OGS Binghamton Office Bldg	Key Bank	0.00
SNY Office of General Services	JPMorgan Chase Bank, N.A.	2,280.92
State of New York OGS Escrow II	Key Bank	2,817,894.73
State of New York OGS Petty Cash	Key Bank	231,894.32
State of New York OGS Escrow	Key Bank	169,608.14
State of NY Office Of General Services	Key Bank	3,426.00
01060 - DIVISION OF STATE POLICE		
CNET Confidential Account	Key Bank	0.00
Div Headquarters - Petty Cash	Key Bank	1,401.65
Key Advantage Account	Key Bank	82,954.98
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	665,584.04
NYSP CTIU Confidential Fund	Key Bank	4,000.00
SIU Confidential Fund Account	Key Bank	8,724.55
Special Fund	Key Bank	48,912.26
State Police Receipts Account	Bank of America, N.A.	342,303.43
Troop A Batavia - Petty Cash	Bank of America, N.A.	800.00
Troop A Batavia-Confidential	Bank of America, N.A.	3,500.00
Troop B Confidential	Key Bank	6,500.00
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	4,300.00
Troop C Petty Cash	NBT Bank	786.00
Troop D Oneida - Confidential	Alliance Bank	3,000.00
Troop D Oneida Petty Cash	Alliance Bank	1,000.00
Troop E Canandaigua Confidential	Canandaigua National Bank	2,000.00
Troop E Petty Cash	Canandaigua National Bank	1,000.00
Troop F Confidential	JPMorgan Chase Bank, N.A.	3,456.26
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	7,065.81
Troop G Petty Cash	Bank of America, N.A.	1,000.00
Troop K Petty Cash	Bank of Millbrook	788.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	5,989.01
Troop L Confidential Fund	Bank of America, N.A.	6,119.06
01070 - DIVISION OF MILITARY & NAVAL AFFAIRS		
Advance For Travel	Key Bank	13,371.82
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	7,882.10
01077 - OFFICE OF HOMELAND SECURITY		
Academy Of Fire Science	Chemung Canal Trust	166,293.25
01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	50,094.53
Revenue Account	JPMorgan Chase Bank, N.A.	576,809.79
01090 - DIVISION OF HUMAN RIGHTS		
Petty Cash Fund Account	JPMorgan Chase Bank, N.A.	No report received
01150 - OFFICE OF EMPLOYEE RELATIONS		
GOER Panel Administration Escrow Account	Key Bank	3,830.07
NYS Flex Spending	Key Bank	1,037,658.88
State of New York LMC Petty Cash Account	Key Bank	5,722.40
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	2,000.00
01300 - ADIRONDACK PARK AGENCY		

General Fund	Community Bank	172.50
Petty Cash	Community Bank	3,805.65
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	44,851.83
Emergency Award Account	M&T Bank	0.00
Emergency Claims	Key Bank	4,064.81
Petty Cash Account	Key Bank	1,550.00
REST/SUBROG Escrow Account	Key Bank	389.66
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,734.00
FBI Fee Account	Bank of America, N.A.	4,454.21
Fingerprint Fee Account	Bank of America, N.A.	767,833.00
01530 - STATE COMMISSION OF CORRECTION		
Advance Account	Bank of America, N.A.	2,000.00
01540 - STATE BOARD OF ELECTIONS		
Revenue Account	Key Bank	No report received
01620 - OFFICE FOR PREVENTION OF DOMESTIC VIOLENCE		
NYS Prevention Domestic Violence	Bank of America, N.A.	No report received
02000 - OFFICE OF THE STATE COMPTROLLER		
Admissions	Bank of America, N.A.	398,425.36
Advance for Travel Account	Key Bank	No report received
Alcohol Beverage	Bank of America, N.A.	117,440.01
Alcoholic Bev Control License	Wells Fargo Bank	142,902.00
Alcoholic Beverage Control License	M&T Bank	229,130.24
Assessments Bulk	JPMorgan Chase Bank, N.A.	32,482,145.64
Assessments Receivable	JPMorgan Chase Bank, N.A.	4,894,349.16
Assessments Receivable (EFT)	Wells Fargo Bank	316,542.96
Boxing And Wrestling Tax	Bank of America, N.A.	2,879.86
Check 21 Corporation Tax	JPMorgan Chase Bank, N.A.	177,769.42
Check 21 Estate Tax	JPMorgan Chase Bank, N.A.	0.00
Check 21 Highway Use	JPMorgan Chase Bank, N.A.	261,127.79
Check 21 PIT	JPMorgan Chase Bank, N.A.	317,583.97
Check 21 Real Estate Transfer	JPMorgan Chase Bank, N.A.	95,149.51
Check Sales Tax	JPMorgan Chase Bank, N.A.	426,439.89
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	22,500.00
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	2,511,789.93
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	372,219.02
Cigarette Tax Tobacco Products	Bank of America, N.A.	47,451.37
Congestion Surcharge	Wells Fargo Bank	26,131.40
Corporation Tax	Wells Fargo Bank	253.44
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	113,447.51
Educational Charitable Account	Wells Fargo Bank	0.00
Employer Compensation Expense	Wells Fargo Bank	46,113.39
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	214,328.08
ERS Petty Cash Acct	Key Bank	No report received
Estate Tax	Bank of America, N.A.	194,434.56
Estimated Tax	JPMorgan Chase Bank, N.A.	17,285,614.55
Gift Tax	Bank of America, N.A.	26,125.00
Hazardous Waste	Key Bank	28,437.24
Health Charitable Account	Wells Fargo Bank	0.00
Highway Use - Permits & Reg.	Bank of America, N.A.	68,170.89
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	1,288,693.05
Hudson River-Black River	Bank of America, N.A.	15,554.10
Hudson River-Black River	Community Bank	36,560.30
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	96,480.00
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	224,678.41
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	92,280.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	5,937.50
IFTA-Fuel Use	Bank of America, N.A.	63,807.66
Income Tax - LLC	JPMorgan Chase Bank, N.A.	163,478.88
Justice Court	Key Bank	708,877.15
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	4,232.00
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	19,196.10
Medical Marijuana Tax Collections	Bank of America, N.A.	1,762.69
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	492,832.93
Ogdensburg Bridge & Port	Community Bank	26,007.28
Opioid Excise Tax	Wells Fargo Bank	86,325.71
Personal Income Tax	Wells Fargo Bank	52,125.05
Petroleum Business Tax (EFT)	Wells Fargo Bank	304,335.08
Petroleum Products Tax	Bank of America, N.A.	3,122,616.29
Petty Cash Account	Key Bank	No report received
PIT Bulk	JPMorgan Chase Bank, N.A.	2,670.00
Port Of Oswego	Key Bank	(28,637.97)

Promptax - MCTMT	Wells Fargo Bank	12,998,004.86
Promptax - Petroleum Business Tax	Wells Fargo Bank	941.51
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	528,516.46
Promptax - Withholding	Wells Fargo Bank	10,483,839.32
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	3,814.42
Real Estate Transfer Tax	Key Bank	86,039.61
Revenue Holding	First Niagara Bank	3,342,000.00
Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Sales Tax	Wells Fargo Bank	450,164.80
SUNY Concentration	First Niagara Bank	1,426,000.00
TNC Assessment (EFT)	Wells Fargo Bank	1,692,366.80
Troy Debt Service Reserve Fund	Bank of America, N.A.	281,179.76
Uncashed Winning Tickets	Bank of America, N.A.	25,331.90
Unclaimed Funds	JPMorgan Chase Bank, N.A.	195,497.71
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	1,655.30
Withholding	Wells Fargo Bank	61.56
Withholding Tax	JPMorgan Chase Bank, N.A.	18,059,828.12
Cash Advance Accounts		
Advance For Travel Account	Key Bank	400.00
ERS Petty Cash Acct	Key Bank	5,100.00
Petty Cash Account	Key Bank	3,700.00
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	1,464.72
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	8,239,489.02
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	183.52
Employees Retirement System - General	JPMorgan Chase Bank, N.A.	0.00
Employees Retirement System - Pension	JPMorgan Chase Bank, N.A.	0.00
Group Term Life		
Group Term Life - General	JPMorgan Chase Bank, N.A.	0.00
Municipal Assistance Corporation Accounts		
City Of Troy - MAC	JPMorgan Chase Bank, N.A.	0.00
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	13.57
Retirement Police & Firemen's - General	JPMorgan Chase Bank, N.A.	0.00
Retirement Police & Firemen's - Pension	JPMorgan Chase Bank, N.A.	0.00
03000 - DEPARTMENT OF LAW		
Albany Filing Fees Account	Key Bank	No report received
Albany Petty Cash	Bank of America, N.A.	No report received
Albany Revenue Account	Key Bank	No report received
Assessment Account	JPMorgan Chase Bank, N.A.	No report received
Attorney General Account	Key Bank	No report received
Civil Recoveries Account	Key Bank	No report received
Dept Of Law Controlled Disb	M&T Bank	No report received
Marie Roberts	JPMorgan Chase Bank, N.A.	No report received
NYC Filing Fees Account	JPMorgan Chase Bank, N.A.	No report received
NYC Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
NYC Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Restitution Account	M&T Bank	No report received
Special Account	Key Bank	No report received
US Justice Dept - Shared Forfeiture	Key Bank	No report received
US Treas Dept - Shared Forfeiture	Key Bank	No report received
03010 - OFFICE OF THE ATTORNEY GENERAL		
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
03020 - MEDICAID FRAUD CONTROL		
dept atty gen vs john doe	Key Bank	11,797,378.39
National Global Settlement	JPMorgan Chase Bank, N.A.	6,536,466.26
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	38,350.00
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,293.88
04020 - NYS ASSEMBLY		
Advance For Travel	Bank of America, N.A.	4,000.00
Petty Cash Account Dist Off	Bank of America, N.A.	21,614.35
Petty Cash New York City	JPMorgan Chase Bank, N.A.	722.56
Public Information Office	Key Bank	0.25
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	3,754.36
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	2,000.00
04250 - REAPPORTIONMENT		
NYS Taskforce On Demo Res & Reapp	JPMorgan Chase Bank, N.A.	125.00
05000 - OFFICE OF COURT ADMINISTRATION		

Attorney Registration Fees - Revenue	JPMorgan Chase Bank, N.A.	984,475.00
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	6,650,308.99
Finger Print Account	JPMorgan Chase Bank, N.A.	4,950.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	467.50
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	3,236,959.65
Lawyers Fund For Client Protection - Bail	Key Bank	700.66
Petty Cash	Key Bank	2,167.17
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	No report received
Clerk Of The Court Of Appeals	Key Bank	No report received
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	61,780.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	60,279.50
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	No report received
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	24,185.00
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	13,458.49
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	5,276.18
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court Bail	Wells Fargo Bank	3,001.17
Glen Cove City Court Revenue	Wells Fargo Bank	43,411.00
Long Beach City Court		
Long Beach City Court Revenue	Wells Fargo Bank	56,650.35
Long Beach Court Bail	Wells Fargo Bank	45,858.63
Nassau County Court		
Nassau County Assessment	Wells Fargo Bank	48,975.03
Nassau District Court - Criminal		
Nassau Dist Ct Criminal Revenue	Wells Fargo Bank	433,877.06
Nassau District Court-Civil		
Nassau County Dist Ct- Civil Revenue	Wells Fargo Bank	55,236.55
Nassau Surrogate		
Nassau County Surrogate Court-Revenue	Wells Fargo Bank	115,239.00
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
10th Judicial District Suffolk County Admin		
Suffolk County Court -Court Fund	People's United Bank	43,337.00
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	71,665.00
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	No report received
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	No report received
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	No report received
05210 - NYC-CIVIL COURT		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	352,788.85
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	4,716.35
Kings Civil Court- Civil		
Kings Civil Court- Civil Revenue	JPMorgan Chase Bank, N.A.	64,126.75
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	156,171.45
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	182,786.70
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	65,936.15
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	117,567.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	84,513.00
Kings County Criminal Court		
Kings Criminal Court	Citibank	610,101.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	27,846.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	37,618.00

Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	21,636.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	42,597.00
Richmond County Criminal Court		
Richard Criminal Court-City Funds	JPMorgan Chase Bank, N.A.	20,174.00
Richmond Criminal Court-State Funds	JPMorgan Chase Bank, N.A.	10,469.00
05231 - SUPREME COURT - BRONX COUNTY		
Bronx County Supreme - NYS OCA	JPMorgan Chase Bank, N.A.	6,137.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County-Revenue	JPMorgan Chase Bank, N.A.	13,858.46
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.	22,011.90
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	945,184.75
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	777,308.75
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	1,219,777.75
05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	No report received
05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	10,054,161.82
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	88.37
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	67,157.00
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	16,993.15
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	43,370.00
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	77,952.50
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	23,052.00
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court - (Civil)		
Albany City Civil - Revenue	Wells Fargo Bank	17,298.80
Albany City Court - (Crim-Bail)		
Albany City Criminal - Bail	Wells Fargo Bank	12,033.11
Albany City Court - (Traffic)		
Albany City Traffic-Revenue	Wells Fargo Bank	104,728.00
Albany Traffic Court - Bail	Bank of America, N.A.	0.00
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	7,190.41
Albany City Court - Traffic-Bail		
Albany City Traffic - Bail	Wells Fargo Bank	1,300.17
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	8,472.00
Albany Police Court		
Albany Police Court Bail Account	Key Bank	0.00
Cohoes City Court		
Cohoes City Court Bail	Key Bank	5,993.10
Cohoes City Court Fees/Fines Account	Key Bank	13,039.10
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	3,604.75
Greene Surrogate		
Greene Surrogate-Revenue	Wells Fargo Bank	598.75
Hudson City Court		
Hudson City Bail	Wells Fargo Bank	31,825.30
Hudson City Court Bail Acct	Trustco Bank	0.00
Hudson City Court Revenue Acct - Revenue	Trustco Bank	0.00
Hudson City Revenue	Wells Fargo Bank	10,431.50
Kingston City Court		
Kingston City Court Bail	Wells Fargo Bank	250.00

Kingston City Court Revenue	Wells Fargo Bank	37,081.61
Rensselaer City Court		
Rensselaer City Court - Revenue	Key Bank	4,254.60
Rensselaer City Court Bail Acct	Key Bank	3,310.00
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	17,848.00
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	1,506.25
Sullivan Surrogate		
Sullivan Surrogate-Revenue	Wells Fargo Bank	1,193.25
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	79,343.70
Troy Police Court Bail Account	Bank of America, N.A.	13,958.50
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	5,876.25
Watervliet City Court		
Watervliet Bail	Pioneer Savings Bank	50,064.00
Watervliet Revenue	Pioneer Savings Bank	26,454.00
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	Key Bank	20,291.17
Amsterdam City Court - Revenue	Key Bank	56,951.60
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	1,048.25
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	1,716.00
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	1,454.25
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	0.00
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	19,056.25
Glens Falls City Court Bail Acct	Glens Falls National	15,110.70
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	22,176.00
Gloversville City Court Revenue	NBT Bank	29,265.54
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	2,233.75
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	5,177.87
Johnstown City Court Fines/Fees - Revenue	Key Bank	10,390.50
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	0.03
Mechanicville City Ct Revenue Acct	TD Bank	5,314.00
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	1,627.00
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	1,020.00
Ogdensburg City Court Revenue	Community Bank	3,635.08
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	24,656.29
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	13,623.34
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	16,871.25
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	14,081.68
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	19,793.00
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	14,631.70
Schenectady City Court Revenue	Bank of America, N.A.	43,827.60
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	3,918.75
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	5,255.25
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	4,836.75
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	2,573.50
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	1,535.36
Fulton City Court Revenue	Key Bank	9,835.40
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	1,236.75

Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	4,267.50
Lewis County		
Lewis County Clerk	Community Bank	4,192.00
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	150.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	10,850.00
Little Falls City Court Revenue	M&T Bank	3,877.00
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	6,947.01
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	16,181.50
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	12,809.50
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	8,204.78
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	20,970.30
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	2,314.00
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	6,011.25
Rome City Court - Revenue	Bank of America, N.A.	34,872.75
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	0.00
Sherrill City Court Fees - Revenue	Alliance Bank	1,902.75
Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	121,701.00
Syracuse City Court - Fees - Revenue	Alliance Bank	61,925.85
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	43,563.68
Utica City Court Revenue Account	Key Bank	42,792.02
Watertown City Court		
Watertown City Court Bail	Key Bank	69,255.61
Watertown City Court Fees & Fines - Revenue	Key Bank	21,899.13
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	64,960.00
Binghamton City Court Revenue	M&T Bank	29,455.51
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	5,220.00
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	3,486.25
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	1,178.25
Cortland City Court		
Court City Court Bail	NBT Bank	13,635.30
Court City Court- Revenue	NBT Bank	14,125.00
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	1,287.00
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	1,703.00
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	16,907.57
Elmira City Court Bail	Chemung Canal Trust	6,887.85
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	4,323.00
Ithaca City Court Revenue	Tompkins County Trust	18,723.45
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	145.50
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	3,500.00
Norwich City Court Revenue Acct	NBT Bank	2,658.50
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	4,460.00
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	12,612.75
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	12,441.00
Oneonta City Court Bail Account	Community Bank	5,204.50
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	1,912.50
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	532.50
Tioga County Surrogates		

Tioga Surrogates Court - Revenue	M&T Bank	871.00
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	3,887.00
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	Key Bank	13,056.55
Auburn City Court Fees & Fines - Revenue	Key Bank	18,096.54
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	19,773.72
Canandaigua City Court Revenue	Canandaigua National Bank	19,893.92
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	4,361.00
Corning City Court		
Corning City Court - Bail	Wells Fargo Bank	7,611.07
Corning City Court - Revenue	Wells Fargo Bank	12,837.25
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	12,856.83
Geneva City Court Revenue Account	Wells Fargo Bank	14,218.60
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	4,250.32
Hornell City Court Revenue	Steuben Trust Co.	5,218.50
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	1,305.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	30,087.00
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	3,850.00
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	267,734.25
Rochester City Revenue	M&T Bank	42,873.22
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	897.25
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	5,072.75
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	1,437.75
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	597.00
05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION		
Allegany County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Allegany Surrogate Court	Wells Fargo Bank	No report received
Batavia City Court		
Batavia City Bail Account	M&T Bank	No report received
Batavia City Court Revenue	M&T Bank	No report received
Buffalo City Court		
Buffalo City Bail Account	M&T Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER BUFFALO CITY COURT BAIL ACCOUNT	Wells Fargo Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER BUFFALO CITY COURT REVENUE ACCOUNT	Wells Fargo Bank	No report received
Cattaraugus County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	No report received
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	No report received
Dunkirk City Court		
Dunkirk City - Revenue	Key Bank	No report received
ST of NY Office of The State Comptroller Dunkirk Bail Account	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Dunkirk Revenue Account	Wells Fargo Bank	No report received
Erie - Buffalo County Law Library		
Sur Ct Lib At Buffalo - Revenue	M&T Bank	No report received
Erie County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court	Wells Fargo Bank	No report received
Genesee County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Genesee Surrogate Court	Wells Fargo Bank	No report received
Jamestown City Court		
State of New York Office of Court Administration Jamestown City Court Bail	Key Bank	No report received
State of New York Office of Court Administration Jamestown City Court Revenue	Key Bank	No report received
Lackawanna City Court		
Lackawanna City Court Bail Account	Key Bank	No report received
Lackawanna City Court Revenue Account	Key Bank	No report received
Lockport City Court		
Lockport City - Bail	Key Bank	No report received
Lockport City HESC EFT Account - Revenue	Key Bank	No report received
Niagara City Court		
Niagara Falls Bail Bond Account	M&T Bank	No report received
Niagara City Court - Criminal		

City Court Of Niagara Falls Criminal - Revenue	M&T Bank	No report received
Niagara County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	No report received
Niagara Falls City Court		
ST of NY OFFICE OF THE STATE COMPTROLLER NIAGARA FALLS BAIL ACCOUNT	Wells Fargo Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER NIAGARA FALLS REVENUE ACCOUNT	Wells Fargo Bank	No report received
No. Tonawanda City Court		
N. Tonawanda City Court Bail	M&T Bank	No report received
N. Tonawanda City Court Revenue	M&T Bank	No report received
Olean City Court		
Olean City Court Bail Account	Community Bank	No report received
Olean City Court Revenue Account	Community Bank	No report received
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	No report received
Salamanca City Court		
Salamanca City Court Bail	Community Bank	No report received
Salamanca City Court City Judge - Revenue	Community Bank	No report received
Tonawanda City Court		
ST of NY Office of The State Comptroller Tonawanda City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Tonawanda City Court Revenue	Wells Fargo Bank	No report received
Tonawanda City Court Bail	M&T Bank	No report received
Tonawanda City Court Revenue	M&T Bank	No report received
Wyoming County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	No report received
05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION		
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	No report received
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	No report received
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	No report received
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	No report received
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	No report received
Mt Vernon City Court		
Mt Vernon City Court State Bail	Wells Fargo Bank	No report received
Mt Vernon City Court State Revenue	Wells Fargo Bank	No report received
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	No report received
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	No report received
Newburgh City Court		
Newburgh Bail Account	Wells Fargo Bank	No report received
Newburgh City Court Revenue	Wells Fargo Bank	No report received
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	No report received
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	No report received
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	No report received
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	No report received
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	No report received
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	No report received
Poughkeepsie City Court -Revenue	Wells Fargo Bank	No report received
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	No report received
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	No report received
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	No report received
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	No report received
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	No report received
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	No report received
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	No report received
Yonkers City Court		
Yonkers City Bail Account - Bail	Wells Fargo Bank	No report received
Yonkers City Revenue Account - Revenue	Wells Fargo Bank	No report received
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	55,595.36
Agency Advance Account	Key Bank	10,000.00
Agriculture Producers Sec Fund	Key Bank	13,037.00
Animal Population Control Account	Key Bank	36,788.67

Apple Marketing Order Fund	Key Bank	0.00
Consumer Food Industry Account	Key Bank	23,904.91
Dairy Industry Services Account	Key Bank	46,510.80
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products Grading	JPMorgan Chase Bank, N.A.	0.00
Milk Producers Security Fund	Key Bank	48,134.04
NYS Farmers Market Program	Key Bank	416,469.29
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	78.07
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	10,613.08
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	319.19
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	23,543.01
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
State Fair Premium Award Account	Solvay Bank	0.00
Weights & Measures Account	Key Bank	47,738.68
NYS Dept Agriculture & Markets		
Apple Marketing Order Fund	Key Bank	0.00
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products	Key Bank	34,475.50
State Fair		
NYS Fair Operating Account	Solvay Bank	11,634.38
NYS Fair Petty Cash/Travel	Solvay Bank	2,005.60
NYS Fair Special Account	Solvay Bank	231.19
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.	10,013.00
Examination Application Fees Account	Key Bank	5,056.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	15,614,628.43
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	783.90
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	34,240.97
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	493,649.67
Conservation Petty Cash Account	M&T Bank	30,000.00
DEC/Exchange Account	M&T Bank	11,983.53
ENCON License Issuing Office	M&T Bank	5,769.50
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,201.70
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,909.15
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	1,561,515.89
Hunting Trapping & Fishing Account	M&T Bank	34,812.28
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	156,122.29
Lockbox Account	Wells Fargo Bank	77,262.84
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,328.47
NY Conservationist	Bank of America, N.A.	25,319.82
Program Fee	JPMorgan Chase Bank, N.A.	3,688.14
Revenue Account	Bank of America, N.A.	973,436.33
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,264,773.13
State of New York	Key Bank	16,846.71
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,161.95
Region 1		
Marine Permit Account	Bank of Smithtown	201,512.46
Region 3		
Beaverkill & Mongaup Pond	Jeff Bank	0.00
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	9,195.38
Land & Forest Region 5W	TD Bank	21,272.93
NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	24,836.42
Region 5	Citizens Bank	2,288.03
Region 5	NBT Bank	68,001.02
Tree Nursery	Bank of America, N.A.	69,365.20
Region 6		
Fish & Wildlife Watertown	Key Bank	121.92
Lands & Forest District #7	Community Bank	0.00
Lands & Forests District #6	Community Bank	48.72

Lands And Forests District 10	M&T Bank	21.20
SNY Dept Of Environmental Conserv	Community Bank	14.04
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	921.92
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	6,625.30
General Cash Fund	Five Star Bank	10,779.80
Inmate Occupational Therapy Fund	Five Star Bank	69,982.89
Inmate Savings Account	Five Star Bank	254,346.19
Spendable Fund	Five Star Bank	100,995.92
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Key Bank	No report received
Certificate of Deposit	Bank of America, N.A.	No report received
Certificate of Deposit	Bank of America, N.A.	No report received
Inmate Occupational Therapy Fund	Key Bank	No report received
Inmate Spendable Account	Bank of America, N.A.	No report received
Inmate Spendable Account	Key Bank	No report received
Inmate Spendable Savings CD	Key Bank	No report received
Misc Revenue	Key Bank	No report received
Money Market	Bank of America, N.A.	No report received
10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	12,414.52
Employee Benefit Fund	Key Bank	12,223.09
General Fund	Key Bank	585.99
Inmate Funds	Key Bank	240,480.15
Inmate Funds Money Market Account	Key Bank	684,094.48
Inmate Occupational Therapy Acct	Key Bank	52,150.92
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	2,070.81
Inmate Occupational Therapy Fund	Key Bank	17,684.09
Inmate Spendable Funds	Key Bank	36,846.11
Inmate Spendable Savings Account	Key Bank	60,655.34
Miscellaneous Receipts	Key Bank	16,898.32
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
Facility Advance	Key Bank	6,226.88
General Fund	Key Bank	0.00
Inmate Fund	Key Bank	124,442.37
Inmate Fund Savings Account	Glens Falls National	52,500.00
Miscellaneous Account	Key Bank	10,729.44
Occupational Therapy	Key Bank	14,037.88
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	No report received
Employee Benefits	M&T Bank	No report received
Inmate Spending Account	M&T Bank	No report received
Inmates Account	M&T Bank	No report received
Inmates Benefit	M&T Bank	No report received
Misc Receipts	M&T Bank	No report received
Occupational Therapy Account	M&T Bank	No report received
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,306.48
Employee Benefit	Key Bank	1,519.15
Inmate Occupational Therapy Fund	Key Bank	42,243.87
Inmate Savings Account	Key Bank	88,148.89
Inmates Fund Account	Key Bank	120,492.00
Misc. Receipts	Key Bank	26,224.48
10070 - SING SING CORRECTIONAL FACILITY		
Cash Advance	JPMorgan Chase Bank, N.A.	No report received
Inmate Funds	JPMorgan Chase Bank, N.A.	No report received
Inmate Interest Funds	JPMorgan Chase Bank, N.A.	No report received
Misc Receipts	JPMorgan Chase Bank, N.A.	No report received
Occupational Therapy	JPMorgan Chase Bank, N.A.	No report received
Quality Work Life	JPMorgan Chase Bank, N.A.	No report received
10080 - GREEN HAVEN CORRECTIONAL FACILITY		
Advance Account	Key Bank	No report received
General Fund	Key Bank	No report received
Inmates Money Market	Key Bank	No report received
Inmates Now Checking	Key Bank	No report received
Occupational Therapy Fund	Key Bank	No report received
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	3,288.75
Employee Benefit Fund	Bank of America, N.A.	9,441.59

Inmate Funds	Bank of America, N.A.	105,645.21
Inmate Funds Savings	Bank of America, N.A.	154,046.19
Misc Receipts	Bank of America, N.A.	9,516.20
Occupational Therapy	Bank of America, N.A.	33,223.98
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	624.78
Employee Benefit Fund	Sterling Bank	15,025.31
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	526,112.35
Inmate Occupational Therapy Account	Sterling Bank	32,312.20
Misc. Receipts	Sterling Bank	7,158.59
10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER		
Agency Advance Account	Chemung Canal Trust	2,405.26
Employee Benefit Fund	Chemung Canal Trust	29,055.02
Inmate CD Account	M&T Bank	213,730.76
Inmates Fund	Chemung Canal Trust	468,449.96
Miscellaneous Receipts	Chemung Canal Trust	671.96
Occupational Therapy Fund	Chemung Canal Trust	32,132.38
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	4,802.38
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	7,678.76
Inmate Funds	JPMorgan Chase Bank, N.A.	83,819.80
Inmate Funds CD	JPMorgan Chase Bank, N.A.	90,000.00
Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	22,713.28
Misc. Receipts	JPMorgan Chase Bank, N.A.	1,534.75
Occupational Therapy	JPMorgan Chase Bank, N.A.	58,863.04
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Coxsackie	1,991.61
Employee Benefits Fund	National Bank of Coxsackie	9,106.40
Inmates Fund	National Bank of Coxsackie	77,144.30
Inmates Fund Savings Acct	National Bank of Coxsackie	23,679.97
Misc. Revenue	National Bank of Coxsackie	1,036.35
Money Market Acct	National Bank of Coxsackie	160,849.96
Occupational Therapy Acct	National Bank of Coxsackie	10,465.23
10140 - WOODBOURNE CORRECTIONAL FACILITY		
CD - Inmate Funds	First National Bank of Jeffersonville	50,000.00
CD - Inmate Funds	First National Bank of Jeffersonville	190,000.00
WCF Agency Advance	Jeff Bank	1,072.58
WCF General Fund	Jeff Bank	21,649.90
WCF Inmate Fund	Jeff Bank	184,625.32
WCF Occupational Therapy Fund	Jeff Bank	32,905.22
10160 - DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION		
Agency Advance Account	Key Bank	No report received
Employee Benefit Fund	Key Bank	No report received
Inmate Escrow Account	Key Bank	No report received
Misc. Receipts Account	Key Bank	No report received
Special Account	Key Bank	No report received
10170 - QUEENSBORO CORRECTIONAL FACILITY		
Agency Advance Account	JPMorgan Chase Bank, N.A.	No report received
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	No report received
Inmate Funds Account	JPMorgan Chase Bank, N.A.	No report received
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	No report received
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	No report received
Savings Account	JPMorgan Chase Bank, N.A.	No report received
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	8,471.95
Agency Advance	Community Bank	786.08
Diversity Management	Community Bank	493.07
Employee Benefit Fund	Community Bank	1,578.06
General Fund	Community Bank	78.75
Inmate Funds	Community Bank	1,808.55
Inmate Occupational Therapy Fund	Community Bank	7,570.71
Inmate Savings Money Market	Community Bank	0.00
Make A Difference Day	Community Bank	0.00
10240 - DOWNSTATE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,843.36
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	15,930.21
Inmate Fund	JPMorgan Chase Bank, N.A.	452,740.94
Inmates Funds Savings	JPMorgan Chase Bank, N.A.	80,400.26
Misc. Receipts	JPMorgan Chase Bank, N.A.	24,026.14
Occupational Therapy	JPMorgan Chase Bank, N.A.	94,820.13
10250 - TACONIC CORRECTIONAL FACILITY		
Inmate Funds	JPMorgan Chase Bank, N.A.	89,317.57
Misc. Revenue	JPMorgan Chase Bank, N.A.	1,855.80

Money Market	JPMorgan Chase Bank, N.A.	30,964.76
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	16,008.13
Taconic Advance Account	JPMorgan Chase Bank, N.A.	2,917.90
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,232.80
Employee Benefit Fund Account	Key Bank	7,021.43
Inmate Funds Account	Key Bank	145,713.35
Inmate Key Advantage Account	Key Bank	50,343.50
Inmate Occupational Therapy Account	Key Bank	9,251.55
Miscellaneous Receipts Account	Key Bank	3,982.62
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	649.10
General Fund	Jeff Bank	2,338.73
Inmate Funds	Jeff Bank	188,267.06
Inmate Occupational Therapy	Jeff Bank	33,279.22
Inmate Savings	Jeff Bank	51,330.83
Inmate Savings CD	Hometown Bank	77,378.92
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	1,625.50
Employee Recreation Fund	M&T Bank	942.19
Inmate Deposit Account	M&T Bank	115,346.01
Inmate Occupational Therapy	M&T Bank	35.98
Misc Fees	M&T Bank	28.26
Work Release Advance Account	M&T Bank	10,224.00
10320 - EDGEcombe CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	68.50
Employee Benefit Account	JPMorgan Chase Bank, N.A.	2,457.06
Inmate Cash Account	JPMorgan Chase Bank, N.A.	90,608.73
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	0.00
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	2,821.44
Work Release Account	JPMorgan Chase Bank, N.A.	0.00
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	3,083.68
EBF	Community Bank	6,709.96
Inmate Fund	Community Bank	60,466.31
Inmate Savings	Community Bank	45,230.69
Misc. Receipts	Community Bank	6.50
Occupational Therapy	Community Bank	18,170.22
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,063.01
EBF Checking	Five Star Bank	34,290.93
EBF Savings	Five Star Bank	31,759.16
Inmate Savings	Five Star Bank	257,905.42
Inmate Spendable	Five Star Bank	211,787.18
Misc Receipts	Five Star Bank	1,054.57
Occupational Therapy	Five Star Bank	28,948.08
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,370.72
Employee Benefit Fund Checking	Bank of America, N.A.	26,213.08
Inmate Funds Checking	Key Bank	416,581.84
Inmate Funds Savings	Key Bank	314,387.88
Miscellaneous Revenue	Key Bank	291.80
Occupational Therapy	Key Bank	25,573.95
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	626.00
Employee Benefit Account	Alden State Bank	20,018.19
Inmate Savings	Alden State Bank	196,818.62
Inmates Funds	Alden State Bank	260,071.08
Misc. Receipts	Alden State Bank	7,537.15
Occupational Therapy	Alden State Bank	55,713.50
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		
Office of Nutritional Services		
Miscellaneous Receipts	Key Bank	11,734.20
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,557.54
Employee Benefit Fund	Community Bank	14,165.60
Inmate Funds	Community Bank	109,823.91
Inmate Funds Savings	Community Bank	259,743.88
Miscellaneous Revenue	Community Bank	6,961.72
Occupational Therapy	Community Bank	20,355.12
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,912.21
Employee Commission Account	Five Star Bank	13,587.41
Inmate Funds Account	Five Star Bank	106,331.75

Inmate Funds Account - Savings	Five Star Bank	108,043.68
Miscellaneous Receipts Account	Five Star Bank	2,240.75
Occupational Therapy Account	Five Star Bank	20,798.84
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	3,902.50
Employee Activities	Community Bank	41,508.61
Inmate Fund Checking	Community Bank	214,537.53
Inmate Savings	Community Bank	130,539.07
Miscellaneous Revenue	Community Bank	8,424.73
Occupational Therapy	Community Bank	16,327.72
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	Key Bank	414.10
Employee Benefit Fund	Bank of America, N.A.	32,218.44
Inmate Funds	Key Bank	235,601.34
Inmate Savings	Key Bank	198,692.85
Misc. Revenue	Key Bank	2,098.12
Occupational Therapy	Key Bank	46,723.37
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	3,254.23
Employee Benefit Fund Account	Bank of America, N.A.	7,187.79
Inmate Fund Account	Key Bank	159,575.35
Misc receipts Acct	Key Bank	6.00
NYS DOCS Marcy CORR Facility	Key Bank	206,754.64
Occupational Therapy fund Acct	Key Bank	43,798.12
10500 - NYC CENTRAL ADMINISTRATION		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	5,750.00
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	2,467.24
Moriah Shock Incarceration Occ Therapy	Glens Falls National	2,482.89
Moriah Shock Misc Receipts	Glens Falls National	0.00
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	64,858.75
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,369.43
Employee Benefit Account	Key Bank	15,446.28
Inmate Funds	Key Bank	62,985.73
Inmate Occupational Therapy	Key Bank	15,768.21
Inmate Savings	Key Bank	267,598.54
Misc. Receipts	Key Bank	3,771.41
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	2,183.89
Employees Vending Benefit	NBT Bank	10,548.24
Inmates Funds	NBT Bank	119,578.78
Misc Revenues General Fund	NBT Bank	708.97
Occupational Therapy	NBT Bank	6,030.93
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	1,374.54
Cert Of Deposit	First National Bank of Groton	87,164.07
Employee Benefit Fund	First National Bank of Groton	4,708.05
Inmate Occupational Therapy Account	First National Bank of Groton	36,773.17
Inmate Spendable	First National Bank of Groton	238,450.81
Misc Receipts	First National Bank of Groton	2,839.65
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,808.40
Employee Benefit Fund	Key Bank	7,734.69
Inmate Spendable Funds	Key Bank	99,879.20
Key Public Money Market Checking	Key Bank	268,945.08
Miscellaneous Receipts	Key Bank	1,714.02
Occupational Therapy	Key Bank	17,812.47
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,494.30
Inmate Accounts	Key Bank	67,823.63
Inmate Savings Account	Key Bank	105,613.66
Miscellaneous Receipts Account	Key Bank	9,319.10
Occupational Therapy	Key Bank	22,224.31
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,900.00
Employee Benefit Fund	Community Bank	38,079.85
Inmate Occupation Therapy Acct	Community Bank	34,225.50
Inmate Savings	Community Bank	151,712.05
Inmate Spendable Account	Community Bank	127,450.58

Miscellaneous Receipts Account	Community Bank	4,676.13
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	No report received
Employee Benefit Fund	Community Bank	No report received
Inmate Funds	Community Bank	No report received
Inmate Funds - Sav	Community Bank	No report received
Miscellaneous Revenue	Community Bank	No report received
Occupational Therapy	Community Bank	No report received
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	0.00
Agency Advance	M&T Bank	1,714.95
Employee Benefit Fund	Bank of America, N.A.	0.00
Employee Benefit Fund	M&T Bank	6,909.55
Inmate Fund	Bank of America, N.A.	0.00
Inmate Fund	M&T Bank	143,663.02
Inmate Funds Savings	Bank of America, N.A.	0.00
Inmate Funds Savings	M&T Bank	12,301.07
Misc Receipts	M&T Bank	89.32
Misc. Receipts	Bank of America, N.A.	0.00
Occupational Therapy	Bank of America, N.A.	0.00
Occupational Therapy	M&T Bank	5,990.92
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	463.29
Employee Benefit Fund	Chemung Canal Trust	14,715.96
Inmate Funds	Chemung Canal Trust	81,722.35
Inmate Funds Account	Chemung Canal Trust	78,003.15
Misc. Receipts Account	Chemung Canal Trust	109.50
Occupational Therapy Account	Chemung Canal Trust	25,185.76
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	2,055.14
Employee Benefit Fund	Bank of America, N.A.	9,496.21
Inmate Funds	Bank of America, N.A.	84,039.27
Inmate Savings	Bank of America, N.A.	108,072.73
Miscellaneous Receipts	Bank of America, N.A.	13,729.60
Occupational Therapy	Bank of America, N.A.	28,623.56
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,352.41
General Account	Key Bank	0.00
Inmate Account	Key Bank	103,293.30
Inmate Funds Account Certificate Of Deposit	Glens Falls National	78,891.89
Inmate Savings Account	Key Bank	14,365.03
Occupational Therapy Account	Key Bank	30,047.92
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	6,271.70
Employee Benefit Fund	Five Star Bank	10,779.82
Inmate Occupational Therapy	Five Star Bank	46,640.02
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	51,755.96
Inmate Savings-Certificate of Deposit	Five Star Bank	25,000.00
Inmate Spendable	Five Star Bank	192,587.23
Misc. Receipts Account	Five Star Bank	8,549.90
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	573.99
Inmate Accounts	National Bank of Coxsackie	111,602.04
Inmate Savings	National Bank of Coxsackie	248,685.82
Misc. Receipts	National Bank of Coxsackie	881.54
Occupational Therapy	National Bank of Coxsackie	64,722.79
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	1,250.19
Inmate Funds	Key Bank	150,348.73
Inmates Funds Account	Key Bank	42,306.04
Misc. Receipts Account	Key Bank	3,152.28
Occupational Therapy Acct	Key Bank	27,678.91
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Key Bank	3,266.16
Inmate Checking	Key Bank	137,314.37
Inmate Savings	Key Bank	100,453.53
Miscellaneous	Key Bank	7,081.13
Occupational Therapy	Key Bank	24,707.72
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	1,430.00
Inmate Occupational Therapy	Community Bank	26,709.84
Inmate Savings	Community Bank	194,971.00

Inmate Spendable Fund	Community Bank	104,117.51
Misc Receipts	Community Bank	11,192.32
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	860.43
Employee Benefit Fund	Community Bank	10,344.53
Inmate Funds	Community Bank	68,006.94
Inmate Occupational Therapy	Community Bank	11,210.04
Misc Receipts	Community Bank	2,365.69
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	1,888.07
Facility Committees	Key Bank	18,221.07
Inmate Fund	Key Bank	96,340.87
Inmate Fund Savings	Key Bank	0.00
Inmate Occupational Therapy Fund	Key Bank	3,428.62
Miscellaneous Account	Key Bank	185.40
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	658.79
Employee Benefit Fund	Bank of America, N.A.	9,122.90
Inmate Funds	Key Bank	89,934.63
Inmate Interest Bearing Account	Key Bank	15,001.91
Misc Receipts	Key Bank	87.50
Occupational Therapy	Key Bank	30,073.78
10890 - CORRECTIONS AND COMMUNITY SUPERVISION		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	307,462.76
Parole Supervision Fee	Wells Fargo Bank	15,413.18
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	5,733.00
Div of Ind Revenue Acct	Key Bank	144,731.62
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		
NYS HESC-Federal Student Loan Suspense	Key Bank	401,855.09
Operating	Key Bank	3,544,437.37
Retail Lockbox	US Bank	162,613.73
TAP	Key Bank	11,030.63
Wholesale Lockbox	US Bank	1,834,382.71
11260 - BATAVIA SCHOOL FOR THE BLIND		
Misc. Receipts	M&T Bank	1,550.57
Petty Cash	M&T Bank	3,940.07
Student Spending Account	Bank of America, N.A.	10,846.34
11270 - ROME SCHOOL FOR THE DEAF		
Miscellaneous Receipts	NBT Bank	4,642.94
Petty Cash	NBT Bank	2,070.00
Student Activity Fund	NBT Bank	14,918.85
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	4,706,743.38
Endowment - Special Account	Janney Montgomery Scott LLC	No report received
Trust's Board Project Account	Key Bank	274,551.10
12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION		
Conf Narcotic Investigation	M&T Bank	4,794.01
Consolidated Advance Acct	M&T Bank	11,017.08
CSA Rebate Account	Bank of America, N.A.	0.00
DOH EPIC Lockbox Acct	Wells Fargo Bank	10,656.56
Early Intervention - Municipal Deposits for Provider Pymts	Key Bank	0.00
Early Intervention - Provider Payments Escrow	Key Bank	31,216.35
Early Intervention - State Funds	Key Bank	16,072.96
EPIC Co Pay Account	Bank of America, N.A.	0.00
Epic Drug Manufacturer Rebate Account	Bank of America, N.A.	7,222.94
EPIC EFT Acct	Bank of America, N.A.	0.00
EPIC Master Funding Acct	Bank of America, N.A.	936,403.40
EPIC Provider Receipt Account	Bank of America, N.A.	0.00
EPIC Refund Acct	Bank of America, N.A.	0.00
eWIC	Wells Fargo Bank	12,699.30
General Account	M&T Bank	221,483.31
ICR Audit Fees Account	Bank of America, N.A.	10,666.20
Indian Health Disbursement Account	Bank of America, N.A.	0.00
Indian Health-Master Acct	Bank of America, N.A.	11,537.51
Medicaid	Key Bank	112,067.66
Medicaid Audit Recoveries Acct	Key Bank	0.00
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	4,847,670.95
Nurses Aide Fees (Prometric)	Bank of America, N.A.	47,052.04
Nursing Home Fees Account	Bank of America, N.A.	64,091.11

NYS DOH CLEP Revenue	Key Bank	84,540.61
OBRA Drug Rebate Program Acct	Bank of America, N.A.	12,985,035.84
SPARCS	Key Bank	28,692.83
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	1,313,483.05
12030 - HELEN HAYES HOSPITAL		
Misc. Receipts	JPMorgan Chase Bank, N.A.	614,186.73
Petty Cash Account	JPMorgan Chase Bank, N.A.	13,852.99
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	6,062.36
12120 - NYS VETERANS HOME-OXFORD		
Agency Advance	NBT Bank	10,049.83
Exchange Account	NBT Bank	24,106.86
Maintenance Fund	NBT Bank	311,663.11
NYS Veterans Home-Oxford (Resident Account, Custodial Account)	NBT Bank	236,148.88
Resident Custodial Account	NBT Bank	10,118.96
Resident Custodial Account	NBT Bank	5,070.99
Resident Custodial Account	NBT Bank	6,505.28
Resident Custodial Account	NBT Bank	8,350.92
Resident Custodial Account	NBT Bank	323.14
Resident Custodial Account	NBT Bank	2,196.84
Resident Custodial Account	NBT Bank	2,978.41
Resident Custodial Account	NBT Bank	1,560.17
Resident Custodial Account	NBT Bank	2,931.99
Resident Custodial Account	NBT Bank	6,843.68
Resident Custodial Account	NBT Bank	119.78
12150 - NYS VETERANS HOME-ST ALBANS		
NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	18,675.78
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	809,900.39
St Albans Vet Home Maintenance Acct	NBT Bank	287,942.15
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	3,769.06
Exchange Account	Bank of America, N.A.	52,235.83
Maintenance Account	NBT Bank	336,439.10
Resident Funds	Bank of America, N.A.	65,183.81
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	12,032.91
Maintenance Acct	NBT Bank	389,706.00
Residence Account	Bank of America, N.A.	689,946.74
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	254.59
Albany Petty Cash Account	Key Bank	500.00
NYC Confidential Account	JPMorgan Chase Bank, N.A.	166.00
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	26,325.05
Exchange Account	Bank of America, N.A.	129,184.20
Fee And Permit Account	Key Bank	729,698.06
Min Wage & Claim Funding Acct	Key Bank	148,085.88
Minimum Wage & Wage Claim Acct	Key Bank	1,375,737.67
Misc Receipts	Bank of America, N.A.	288,004.99
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	10,927,327.87
UI Fund ACH Transactions	Wells Fargo Bank	100,000.00
14010 - WORKERS COMPENSATION BOARD		
DTF/WCB MAC 14	JPMorgan Chase Bank, N.A.	165,999,367.08
16000 - PUBLIC SERVICE COMMISSION		
Cable Account	Key Bank	5,707.28
Petty Cash Account	Key Bank	3,105.93
Special Fee Account	Key Bank	10,294.49
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	40,897.89
Driver Improvement Program (DIP)	Key Bank	1,141,974.21
Main Office Advance For Travel	Key Bank	52,901.30
PARTNERS DOT -HOOCs	Key Bank	4,215,194.99
Revenue Unit	Key Bank	328,344.96
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	144,832.94
19000 - DEPARTMENT OF STATE		
Atheltic	M&T Bank	9,350.00
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	573,449.92
Main	M&T Bank	134,087.23
Petty Cash Account	Key Bank	17,553.88
Summons	M&T Bank	712,347.75
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		
JCOPE Revenue Account	Bank of America, N.A.	500.00
20000 - DEPARTMENT OF TAXATION & FINANCE	Bank of America, N.A.	56,970.07
IFTA Funding	JPMorgan Chase Bank, N.A.	395.95
Misc Tax Account - Exchange	Bank of America, N.A.	202,104.86
Petty Cash	Bank of America, N.A.	9,392.57
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	49,300.00
Waste Tire Fee (EFT)	Wells Fargo Bank	7,308.54
Waste Tire Tax	JPMorgan Chase Bank, N.A.	15,779.21
20020 - DEPARTMENT OF TAXATION & FINANCE		
Commercial Gaming Revenue Account	Key Bank	No report received
Commercial Gaming Revenue Account	Key Bank	No report received
20050 - NEW YORK STATE GAMING COMMISSION		
Charitable Gaming Account	Key Bank	321,664.82
Commercial Gaming Revenue Account	Key Bank	0.00
Custody Account	US Bank	12,652.52
Fingerprint Concentration Account	Key Bank	15,048.06
License Revenue Account	Bank of America, N.A.	40,709.06
Lottery Concentration Account	Key Bank	281,829.86
Lottery Prize Payment Account	Key Bank	0.00
Lottery Subscriptions Account	Key Bank	677,003.90
Petty Cash Account	Key Bank	802.51
Racing Refund Account	Key Bank	366,390.93
Video Gaming Revenue Account	Key Bank	11,865,718.28
21012 - WELFARE INSPECTOR GENERAL		
Confidential Fund	Bank of America, N.A.	15,000.00
Confidential Fund	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
21110 - OFFICE OF REGULATORY REFORM		
Petty Cash	Key Bank	No report received
21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT		
Checking- General Fund Acct.	Community Bank	17,150.34
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	333,794.63
Money Market	Bank of America, N.A.	2.82
Petty Cash Fund	Bank of America, N.A.	6,500.00
21700 - OFFICE OF THE STATE INSPECTOR GENERAL		
Office Of The State Inspector General Pass Thru Account	Key Bank	56,204.23
OSIG Petty Cash Account	Key Bank	201.18
Albany		
Office of the Inspector General Confidential	Bank of America, N.A.	27,700.00
21820 - STATE COMMISSION ON JUDICIAL CONDUCT		
Petty Cash Account	JPMorgan Chase Bank, N.A.	460.29
Petty Cash Account	Key Bank	795.08
Petty Cash Fund	JPMorgan Chase Bank, N.A.	528.39
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
23000 - DEPARTMENT OF MOTOR VEHICLES		
Albany Central Main Acct		
Albany Central Main Acct	Wells Fargo Bank	No report received
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	No report received
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	No report received
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	No report received
Administrative Adj	M&T Bank	No report received
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	No report received
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	No report received
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	No report received
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received

Chautauqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
Chautauqua County		
Holding Acct-Chautauqua County	Community Bank	93,676.93
Holding Acct-Chautauqua County	Key Bank	70,903.44
Holding Acct-Chautauqua County	M&T Bank	276,235.24
Concentration (CTY)(OSC)		
Concentration (CTY)(OSC)	Key Bank	No report received
Concentration (DO)(OSC)		
Concentration (DO)(OSC)	Key Bank	No report received
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	No report received
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	No report received
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	No report received
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	No report received
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Downstate		
Revenue Account - Downstate	Wells Fargo Bank	No report received
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	No report received
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
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.	No report received
IRP (Albany Central Office)		
International Registration	M&T Bank	No report received
International Registration	Wells Fargo Bank	No report received
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	No report received
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	No report received
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	No report received
Long Island/Staten Island JP		
Long Island/Staten Island (Mass/Med)	JPMorgan Chase Bank, N.A.	No report received
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	114,792.43
Oneida County Fee Account	NBT Bank	109,356.62
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	No report received
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	No report received
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	No report received
Search Exchange (Albany Central Office)		
MV Search	Key Bank	No report received
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	No report received
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	No report received
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	No report received
TLC/DOCCS		
TLC/DOCCS	JPMorgan Chase Bank, N.A.	No report received
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	No report received
TVB Acct		
TVB Acct	Wells Fargo Bank	No report received
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	No report received

Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	No report received
Utica D.O.		
Exchange Account	Bank of Utica	No report received
Revenue Utica	Bank of Utica	No report received
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	No report received
25000 - OFFICE OF CHILDREN & FAMILY SERVICES		
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	950.00
Brentwood Residents' Account	JPMorgan Chase Bank, N.A.	442.15
Brooklyn Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	500.00
Brookwood Cash Advance	Key Bank	1,736.71
Brookwood Resid Residential Cash	Key Bank	13,706.25
Check Exchange	Bank of America, N.A.	643.39
CO Independent Living Acct	Bank of America, N.A.	2,000.00
Co. Training Employment Dev (Youth Stipend)	Bank of America, N.A.	25,000.00
Columbia Girls Secure Center-Advance Acct	Key Bank	700.00
Columbia Girls Secure Center-Youth Savings	Key Bank	1,647.80
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	4,956.34
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	3,300.00
Goshen Cash Advance	Bank of America, N.A.	2,803.46
Goshen Residents Account	Bank of America, N.A.	8,510.96
Harriet Tubman Advance Account	Key Bank	500.00
Harriet Tubman Residents' Account	Key Bank	570.33
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	2,194.25
Highland Res Ctr Residents Acct	Bank of America, N.A.	3,166.40
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,329.00
Industry Res Account	JPMorgan Chase Bank, N.A.	3,104.71
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	374.75
MacCormick Cash Advance	Tompkins County Trust	1,901.00
MacCormick Residents' Account	Tompkins County Trust	3,832.99
Medicaid Reimbursement Exchange	Bank of America, N.A.	44,745.35
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	15,500.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	14,971.83
Queens CMSO Cash Advance	Bank of America, N.A.	400.00
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	600.00
Red Hook Res Ctr Resident Cash	Key Bank	623.73
Red Hook Resid Ctr Cash Advance	Key Bank	102.21
SCR Credit Card Revenue Account	Bank of America, N.A.	42,475.00
State Central Register	Bank of America, N.A.	63,767.60
Taberg Cash Advance	NBT Bank	758.85
Taberg Residents Account	NBT Bank	1,002.81
Youth Leadership Academy	NBT Bank	1,692.10
Youth Leadership Cash Advance	NBT Bank	750.00
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	20.70
Title IV D Of Social Security	Key Bank	121,710.93
Travel Advance	Key Bank	10,000.00
28010 - SUNY ALBANY		
Fee Account	Key Bank	(1,766,835.69)
Loan Services Center Account	Key Bank	57,142.55
Petty Cash/Travel Advance	Key Bank	0.00
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	2,301,309.07
SUNY Binghamton - Controlled Disb	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	1,147,075.39
Imprest Account	Key Bank	0.00
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	2,690,547.90
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	16,094,786.65
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	212,967.79
LISVH Fees Depository	Sterling Bank	422,515.82
LISVH Residence Fund	Sterling Bank	340,525.25
Payroll Advance	JPMorgan Chase Bank, N.A.	7,422.63
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	399,486.24
SUNY Eastern Long Island Hospital Depository	JPMorgan Chase Bank, N.A.	6,233,597.74
SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	1,610,247.25
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	9,253,676.16

University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,764.60
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	1,085,103.98
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.	1,290,660.31
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	45,187.89
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
Student Refunds	JPMorgan Chase Bank, N.A.	0.00
28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE		
College Revenue	Key Bank	111,887.72
Controlled Disbursement	Key Bank	0.00
Hospital Revenue	Key Bank	4,465,614.44
Parking	Key Bank	282,185.47
28150 - SUNY BROCKPORT		
Brockport-REOC Account	Key Bank	8,602.00
Concentration Acct	M&T Bank	168,348.44
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	3,073.14
Students Acct Office	M&T Bank	227,763.38
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	4,765,010.59
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	187,612.24
28190 - SUNY GENESEO		
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	159,041.35
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	381,929.90
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
State Revenue	Key Bank	(1,207,305.25)
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	4,023,667.28
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	644,930.89
Imprest Account	Key Bank	0.00
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	5,830,719.02
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	165,506.24
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	143,433.61
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.	117,616.57
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	193,254.31
Distribution Center Account	Key Bank	109,925.55
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	2,785,848.60
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	247,405.27
Dental Hygiene	NBT Bank	0.00
Income Fund	Key Bank	418,479.65
International Program Account	Key Bank	37,521.36
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	243,857.03
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	6,061,361.11
Petty Cash Fund	Delaware National Bank	0.00
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Income Fund	Citibank	513,492.52
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		

Income Fund	Key Bank	501,675.67
Revenue Account	NBT Bank	11,007.67
28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY		
Agency Advance	Key Bank	0.00
Controlled Disb	Key Bank	0.00
ESF/GSA	Key Bank	0.00
Forestry	Community Bank	258.72
Regular Account	Key Bank	266,157.98
Student Government	Key Bank	0.00
28570 - SUNY MARITIME COLLEGE		
Controlled Disbursement Account	JPMorgan Chase Bank, N.A.	0.00
Cruise Account	JPMorgan Chase Bank, N.A.	0.00
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	40,706.28
Revenue EFT Account	JPMorgan Chase Bank, N.A.	50,153.01
28580 - SUNY COLLEGE OF OPTOMETRY		
General Revenue	JPMorgan Chase Bank, N.A.	68,469.90
Medical Transportation	JPMorgan Chase Bank, N.A.	1,200.88
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	1,851,078.16
Revenue	Key Bank	64,395.16
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,258.76
Confidential Investigations	JPMorgan Chase Bank, N.A.	11,891.66
Fire Tax Account (Main)	Key Bank	1,234,462.54
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	3,309,590.23
General Fund	Key Bank	187,962.81
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	5,911,900.43
Miscellaneous Account	JPMorgan Chase Bank, N.A.	196,783.72
Paid Family Leave	JPMorgan Chase Bank, N.A.	0.00
Petty Cash	Key Bank	6,000.00
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,940.96
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Revenue (SA)	Glens Falls National	45,490.91
SARATOGA REGION CONTRACTORS BID ACCOUNT	Key Bank	86,908.68
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	66,425.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	208,450.77
Revenue (LI)	People's United Bank	30,626.73
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	53,314.09
Revenue (GE)	Bank of Castile	47,978.33
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	4,471.87
Revenue (NIA)	Evans National Bank	27,028.10
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	4,389.60
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	214,460.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	Key Bank	70,219.92
Petty Cash (ALB)	Key Bank	29,913.20
Revenue (NI, GE, AL, CE, TA)	M&T Bank	34,690.61
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	31,797.92
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	40,896.46
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	4,711.32
Revenue (various)	Wells Fargo Bank	75,594.81
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	470,443.41
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	214,189.41
Statewide Housing Security Deposits	Key Bank	131,597.07
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	20,014.78
Revenue (FL)	Savannah Bank	39,492.12
Revenue (FL-Multi)	Community Bank	7,140.06
Revenue (FL-Multi-Facilities)	Tompkins County Trust	155,963.95
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	868.00
Regional Account (AL)	Five Star Bank	116,520.48
Revenue (AL)	Five Star Bank	48,498.38
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	20,721.27
Revenue (CE, SA, TI)	NBT Bank	39,953.04

49130 - TACONIC STATE PARK COMMISSION

Contractors Bid (TA)

M&T Bank 861.46

49140 - THOUSAND ISLANDS STATE PARK COMMISSION

Revenue (TI)

Citizens Bank 23,764.56

Revenue (TI-Multi)

Community Bank 8,887.19

50000 - OFFICE OF MENTAL HEALTH

Consolidated Advance

Bank of America, N.A. 17,736.40

Iterim Assistance Agreement

Bank of America, N.A. 0.00

OMH Medication Grant Program Acct

Bank of America, N.A. 8,384.81

Reimbursement Account

Bank of America, N.A. 13,585,186.36

50010 - GREATER BINGHAMTON HEALTH CENTER

Agency Advance Account

JPMorgan Chase Bank, N.A. 6,081.46

Facility Holding Account

JPMorgan Chase Bank, N.A. 25,885.07

Patient Cash Funds

JPMorgan Chase Bank, N.A. 450,750.92

Patients Cash Account

JPMorgan Chase Bank, N.A. 235,835.10

Security Deposit

JPMorgan Chase Bank, N.A. 2,579.35

50020 - KINGSBORO PSYCHIATRIC CENTER

Advance Account

Banco Popular No report received

Family Care

Banco Popular No report received

Holding Account

Banco Popular No report received

Medicaid Outpatient Travel

Banco Popular No report received

Patient Cash Acct (MM)

Banco Popular No report received

Patient Checking Account

Citibank No report received

Patient Savings Account

Banco Popular No report received

Security Deposit

Banco Popular No report received

Urban Oasis/EBT

Banco Popular No report received

50030 - BUFFALO PSYCHIATRIC CENTER

Advance Account

Key Bank 63,681.74

Facility Holding

Key Bank 13,266.38

Patient Cash Checking

Key Bank 90,953.02

50060 - HUDSON RIVER PSYCHIATRIC CENTER

Patients Cash

JPMorgan Chase Bank, N.A. 0.00

50080 - MANHATTAN PSYCHIATRIC CENTER

Advance Account

Sterling Bank 12,796.21

CD

Hudson Valley National Bank 425,038.94

General Fund Checking

Hudson Valley National Bank 6,607.07

Patient Cash Checking

Hudson Valley National Bank 729,077.02

Patients Money Market

Hudson Valley National Bank 72,845.03

Social Service Tokens

Hudson Valley National Bank 33,942.14

50110 - ROCHESTER PSYCHIATRIC CENTER

Agency Advance

Key Bank 30,957.87

Facility Holding

Key Bank 59,919.76

Patients Cash Account

Key Bank 139,963.34

Patients Fund Savings

Key Bank 205,164.18

50120 - ST LAWRENCE PSYCHIATRIC CENTER

Facility Advance Account

Community Bank 15,932.38

Facility Holding Account

Community Bank 23,922.45

Patients Cash Account

Community Bank 18,559.55

Patients Cash Savings

Community Bank 204,075.15

50150 - CREEDMOOR PSYCHIATRIC CENTER

Advance Account

HSBC No report received

Certificate Of Deposit

HSBC No report received

Certificate Of Deposit

HSBC No report received

Holding Account

HSBC No report received

Medicaid Travel Account

HSBC No report received

Money Management Account

HSBC No report received

Patient Cash Account

HSBC No report received

Rent Holding Account

HSBC No report received

50170 - ROCKLAND PSYCHIATRIC CENTER

Advance Account

JPMorgan Chase Bank, N.A. 31,033.30

Exchange

JPMorgan Chase Bank, N.A. 120,762.86

Holding Account

JPMorgan Chase Bank, N.A. 63,393.01

INVESTMENT CD A

Sterling Bank 100,000.00

Investment CD B

Sterling Bank 100,000.00

INVESTMENT CD C

Sterling Bank 100,000.00

INVESTMENT CD D

Sterling Bank 100,000.00

INVESTMENT CD G

Sterling Bank 100,000.00

INVESTMENT CD I

Sterling Bank 100,000.00

Patient Cash Account

JPMorgan Chase Bank, N.A. 50,000.00

Patient Cash Checking Account

JPMorgan Chase Bank, N.A. 65,733.69

Patient Cash Savings Account

JPMorgan Chase Bank, N.A. 1,137,071.64

50180 - NYS PSYCHIATRIC INSTITUTE

Donation & Gift Acct/Patient Fund Acct

JPMorgan Chase Bank, N.A. 4,559.21

General

JPMorgan Chase Bank, N.A. 72,022.99

Petty Cash	JPMorgan Chase Bank, N.A.	1,451.57
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	10,418.48
Clients Count	Key Bank	119,193.80
Holding Account	Key Bank	18,004.39
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	68,645.69
Facility Holding Acct	JPMorgan Chase Bank, N.A.	115,582.04
Patient Cash	JPMorgan Chase Bank, N.A.	809,556.47
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	14,351.84
Facility Holding	Key Bank	1,284.68
Patient Cash Checking	Key Bank	19,421.71
Patient Cash Savings	Key Bank	28,921.80
Security Deposit	Key Bank	8,520.51
50310 - BRONX PSYCHIATRIC CENTER		
CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	13,039.04
Misc. Receipts	JPMorgan Chase Bank, N.A.	26,906.38
Patients Cash MM	JPMorgan Chase Bank, N.A.	87,718.83
Patients Checking Acct	JPMorgan Chase Bank, N.A.	495,782.93
50340 - NATHAN KLINE INSTITUTE		
Petty Cash Account	JPMorgan Chase Bank, N.A.	1,300.00
50350 - KIRBY FORENSIC PSYCHIATRIC CENTER		
Consolidated Advance Account	Hudson Valley National Bank	6,005.19
Holding Account	Hudson Valley National Bank	33,763.20
Patient Cash Account	Hudson Valley National Bank	111,976.75
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	3,917.43
General Fund	Key Bank	7,950.57
Patient Checking	Key Bank	53,883.06
Patient Savings	Key Bank	201,439.43
Security Deposit	Key Bank	3,819.59
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	15,975.00
Facility Holding Account	Key Bank	1,354.25
Patients Account	Key Bank	202,000.13
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	4,930.00
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	13,627.51
Facility Holding Checking	JPMorgan Chase Bank, N.A.	7,433.37
Family Care Checking	JPMorgan Chase Bank, N.A.	0.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	506,099.06
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	14,288.95
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	Key Bank	2,314.01
Exchange Account	Key Bank	0.00
Patient Cash	Key Bank	70.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	49,844.23
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	5,410.50
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	18,278.70
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	3,573.89
Queens Adv Acct	HSBC	10,816.33
Queens Childrens Account	HSBC	6,585.69
50920 - ELMIRA PSYCHIATRIC CENTER		
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Facility Advance Account	Chemung Canal Trust	10,987.50
General Fund Account	Chemung Canal Trust	4,193.90
IMMA	Chemung Canal Trust	46,072.28
Patients Fund Account	Chemung Canal Trust	253,635.17
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	11,903.19
Facility Holding Account	Key Bank	126,071.00
Parking Garage Account	Key Bank	216,240.35
Patients Cash Checking Account	Key Bank	143,763.62
Patients Cash Savings Account	Key Bank	397,085.69
51000 - NYS OFFICE FOR PEOPLE WITH DEVELOPMENTAL DISABILITIES		

Petty Cash Acct	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	2,824,404.09
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 Accounts	Key Bank	37,958.60
Clients Account	Key Bank	584,121.17
Consumer Cash - Savings	Adirondack Bank	380,684.58
Consumer Cash - Savings	Key Bank	3,415,587.44
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	64,482.79
General Fund	M&T Bank	805.50
Patients Cash Checking	M&T Bank	1,851,679.87
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	930,016.64
51270 - STATEN ISLAND DDSO		
Clients Cash Account	JPMorgan Chase Bank, N.A.	No report received
General Fund Account	JPMorgan Chase Bank, N.A.	No report received
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
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	No report received
CD-Patient Property Funds	Key Bank	No report received
Exchange Account	M&T Bank	No report received
General Account	Community Bank	No report received
Patient Property Funds	Adirondack Bank	No report received
Patient Property Funds	M&T Bank	No report received
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.	399,787.59
Consumers Money Management	JPMorgan Chase Bank, N.A.	686,713.35
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	219,133.94
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	22,307.11
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	5,738.52
51420 - SUNMOUNT DDSO		
Certificate of Deposit	Community Bank	No report received
Community Store Fund	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.	24,154.32
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	29,861.55
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	0.00
Metro NY DDSO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	355,474.04
Patients Cash Account	JPMorgan Chase Bank, N.A.	18,798.32
Patients Money Market Account	JPMorgan Chase Bank, N.A.	0.10
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
51470 - BERNARD M FINESON DDSO		
Bernard Fineson DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	No report received
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Patient Fund Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Fund	JPMorgan Chase Bank, N.A.	No report received

51780 - FINGER LAKES DDSO

Advance Account
 F.L. Newark Resident Checking
 Finger Lakes Resident Checking
 FL Vending Machine Account
 General Account
 Geneseo Client Cash
 Kelsey Trust Fund
 Mary Moore Trust Fund
 Monroe Resident Checking
 Monroe Resident Savings
 Patient Food Stamp Account

JPMorgan Chase Bank, N.A. No report received
 Community Bank No report received
 JPMorgan Chase Bank, N.A. No report received
 Community Bank No report received
 JPMorgan Chase Bank, N.A. No report received
 Bank of America, N.A. No report received
 Bank of America, N.A. No report received
 Bank of America, N.A. No report received
 JPMorgan Chase Bank, N.A. No report received
 JPMorgan Chase Bank, N.A. No report received
 JPMorgan Chase Bank, N.A. No report received

51940 - BROOME DDSO

Broome DDSO
 Broome DDSO - Advance Account
 Broome DDSO - General Fund
 Disabled Individuals Savings
 Disabled Individuals Savings
 OMRDD Broome DDSO EBT Checking

M&T Bank No report received
 M&T Bank No report received
 M&T Bank No report received
 Key Bank No report received
 M&T Bank No report received
 M&T Bank No report received

53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES

Agency Advance Acct
 Creedmoor PNA Account
 Patient Fees
 Revenue Account

Key Bank 2,800.00
 JPMorgan Chase Bank, N.A. 2,268.10
 Bank of America, N.A. 698,234.79
 Bank of America, N.A. 23,500.06

53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER

Petty Cash Advance Account

Bank of America, N.A. 266.90

70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION

CUNY Admin Imprest Cash Account

Citibank 9,272.23

70030 - CUNY HUNTER COLLEGE

Travel Petty Cash Account

Citibank 46,020.00

70060 - CUNY JOHN JAY COLLEGE

CUNY JOHN JAY COLLEGE IMPREST FUND

Citibank 16,500.00

70070 - CUNY LEHMAN COLLEGE

Lehman College

Citibank 4,345.50

70080 - CUNY YORK COLLEGE

York College Imprest Funds
 York College Travel Advance Fund

Citibank 11,288.64
 Citibank 817.00

70100 - CUNY COLLEGE OF STATEN ISLAND

CSI Imprest Cash

TD Bank 4,910.27

70120 - CUNY NYC COLLEGE OF TECHNOLOGY

NY City College Of Technology Technical College Imprest Fund

Popular Community Bank 5,000.00

70150 - CUNY SCHOOL OF LAW

CUNY School Of Law

TD Bank 27,681.32

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 01/31/2020**

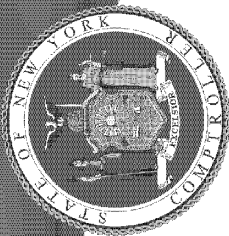
ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 01/31/2020
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND		
0231 Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232 Upstate Community Colleges, Series 2005B	Key Bank	510,220.87
DORMITORY AUTHORITY OF THE STATE OF NEW YORK		
0039 Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	898,350.98
0070 Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104 Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	16,767.06
0105 Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	303,335.88
0149 State Advances Repayment Account	Bank of America, N.A.	0.00
1202 DA DFRF MAC #1202 Binghamton	Key Bank	25.25
1203 DA DFRF MAC #1203 Oneonta	Key Bank	(1,499,405.22)
1205 DA DFRF MAC #1205 Delhi	Key Bank	723.64
1206 DA DFRF MAC #1206 Buffalo Univ	Key Bank	447.32
1207 DA DFRF MAC #1207 Buffalo College	Key Bank	669.25
1208 DA DFRF MAC #1208 Alfred	Key Bank	452.40
1209 DA DFRF Mac #1209 Fredonia	Key Bank	657.55
1211 DA DFRF Mac #1211 Upstate Medical	Key Bank	3.85
1212 DA DFRF Mac #1212 Oswego	Key Bank	694.24
1214 DA DFRF Mac #1214 Cortland	Key Bank	187.58
1215 DA DFRF MAC #1215 Stony Brook	Key Bank	624.02
1216 DA DFRF MAC #1216 Old Westbury	Key Bank	383.69
1217 DA DFRF MAC #1217 Farmingdale	Key Bank	295.38
1218 DA DFRF MAC #1218 Downstate Med	Key Bank	323.45
1219 DA DFRF MAC #1219 Maritime	Key Bank	863.11
1221 DA DFRF MAC #1221 Brockport	Key Bank	596.43
1222 DA DFRF MAC #1222 Geneseo	Key Bank	266.75
1223 DA DFRF MAC #1223 Purchase	Key Bank	823.06
1224 DA DFRF MAC #1224 New Paltz	Key Bank	787.74
1225 DA DFRF MAC #1225 Canton	Key Bank	0.00
1226 DA DFRF MAC #1226 Plattsburgh	Key Bank	281.66
1227 DA DFRF MAC #1227 Potsdam	Key Bank	412.17
1228 DA DFRF MAC #1228 Morrisville	Key Bank	495.30
1229 DA DFRF MAC #1229 SUNYIT	Key Bank	826.59
1230 DA DFRF MAC #1230 Cobleskill	Key Bank	516.44
1239 DA DFRF MAC #1239 Albany	Key Bank	488.75
1240 Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202 DA OMR MAC #2202 Binghamton	Key Bank	1,174.33
2203 DA OMR MAC #2203 Oneonta	Key Bank	907,763.59
2205 DA OMR MAC #2205 Delhi	Key Bank	1,017.06
2206 DA OMR MAC #2206 Buffalo Univ	Key Bank	1,054.97
2207 DA OMR MAC #2207 Buffalo College	Key Bank	198.10
2208 DA OMR MAC #2208 Alfred	Key Bank	1,656,997.12
2209 DA OMR MAC #2209 Fredonia	Key Bank	1,128.62
2211 DA OMR MAC #2211 Upstate Medical	Key Bank	1,028.69
2212 DA OMR MAC #2212 Oswego	Key Bank	705.79
2214 DA OMR MAC #2214 Cortland	Key Bank	1,591.96
2215 DA OMR MAC #2215 Stony Brook	Key Bank	341.54
2216 DA OMR MAC #2216 Old Westbury	Key Bank	1,235.36
2217 DA OMR MAC #2217 Farmingdale	Key Bank	1,019.17
2218 DA OMR MAC #2218 Downstate Med	Key Bank	1,025.50
2219 DA OMR MAC #2219 Maritime	Key Bank	1,219.34
2221 DA OMR MAC #2221 Brockport	Key Bank	1,133,998.45
2222 DA OMR MAC #2222 Geneseo	Key Bank	1,144.25
2223 DA OMR MAC #2223 Purchase	Key Bank	169.38
2224 DA OMR MAC #2224 New Paltz	Key Bank	269.65
2225 DA OMR MAC #2225 Canton	Key Bank	143,902.02
2226 DA OMR MAC #2226 Plattsburgh	Key Bank	1,008.62
2227 DA OMR MAC #2227 Potsdam	Key Bank	1,214.25
2228 DA OMR MAC #2228 Morrisville	Key Bank	73.23
2229 DA OMR MAC #2229 SUNYIT	Key Bank	93.14
2230 DA OMR MAC #2230 Cobleskill	Key Bank	1,198.15
2239 DA OMR MAC #2239 Albany	Key Bank	4,464,988.13
2240 DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	1,013.64
HOMELESS HOUSING ASSISTANCE CORPORATION		
0320 Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	4,843,031.80
NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION		

0315	The Egg	Key Bank	224,059.01
NEW YORK CONVENTION CENTER			
0300	Operating Fund	JPMorgan Chase Bank, N.A.	5,878,004.04
NEW YORK JOB DEVELOPMENT AUTHORITY			
0036	Special Purpose Fund	Bank of America, N.A.	568,648.93
0371	Series H Commercial Paper	Bank of America, N.A.	1,333,964.58
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	333,129.10
0423	Escrow Account for USA Industries Inc.	Key Bank	37,274.67
0424	Escrow Account for Pluritec USA Inc.	Key Bank	19,782.38
0426	Agriculture Loan Program	Key Bank	12,861.12
NYS AFFORDABLE HOUSING CORPORATION			
0491	Disbursement Account	JPMorgan Chase Bank, N.A.	895,368.12
0520	Development Account	Key Bank	7,057,452.43
0521	Development Account II	Key Bank	0.00
0522	Repayment Account	Key Bank	462,639.13
0523	Recapture Account	Key Bank	26,836.46
0880	Payroll Account	JPMorgan Chase Bank, N.A.	0.00
NYS DEPARTMENT OF HEALTH			
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	(1,582,025.26)
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.	84,815.33
0625	Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	27,984.93
0626	Criminal Investigation Division	Key Bank	344,431.25
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	521,010.68
0827	Stock Transfer Incentive Fund	Key Bank	1,132,562.21
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.	(35,649,394.32)
NYS HOUSING FINANCE AGENCY			
0032	Operating Fund	Key Bank	0.00
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	203,111.75
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	711,412.86
0255	Residual Indebtedness Program Operating Fund	JPMorgan Chase Bank, N.A.	0.00
0266	Community Related Programs Operating Account	Key Bank	0.00
0267	Neighborhood Stabilization Program - Round 1	JPMorgan Chase Bank, N.A.	62,646.12
0270	Claims Repayment Account	Key Bank	0.00
0271	Pre-Bond Revenue Account	Key Bank	0.00
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	956,199.15
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	0.00
0283	Small Owner's Assistance Program Account	Key Bank	74,031.52
0285	Public Purpose Account	Key Bank	1,702,827.75
0286	Disbursement Account	Key Bank	2,927,821.51
0287	Infrastructure Development Fund	Key Bank	197,817.52
0288	Mobile Home Cooperative Fund	Key Bank	23,302.18
0290	Low Rent Lease Account	Key Bank	0.00
0292	Homeless Housing Initiatives	Key Bank	198,761.96
0294	Housing Plan Fund	Key Bank	4,453,995.33
0301	HFA - Subsidy Repayment Account	Key Bank	148,080.71
0305	HPD Disbursement Fund	Key Bank	819,252.74
0879	Payroll Account	JPMorgan Chase Bank, N.A.	125,999.24
NYS HOUSING TRUST FUND CORPORATION			
0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	1,292,332.60
0460	Escrow Account	M&T Bank	2,420,017.26
0461	Housing Modernization Account	M&T Bank	1,681,883.35
0462	General Custodial Account	M&T Bank	43,710,995.29
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	7,994,626.63
0466	Homes for Working Families Account	M&T Bank	4,558,159.23
0467	Section 8 Administrative Account	M&T Bank	19,210,528.44
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	6,229,637.81
0470	HCV Main Account	Bank of America, N.A.	14,695,926.05
0471	Empire State Relief Fund	M&T Bank	557,418.66
0472	Master Escrow Account	Bank of America, N.A.	0.00

0473	Family Self-Sufficiency Account	Bank of America, N.A.	3,976,467.05
0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	1,023,937.01
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.	7,105,242.01
0891	Small Cities Community Development Block Grant Program	M&T Bank	283,152.06
0892	Disaster Recovery Initiative Account	M&T Bank	57,054.26
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	3,072,244.64
0899	HTFC Storm Recovery Lockbox	US Bank	16,422.84
NYS INSURANCE DEPARTMENT			
0001	Property/Casualty Insurance Security Fund	Key Bank	158,651.54
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	700,774.23
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	1,227,005.56
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	13,218,517.50
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	3,361,751.00
STATE INSURANCE FUND			
0053	State Insurance Fund	Bank of America, N.A.	40,335,568.98
0054	State Insurance Fund	Bank of America, N.A.	1,517,528.34
0055	State Insurance Fund	Bank of America, N.A.	1,500,153.28
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	26,494.42
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	994,556.29
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	31,735.11
0870	Deductions Account	Key Bank	105,781.08
0871	Bio-Tech Incubator at Farmingdale	Key Bank	0.00
WORKERS COMPENSATION BOARD			
0006	Fund for Reopened Cases	Bank of America, N.A.	0.00
0012	WCB Asset Transfer Account	Bank of America, N.A.	0.00
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	0.00
008K	Special Fund for Disability Benefits	Key Bank	42,429.43

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



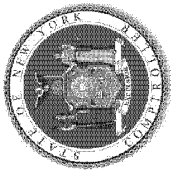
Office of the NEW YORK STATE
COMPTROLLER

Comptroller's Monthly Report on State Funds Cash Basis of Accounting

JANUARY 2020

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

January 31, 2020

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**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 JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	\$ Increase/ (Decrease)	% Increase/ Decrease		
RECEIPTS:	Personal Income Tax	(7)	\$ 2,342.2	\$ 20,959.1	\$ 2,107.4	\$ 2,149.1	\$ 4,449.6	\$ 23,108.2	\$ -	\$ -	\$ 8,699.2	\$ 46,216.4	\$ 6,612.5	\$ 41,142.5	\$ 5,073.9	12.3%		
	Consumption/Use Taxes	(4)	711.0	6,822.0	155.1	1,660.6	635.0	6,293.8	45.7	537.8	1,346.8	15,314.2	1,417.7	14,684.0	630.2	4.3%		
	Business Taxes		123.5	4,533.9	73.1	1,491.6	-	-	54.9	569.7	251.5	6,595.2	338.3	5,844.0	751.0	12.9%		
	Other Taxes	(3)	94.3	922.7	-	-	83.2	857.7	11.9	95.3	189.4	1,875.7	210.1	1,951.4	(75.7)	-3.9%		
	Miscellaneous Receipts	(4)	77.0	2,593.8	2,211.4	15,972.6	37.8	411.7	619.5	4,512.0	2,945.7	23,490.7	2,906.8	24,468.3	(978.2)	-4.0%		
	Federal Receipts	(0.2)	0.3	5,353.0	53,575.0	1.6	38.4	34.4	1,850.5	7,728.8	55,464.2	51,433.7	4,030.5	4,030.5	7.8%	7.8%		
	Total Receipts		3,347.8	35,831.8	9,930.0	74,848.9	5,207.2	30,708.8	1,076.4	7,565.3	19,361.4	148,955.8	18,273.6	139,524.1	9,431.7	6.8%		
	DISBURSEMENTS:																	
	Local Assistance Grants:	(3,4)																
	Education		791.0	17,584.9	2,554.9	8,558.8	-	-	19.9	165.2	3,365.8	26,308.9	3,550.0	26,024.8	284.1	1.1%		
Environment and Recreation		0.2	2.5	0.5	2.9	-	-	232.6	379.9	233.3	385.3	225.5	378.7	6.6	1.7%			
General Government		10.4	954.0	22.2	230.6	-	-	55.3	761.2	87.9	1,945.8	70.3	1,926.3	19.5	1.0%			
Public Health:																		
Medicaid		1,662.0	16,526.9	4,491.4	39,144.0	-	-	-	-	6,153.4	55,670.9	4,874.8	51,565.3	4,105.6	8.0%			
Other Public Health		119.8	1,873.8	617.4	6,056.1	-	-	88.4	446.7	825.6	8,376.6	693.2	8,425.3	(48.7)	-0.6%			
Public Safety		6.2	143.1	188.3	1,228.6	-	-	44.7	84.1	238.2	1,455.8	85.0	1,344.8	111.0	8.3%			
Public Welfare		171.5	2,007.3	402.4	3,635.0	-	-	98.9	353.4	672.8	5,995.7	376.8	6,258.0	(282.3)	-4.2%			
Support and Regulate Business		3.5	114.3	1.1	53.1	-	-	31.8	731.5	36.4	898.9	304.8	1,031.5	(132.6)	-12.9%			
Transportation		-	97.5	70.9	3,297.1	-	-	49.8	1,407.0	120.7	4,801.6	141.5	5,018.6	(217.0)	-4.3%			
Total Local Assistance Grants		2,764.6	39,304.3	8,349.1	62,206.2	-	-	671.4	4,329.0	11,735.1	105,839.5	10,321.9	101,973.3	3,866.2	3.8%			
Departmental Operations:																		
Personal Service		794.0	7,634.1	447.7	4,867.2	-	-	-	-	1,241.7	12,501.3	1,223.6	12,134.9	366.4	3.0%			
Non-Personal Service		233.6	2,044.7	449.5	3,555.1	0.2	27.0	-	-	683.3	5,626.8	594.2	5,424.9	201.9	3.7%			
General State Charges		447.4	6,566.1	119.1	1,114.8	-	-	-	-	566.5	7,660.9	570.6	7,571.1	109.8	1.5%			
Debt Service, Including Payments on Financing Agreements	(1)	-	-	-	-	44.6	1,556.8	-	-	44.6	1,556.8	16.4	1,768.9	(212.1)	-12.0%			
Capital Projects		-	-	-	-	-	-	551.8	5,976.8	551.8	5,976.8	557.8	5,968.3	8.5	0.1%			
Total Disbursements		4,239.6	55,549.2	9,365.4	71,743.3	44.8	1,583.8	1,173.2	10,305.8	14,823.0	139,182.1	13,284.5	134,841.4	4,340.7	3.2%			
Excess (Deficiency) of Receipts over Disbursements		(891.8)	(19,717.4)	564.6	3,105.6	5,162.4	29,126.0	(96.8)	(2,740.5)	4,738.4	9,773.7	4,989.1	4,682.7	5,091.0	108.7%			
OTHER FINANCING SOURCES (USES):																		
Bond Proceeds (net)		-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%		
Transfers from Other Funds	(2)	4,121.2	29,399.8	71.6	2,064.7	453.5	2,493.3	322.9	3,671.8	4,969.2	37,629.6	4,047.8	32,494.0	5,135.6	15.8%			
Transfers to Other Funds	(2)	(591.1)	(6,070.1)	(323.6)	(1,837.3)	(4,019.5)	(29,102.6)	(45.7)	(740.3)	(4,979.9)	(37,750.3)	(4,073.1)	(32,538.5)	5,211.8	16.0%			
Total Other Financing Sources (Uses)		3,530.1	23,329.7	(252.0)	227.4	(3,566.0)	(26,609.3)	277.2	2,931.5	(10.7)	(120.7)	(25.3)	(44.5)	(76.2)	-17.2%			
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		2,638.3	3,612.3	312.6	3,333.0	1,596.4	2,516.7	180.4	191.0	4,727.7	9,653.0	4,963.8	4,638.2	5,014.8	108.1%			
Beginning Fund Balances (Deficits)		8,179.7	7,205.7	6,862.8	3,842.4	985.1	64.8	(1,127.3)	(1,137.9)	14,900.3	9,975.0	12,423.4	12,749.0	(2,774.0)	-21.8%			
Ending Fund Balances (Deficits)		\$ 10,818.0	\$ 10,818.0	\$ 7,175.4	\$ 7,175.4	\$ 2,581.5	\$ 2,581.5	\$ (946.9)	\$ (946.9)	\$ 19,628.0	\$ 19,628.0	\$ 17,387.2	\$ 17,387.2	\$ 2,240.8	12.9%			

**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 JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2019	10 MOS. ENDED JAN. 31, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease		
RECEIPTS:														
Personal Income Tax	(7)	\$ 2,342.2	\$ 20,959.1	\$ 2,107.4	\$ 2,149.1	\$ 4,449.6	\$ 23,108.2	\$ 8,899.2	\$ 46,216.4	\$ 8,612.5	\$ 41,142.5	\$ 5,073.9	12.3%	
Consumption/Use Taxes	(4)	711.0	6,822.0	155.1	1,660.6	635.0	6,233.8	1,501.1	14,776.4	1,371.7	14,134.4	642.0	4.5%	
Business Taxes		123.5	4,533.9	73.1	1,491.6	-	-	196.6	6,025.5	281.3	5,287.9	737.6	13.9%	
Other Taxes	(3)	94.3	922.7	-	-	83.2	857.7	177.5	1,780.4	198.2	1,856.1	(75.7)	-4.1%	
Miscellaneous Receipts	(4)	77.0	2,593.8	2,198.8	15,788.3	37.8	411.7	2,313.6	18,793.8	2,028.2	19,565.4	(771.6)	-3.9%	
Federal Receipts		(0.2)	0.3	(26.7)	(9.0)	1.6	38.4	(25.3)	29.7	1.6	36.0	(6.3)	-17.5%	
Total Receipts		3,347.8	35,831.8	4,507.7	21,080.6	5,207.2	30,708.8	13,082.7	87,622.2	12,493.5	82,022.3	5,599.9	6.8%	
DISBURSEMENTS:														
Local Assistance Grants:														
Education	(3,4)	791.0	17,584.9	2,254.8	5,599.0	-	-	3,045.8	23,183.9	3,163.6	22,754.7	429.2	1.9%	
Environment and Recreation		0.2	2.5	0.5	2.0	-	-	0.7	4.5	1.8	6.5	(2.0)	-30.8%	
General Government		10.4	964.0	20.4	183.3	-	-	30.8	1,137.3	29.2	1,062.0	75.3	7.1%	
Public Health:														
Medicaid		1,652.0	16,526.9	583.7	5,018.4	-	-	2,245.7	21,545.3	1,601.5	19,160.3	2,385.0	12.4%	
Other Public Health		119.8	1,873.8	103.8	762.3	-	-	223.6	2,636.1	187.6	2,719.5	(83.4)	-3.1%	
Public Safety		6.2	143.1	(26.0)	112.2	-	-	(19.8)	255.3	27.6	282.2	(26.9)	-9.5%	
Public Welfare		171.5	2,007.3	(0.4)	3.7	-	-	171.1	2,011.0	107.2	1,949.5	61.5	3.2%	
Support and Regulate Business		3.5	114.3	1.2	45.3	-	-	4.7	159.6	20.8	175.8	(16.2)	-9.2%	
Transportation		-	97.5	62.5	3,247.3	-	-	62.5	3,344.8	61.1	3,643.0	(298.2)	-8.2%	
Total Local Assistance Grants		2,764.6	39,304.3	3,000.5	14,973.5	-	-	5,765.1	54,277.8	5,200.4	51,753.5	2,524.3	4.9%	
Departmental Operations:														
Personal Service		794.0	7,634.1	399.1	4,330.1	-	-	1,193.1	11,964.2	1,177.4	11,594.7	369.5	3.2%	
Non-Personal Service		233.6	2,044.7	306.6	2,454.5	0.2	27.0	540.4	4,526.2	467.4	4,392.0	134.2	3.1%	
General State Charges		447.4	6,566.1	82.4	836.3	-	-	529.8	7,402.4	534.0	7,203.7	198.7	2.8%	
Debt Service, Including Payments on Financing Agreements		-	-	-	-	44.6	1,566.8	44.6	1,568.9	16.4	1,768.9	(212.1)	-12.0%	
Capital Projects		-	-	-	-	-	-	-	-	-	-	-	0.0%	
Total Disbursements		4,239.6	55,549.2	3,788.6	22,594.4	44.8	1,593.8	8,073.0	79,727.4	7,395.6	76,712.8	3,014.6	3.9%	
Excess (Deficiency) of Receipts over Disbursements		(891.8)	(19,717.4)	719.1	(1,513.8)	5,162.4	29,126.0	4,989.7	7,894.8	5,097.9	5,309.5	2,585.3	48.7%	
OTHER FINANCING SOURCES (USES):														
Transfers from Other Funds	(2)	4,121.2	29,399.8	84.1	2,505.5	453.5	2,493.3	4,658.8	34,398.6	4,109.8	30,283.3	4,115.3	13.6%	
Transfers to Other Funds	(2)	(591.1)	(6,070.1)	(52.0)	(472.9)	(4,019.5)	(29,102.6)	(4,662.6)	(35,645.6)	(3,847.1)	(30,946.4)	4,699.2	15.2%	
Total Other Financing Sources (Uses)		3,530.1	23,329.7	32.1	2,032.6	(3,566.0)	(26,609.3)	(3.8)	(1,247.0)	262.7	(683.1)	(683.9)	-88.1%	
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		2,638.3	3,612.3	751.2	518.8	1,596.4	2,516.7	4,985.9	6,647.8	5,360.6	4,646.4	2,001.4	43.1%	
Beginning Fund Balances (Deficits)		8,179.7	7,205.7	4,858.4	5,090.8	985.1	64.8	14,023.2	12,361.3	12,892.4	13,606.6	(1,245.3)	-9.2%	
Ending Fund Balances (Deficits)		\$ 10,818.0	\$ 10,818.0	\$ 5,609.6	\$ 5,609.6	\$ 2,581.5	\$ 2,581.5	\$ 19,009.1	\$ 19,009.1	\$ 18,253.0	\$ 18,253.0	\$ 756.1	4.1%	

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.
(**) Eliminations between Special Revenue - State and Federal Funds are not included.

GOVERNMENTAL FUNDS FOOTNOTES

1. Certain disbursements from Capital Projects funds are financed by operating transfers from other funds, proceeds of State bonds and notes, and reimbursements received from Public Authorities and the Federal Government. The amounts shown below represent disbursements to be reimbursed in future months from the sources indicated:

Urban Development Corporation (Correctional Facilities)	\$340.4	million
Urban Development Corporation (Youth Facilities)	18.4	
Housing Finance Agency (HFA)	158.5	
Housing Assistance Fund	12.9	
Dormitory Authority (Mental Hygiene)	375.8	
Dormitory Authority and State University Income Fund	710.9	
Federal Capital Projects	465.2	
State bond and note proceeds	140.7	

2. Operating Transfers constitute legally authorized transfers from a fund receiving revenues to a fund through which disbursements will ultimately be made. The more significant transfers include:

General Fund "Transfers to Other Funds" are as follows:

State Capital Projects Fund	\$2,317.1	million
General Debt Service Fund	554.0	
Banking Services Account	30.8	
Building Administration Account	8.0	
Business Service Center Account	8.1	
Centralized Tech Services Account	11.5	
Court Facilities Incentive Aid Fund	95.3	
Dedicated Highway & Bridge Trust Fund	49.5	
Dedicated Infrastructure Investment Fund	1,110.0	
Dedicated Mass Transportation - Railroad Account	6.6	
Dedicated Mass Transportation - Transit Authority Account	36.7	
Dedicated Mass Transportation - (Non-MTA)	3.8	
Environmental Protection Fund	26.0	
Health Insurance Revolving Fund	7.9	
Housing Debt Service Fund	2.6	
Indigent Legal Services	22.1	
MTA Financial Assistance Fund	244.3	
MTA Operating Assistance Fund	36.9	
NY Central Business District Trust	87.5	
NYC County Courts Operating Account	3.2	
Recruitment Incentive Fund	2.1	
SUNY - Income Fund	1,130.2	

Also included in the General Fund are transfers representing payments for patients residing in State-operated health, mental hygiene and State University facilities to Debt Service funds (\$7.8m), and the State University Income Fund (\$265.8m).

\$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 January 31, 2020 - pursuant to a certification of the Budget Director - the reserve amount is (\$213.2m), which was funded by a transfer from the General Fund.

EXHIBIT A NOTES
January 2020

Special Revenue Funds "Transfers To Other Funds" includes transfers to Mental Health Services Fund and Department of Health Income Fund (\$1,242.3m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities, the General Debt Services Fund (\$6.9m), Medicaid Management Information System Escrow Fund (\$57.3m), SUNY Capital Projects Fund (\$68.4m), State Capital Projects Fund (\$1.1m) and All Other Capital Projects (\$97.4m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Business & Licensing Services Account	\$3.8	million
Chemical Dependence Service Fund	101.3	
Encon Special Revenue	6.4	
Federal Dept. of Health & Human Services Fund	53.1	
Federal Education Fund	1.5	
Federal Employment & Training Grants	1.2	
Federal Operating Grants Fund	3.5	
Federal USDA/Food and Nutrition Services Fund	41.7	
HESC Insurance Premium Account	5.9	
MTA Operating Assistance	1.1	
NYC Assessment Account	22.9	
Patron Services Account	1.5	
Public Service Account	2.7	
State Lottery Fund	5.2	
State Police Motor Vehicle Law Enforcement Fund	37.5	
SUNY Income Fund	34.3	
System and Technology Account	2.5	
Training and Education Program on OSHA	1.4	
Unemployment Insurance Administration Fund	19.5	
Unemployment Insurance, Interest & Penalty	11.6	
Workers Comp Account	6.2	

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	\$21,503.6	million
Local Government Assistance Tax Fund	3,124.4	
Sales Tax Revenue Bond Tax Fund	2,420.0	
Clean Water/Clean Air Fund	810.4	
Mental Health Services Fund	1,114.7	

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 the Department of Health (\$129.6m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund (\$61.1m), the General Debt Service Fund - Lease Purchase (\$465.8m), and the Revenue Bond Tax Fund (\$213.4m).

3. Part UU of Section 11 of Chapter 59 of the Laws of 2018 amended section 805(b) of the tax law, whereby the receipts from the metropolitan commuter transportation mobility tax will be paid into the metropolitan transportation authority finance fund pursuant to statute but without appropriation. The result is that neither the mobility tax receipts nor the related grant disbursements to the MTA are recorded in the State funds. The MTA mobility tax activity is now reported in Schedule 4 as part of the MTA State Assistance fund group.

GOVERNMENTAL FUNDS FOOTNOTES

- 4. Part FF of Chapter 58 of the Laws of 2019 amended paragraphs (b-1) and (c-3) of subdivision two of section 503 of the vehicle and traffic law, article 28-a of the tax law, article 17-c of the vehicle and traffic law and section 1166-a of the tax law, whereby the receipts from the various taxes and fees will be paid into the metropolitan transportation authority special assistance fund pursuant to statute but without appropriation. The activity is now reported in Schedule 4 as part of the MTA State Assistance fund group.
- 5. Part NNN of Chapter 59 of the Laws of 2018 added Tax Law, Article 28-C, on April 1, 2018, with collection of the for-hire congestion surcharge scheduled to begin on January 1, 2019. Amounts collected will be paid into the NYC transportation fund pursuant to statute but without appropriation. The result is that neither the surcharge nor the related disbursements to MTA are recorded in State Funds. The for-hire congestion surcharge activity is reported in Schedule 4 as part of the MTA State Assistance fund group.
- 6. Part OOO of Chapter 59 of the Laws of 2019 added to and amended Tax Law Article 31. Section 1402-b added an additional real estate transfer tax to residential property over \$2 million, in cities with a population of over 1 million. Section 1421(b) of the tax law was amended directing these taxes be remitted to the MTA pursuant to statute but without appropriation. The result is that neither the tax nor the related disbursements to the MTA are recorded in State Funds. This activity is reported in Schedule 4 as part of the MTA State Assistance fund group.
- 7. 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 (\$2,149.1m) as of January 31, 2020.

EXHIBIT B

STATE OF NEW YORK
 PROPRIETARY FUNDS
 COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
 (amounts in millions)

	ENTERPRISE			INTERNAL SERVICE		TOTAL PROPRIETARY FUNDS				YEAR OVER YEAR	
	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2019	10 MOS. ENDED JAN. 31, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease	
RECEIPTS:											
Miscellaneous Receipts	\$ 6.0	\$ 71.6	\$ 62.3	\$ 468.8	\$ 68.3	\$ 540.4	\$ 45.9	\$ 453.1	\$ 87.3	19.3%	
Federal Receipts	1.0	14.7	-	-	1.0	14.7	3.8	13.0	1.7	13.1%	
Unemployment Taxes	227.7	1,704.7	-	-	227.7	1,704.7	212.6	1,638.5	66.2	4.0%	
Total Receipts	234.7	1,791.0	62.3	468.8	297.0	2,259.8	262.3	2,104.6	155.2	7.4%	
DISBURSEMENTS:											
Departmental Operations:											
Personal Service	1.0	15.3	10.7	106.3	11.7	121.6	12.4	92.7	28.9	31.2%	
Non-Personal Service	3.7	50.0	28.1	339.5	31.8	389.5	43.0	410.6	(21.1)	-5.1%	
General State Charges	0.1	1.4	7.3	48.1	7.4	49.5	9.8	68.3	(18.8)	-27.5%	
Unemployment Benefits	228.4	1,720.5	-	-	228.4	1,720.5	216.9	1,651.7	68.8	4.2%	
Total Disbursements	233.2	1,787.2	46.1	493.9	279.3	2,281.1	282.1	2,223.3	57.8	2.6%	
Excess (Deficiency) of Receipts Over Disbursements	1.5	3.8	16.2	(25.1)	17.7	(21.3)	(19.8)	(118.7)	97.4	82.1%	
OTHER FINANCING SOURCES (USES):											
Transfers from Other Funds	-	-	10.7	67.7	10.7	67.7	2.8	52.9	14.8	28.0%	
Transfers to Other Funds	-	-	-	(4.3)	-	(4.3)	(3.9)	(11.1)	(6.8)	-61.3%	
Total Other Financing Sources (Uses)	-	-	10.7	63.4	10.7	63.4	(1.1)	41.8	21.6	51.7%	
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1.5	3.8	26.9	38.3	28.4	42.1	(20.9)	(76.9)	119.0	154.7%	
Beginning Fund Balances (Deficits)	28.9	26.6	(291.3)	(302.7)	(262.4)	(276.1)	(300.6)	(244.6)	(31.5)	-12.9%	
Ending Fund Balances (Deficits)	\$ 30.4	\$ 30.4	\$ (264.4)	\$ (264.4)	\$ (234.0)	\$ (234.0)	\$ (321.5)	\$ (321.5)	\$ 87.5	27.2%	

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 JAN. 2020	10 MOS. ENDED JAN. 31, 2020		MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020		MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2019	10 MOS. ENDED JAN. 31, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:												
Miscellaneous Receipts	\$ 5.3	\$ 118.1	\$ -	\$ -	\$ 1.2		\$ 5.3	\$ 119.3	\$ 15.3	\$ 105.7	\$ 13.6	12.9%
Total Receipts	5.3	118.1	-	-	1.2		5.3	119.3	15.3	105.7	13.6	12.9%
DISBURSEMENTS:												
Departmental Operations:												
Personal Service	5.1	57.2	-	-	0.2		5.1	57.4	5.1	56.9	0.5	0.9%
Non-Personal Service	1.4	30.7	-	-	-		1.4	30.7	1.8	13.5	17.2	127.4%
General State Charges	5.0	33.3	-	-	0.1		5.0	33.4	5.0	40.9	(7.5)	-18.3%
Total Disbursements	11.5	121.2	-	-	0.3		11.5	121.5	11.9	111.3	10.2	9.2%
Excess (Deficiency) of Receipts Over Disbursements	(6.2)	(3.1)	-	-	0.9		(6.2)	(2.2)	3.4	(5.6)	3.4	60.7%
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	(6.2)	(3.1)	-	-	0.9		(6.2)	(2.2)	3.4	(5.6)	3.4	60.7%
Beginning Fund Balances (Deficits)	0.1	(3.0)	14.1	14.1	13.2		14.2	10.2	0.9	9.9	0.3	3.0%
Ending Fund Balances (Deficits)	(6.1)	(6.1)	\$ 14.1	\$ 14.1	\$ 14.1		\$ 8.0	\$ 8.0	\$ 4.3	\$ 4.3	\$ 3.7	86.0%

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR TEN MONTHS ENDED JANUARY 31, 2020
(amounts in millions)

	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	\$ 44,912.0	\$ 46,074.0	\$ 46,216.4	\$ 1,304.4	\$ 142.4
Consumption/Use	15,464.0	15,307.0	15,314.2	(149.8)	7.2
Business	6,155.0	6,572.0	6,595.2	440.2	23.2
Other	1,910.0	1,876.0	1,875.7	(34.3)	(0.3)
Miscellaneous Receipts	23,328.0	23,114.0	23,490.1	162.1	376.1
Federal Receipts	54,005.0	55,228.0	55,464.2	1,459.2	236.2
Total Receipts	145,774.0	148,171.0	148,955.8	3,181.8	784.8
DISBURSEMENTS:					
Local Assistance Grants	104,778.0	105,372.0	105,839.5	1,061.5	467.5
Departmental Operations	18,357.0	18,253.0	18,128.1	(228.9)	(124.9)
General State Charges	7,770.0	7,726.0	7,680.9	(89.1)	(45.1)
Debt Service	1,563.0	1,557.0	1,556.8	(6.2)	(0.2)
Capital Projects	7,301.0	6,210.0	5,976.8	(1,324.2)	(233.2)
Total Disbursements	139,769.0	139,118.0	139,182.1	(586.9)	64.1
Excess (Deficiency) of Receipts over Disbursements	6,005.0	9,053.0	9,773.7	3,768.7	720.7
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	-	-	-	-	-
Transfers from Other Funds	35,644.0	37,830.0	37,629.6	1,985.6	(200.4)
Transfers to Other Funds	(35,710.0)	(37,953.0)	(37,750.3)	2,040.3	202.7
Total Other Financing Sources (Uses)	(66.0)	(123.0)	(120.7)	(54.7)	2.3
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	5,939.0	8,930.0	9,653.0	3,714.0	723.0
Fund Balances (Deficits) at April 1	9,975.0	9,975.0	9,975.0	-	-
Fund Balances (Deficits) at January 31, 2020	\$ 15,914.0	\$ 18,905.0	\$ 19,628.0	\$ 3,714.0	\$ 723.0

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget dated January 21, 2020.

**STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR TEN MONTHS ENDED JANUARY 31, 2020
(amounts in millions)**

EXHIBIT D

	STATE OPERATING FUNDS (***)			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 44,912.0	\$ 46,074.0	\$ 46,216.4	\$ 1,304.4
Consumption/Use	14,925.0	14,767.0	14,776.4	(148.6)
Business	5,596.0	6,003.0	6,025.5	429.5
Other	1,814.0	1,781.0	1,780.4	(33.6)
Miscellaneous Receipts	17,727.0	18,325.0	18,793.8	1,066.8
Federal Receipts	37.0	55.0	29.7	(7.3)
Total Receipts	85,011.0	87,005.0	87,622.2	2,611.2
				617.2
DISBURSEMENTS:				
Local Assistance Grants	52,645.0	54,281.0	54,277.8	1,632.8
Departmental Operations	16,655.0	16,564.0	16,490.4	(164.6)
General State Charges	7,495.0	7,459.0	7,402.4	(92.6)
Debt Service	1,563.0	1,557.0	1,556.8	(6.2)
Capital Projects	-	-	-	-
Total Disbursements	78,358.0	79,861.0	79,727.4	1,369.4
				(133.6)
Excess (Deficiency) of Receipts over Disbursements	6,653.0	7,144.0	7,894.8	1,241.8
				750.8
OTHER FINANCING SOURCES (USES):				
Transfers from Other Funds	32,958.0	34,076.0	34,398.6	1,440.6
Transfers to Other Funds	(33,626.0)	(35,355.0)	(35,645.6)	2,019.6
Total Other Financing Sources (Uses)	(668.0)	(1,279.0)	(1,247.0)	(679.0)
				322.6
				290.6
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	5,985.0	5,865.0	6,647.8	662.8
				782.8
Fund Balances (Deficits) at April 1	12,362.0	12,362.0	12,361.3	(0.7)
Fund Balances (Deficits) at January 31, 2020	\$ 18,347.0	\$ 18,227.0	\$ 19,009.1	\$ 662.1
				\$ 782.1

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget dated January 21, 2020.

(***) 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.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR TEN MONTHS ENDED JANUARY 31, 2020
(amounts in millions)

	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	\$ 20,285.0	\$ 20,871.0	\$ 20,959.1	\$ 674.1
Consumption/Use	6,921.0	6,835.0	6,822.0	(89.0)
Business	4,225.0	4,519.0	4,533.9	308.9
Other	928.0	923.0	922.7	(5.3)
Miscellaneous Receipts	2,372.0	2,629.0	2,593.8	221.8
Federal Receipts	-	-	0.3	0.3
Transfers From:				
PIT / ECET in excess of Revenue Bond Debt Service	20,722.0	21,331.0	21,503.6	781.6
Sales Tax in excess of LGAC / STRBF Debt Service	5,594.0	5,516.0	5,544.4	(49.6)
Real Estate Taxes in excess of CW/CA Debt Service	844.0	810.0	810.3	(33.7)
All Other	1,248.0	1,378.0	1,541.5	293.5
Total Receipts and Other Financing Sources	63,139.0	64,812.0	65,231.6	2,092.6
DISBURSEMENTS:				
Local Assistance Grants	38,135.0	39,299.0	39,304.3	1,169.3
Departmental Operations	10,019.0	9,767.0	9,678.8	(340.2)
General State Charges	6,608.0	6,621.0	6,566.1	(41.9)
Transfers To:				
Debt Service	610.0	555.0	554.0	(56.0)
Capital Projects	2,658.0	3,595.0	3,504.6	846.6
State Share Medicaid	-	-	273.6	273.6
SUNY Operations	1,136.0	1,126.0	1,130.2	(5.8)
Other Purposes	771.0	884.0	607.7	(163.3)
Total Disbursements and Other Financing Uses	59,937.0	61,847.0	61,619.3	1,882.3
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	3,202.0	2,965.0	3,612.3	410.3
Fund Balances (Deficits) at April 1	7,206.0	7,206.0	7,205.7	(0.3)
Fund Balances (Deficits) at January 31, 2020	\$ 10,408.0	\$ 10,171.0	\$ 10,818.0	\$ 647.0

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget dated January 21, 2020.

(***) Includes transfers to the Department of Health Income Fund and the State University Income Fund representing payments for patients residing in State-Operated Health and State University facilities.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR TEN MONTHS ENDED JANUARY 31, 2020
(amounts in millions)

	SPECIAL REVENUE FUNDS					Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total		
RECEIPTS:							
Taxes:							
Personal Income	\$ 2,166.0	\$ 2,166.0	\$ 2,149.1	\$ -	\$ 2,149.1	\$ (16.9)	\$ (16.9)
Consumption/Use	1,638.0	1,652.0	1,660.6	-	1,660.6	22.6	8.6
Business	1,371.0	1,484.0	1,491.6	-	1,491.6	120.6	7.6
Miscellaneous Receipts	15,150.0	15,465.0	15,972.6	-	15,972.6	822.6	507.6
Federal Receipts	52,356.0	53,483.0	53,575.0	-	53,575.0	1,219.0	92.0
Transfers from Other Funds (***)	2,213.0	2,494.0	2,505.5	(440.8)	2,064.7	(148.3)	(429.3)
Total Receipts and Other Financing Sources	74,894.0	76,744.0	77,354.4	(440.8)	76,913.6	2,019.6	169.6
DISBURSEMENTS:							
Local Assistance Grants	62,423.0	62,005.0	62,206.2	-	62,206.2	(216.8)	201.2
Departmental Operations	8,309.0	8,458.0	8,422.3	-	8,422.3	113.3	(35.7)
General State Charges	1,162.0	1,105.0	1,114.8	-	1,114.8	(47.2)	9.8
Capital Projects	-	-	-	-	-	-	-
Transfers to Other Funds (***)	1,628.0	2,331.0	2,278.1	(440.8)	1,837.3	209.3	(493.7)
Total Disbursements and Other Financing Uses	73,522.0	73,899.0	74,021.4	(440.8)	73,580.6	58.6	(318.4)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,372.0	2,845.0	3,333.0	-	3,333.0	1,961.0	488.0
Fund Balances (Deficits) at April 1	3,842.0	3,842.0	3,842.4	-	3,842.4	0.4	0.4
Fund Balances (Deficits) at January 31, 2020	\$ 5,214.0	\$ 6,687.0	\$ 7,175.4	\$ -	\$ 7,175.4	\$ 1,961.4	\$ 488.4

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget dated January 21, 2020.

(***) Actual reported transfer amounts include eliminations between Special Revenue - State and Federal Funds.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR TEN MONTHS ENDED JANUARY 31, 2020
(amounts in millions)

EXHIBIT D

	STATE SPECIAL REVENUE FUNDS				FEDERAL SPECIAL REVENUE FUNDS			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Enacted Financial Plan	Updated Financial Plan (*)	Actual	Actual Over/ (Under) Enacted Financial Plan
RECEIPTS:								
Taxes:								
Personal Income	\$ 2,166.0	\$ 2,166.0	\$ 2,149.1	\$ (16.9)	\$ -	\$ -	\$ -	\$ -
Consumption/Use	1,638.0	1,652.0	1,660.6	22.6	-	-	-	-
Business	1,371.0	1,484.0	1,491.6	120.6	-	-	-	-
Miscellaneous Receipts	15,083.0	15,282.0	15,788.3	705.3	-	183.0	184.3	117.3
Federal Receipts	2,213.0	18.0	(9.0)	(9.0)	-	53,465.0	53,584.0	119.0
Transfers from Other Funds	22,471.0	2,494.0	2,505.5	282.5	-	-	-	-
Total Receipts and Other Financing Sources	22,471.0	23,096.0	23,596.1	1,115.1	53,768.3	53,648.0	53,768.3	1,345.3
DISBURSEMENTS:								
Local Assistance Grants	14,510.0	14,982.0	14,973.5	463.5	-	47,023.0	47,232.7	(680.3)
Departmental Operations	6,607.0	6,769.0	6,784.6	177.6	-	1,689.0	1,637.7	(64.3)
General State Charges	887.0	838.0	836.3	(50.7)	-	287.0	278.5	3.5
Capital Projects	-	-	-	-	-	-	-	-
Transfers to Other Funds	231.0	473.0	472.9	241.9	-	1,855.0	1,805.2	408.2
Total Disbursements and Other Financing Uses	22,235.0	23,062.0	23,067.3	832.3	51,287.0	50,837.0	50,954.1	(332.9)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	236.0	34.0	518.8	282.8	1,136.0	2,811.0	2,814.2	1,678.2
Fund Balances (Deficits) at April 1	5,091.0	5,091.0	5,090.8	(0.2)	(1,249.0)	(1,249.0)	(1,248.4)	0.6
Fund Balances (Deficits) at January 31, 2020	\$ 5,327.0	\$ 5,125.0	\$ 5,609.6	\$ 282.6	\$ (113.0)	\$ 1,562.0	\$ 1,565.8	\$ 3.8

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.
(**) Source: 2020-21 Executive Budget dated January 21, 2020.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR TEN MONTHS ENDED JANUARY 31, 2020
(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	\$ 22,461.0	\$ 23,037.0	\$ 23,108.2	\$ 647.2	\$ 71.2
Consumption/Use	6,366.0	6,280.0	6,293.8	(72.2)	13.8
Other	886.0	858.0	857.7	(28.3)	(0.3)
Miscellaneous Receipts	272.0	414.0	411.7	139.7	(2.3)
Federal Receipts	37.0	37.0	38.4	1.4	1.4
Transfers from Other Funds	2,337.0	2,547.0	2,493.3	156.3	(53.7)
Total Receipts and Other Financing Sources	32,359.0	33,173.0	33,203.1	844.1	30.1
DISBURSEMENTS:					
Departmental Operations	29.0	28.0	27.0	(2.0)	(1.0)
Debt Service	1,563.0	1,557.0	1,556.8	(6.2)	(0.2)
Transfers to Other Funds	28,220.0	28,722.0	29,102.6	882.6	380.6
Total Disbursements and Other Financing Uses	29,812.0	30,307.0	30,686.4	874.4	379.4
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	2,547.0	2,866.0	2,516.7	(30.3)	(349.3)
Fund Balances (Deficits) at April 1	65.0	65.0	64.8	(0.2)	(0.2)
Fund Balances (Deficits) at January 31, 2020	\$ 2,612.0	\$ 2,931.0	\$ 2,581.5	\$ (30.5)	\$ (349.5)

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget dated January 21, 2020.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR TEN MONTHS ENDED JANUARY 31, 2020
(amounts in millions)

EXHIBIT D

CAPITAL PROJECTS FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Consumption/Use	\$ 539.0	\$ 540.0	\$ 537.8	\$ -	\$ 537.8	\$ (1.2)
Business	559.0	569.0	569.7	-	569.7	10.7
Other	96.0	95.0	95.3	-	95.3	(0.7)
Miscellaneous Receipts	5,534.0	4,606.0	4,512.0	-	4,512.0	(922.0)
Federal Receipts	1,612.0	1,708.0	1,850.5	-	1,850.5	238.5
Bond and Note Proceeds, net	-	-	-	-	-	-
Transfers from Other Funds	2,686.0	3,754.0	3,847.7	(175.9)	3,671.8	985.8
Total Receipts and Other Financing Sources	11,026.0	11,272.0	11,413.0	(175.9)	11,237.1	211.1
DISBURSEMENTS:						
Local Assistance Grants	4,220.0	4,068.0	4,329.0	-	4,329.0	109.0
Capital Projects	7,301.0	6,210.0	5,976.8	-	5,976.8	(1,324.2)
Transfers to Other Funds	687.0	740.0	916.2	(175.9)	740.3	53.3
Total Disbursements and Other Financing Uses	12,208.0	11,018.0	11,222.0	(175.9)	11,046.1	(1,161.9)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,182.0)	254.0	191.0	-	191.0	1,373.0
Fund Balances (Deficits) at April 1	(1,138.0)	(1,138.0)	(1,137.9)	-	(1,137.9)	0.1
Fund Balances (Deficits) at January 31, 2020	(2,320.0)	(884.0)	(946.9)	-	(946.9)	1,373.1

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget dated January 21, 2020.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR TEN MONTHS ENDED JANUARY 31, 2020
(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	\$ 539.0	\$ 540.0	\$ 537.8	\$ (1.2)	\$ (2.2)	\$ -	\$ -	\$ -	\$ -	\$ -
Business	559.0	569.0	569.7	10.7	0.7	-	-	-	-	-
Other	96.0	95.0	95.3	(0.7)	0.3	-	-	-	-	-
Miscellaneous Receipts	5,534.0	4,606.0	4,511.3	(1,022.7)	(94.7)	-	-	0.7	0.7	0.7
Federal Receipts	-	2.0	2.3	2.3	0.3	1,612.0	1,706.0	1,848.2	236.2	142.2
Bond and Note Proceeds, net	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds	2,996.0	3,930.0	3,847.7	861.7	(82.3)	(300.0)	(176.0)	-	300.0	176.0
Total Receipts and Other Financing Sources	9,714.0	9,742.0	9,564.1	(149.9)	(177.9)	1,312.0	1,530.0	1,848.9	536.9	318.9
DISBURSEMENTS:										
Local Assistance Grants	3,607.0	3,596.0	3,674.5	67.5	88.5	613.0	482.0	654.5	41.5	172.5
Capital Projects	6,341.0	5,204.0	4,998.0	(1,343.0)	(206.0)	960.0	1,006.0	978.8	18.8	(27.2)
Transfers to Other Funds	687.0	740.0	740.1	53.1	0.1	-	-	176.1	176.1	176.1
Total Disbursements and Other Financing Uses	10,635.0	9,530.0	9,412.6	(1,222.4)	(117.4)	1,573.0	1,488.0	1,809.4	236.4	321.4
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(921.0)	212.0	151.5	1,072.5	(60.5)	(261.0)	42.0	39.5	300.5	(2.5)
Fund Balances (Deficits) at April 1	(633.0)	(633.0)	(633.2)	(0.2)	(0.2)	(505.0)	(505.0)	(504.7)	0.3	0.3
Fund Balances (Deficits) at January 31, 2020	\$ (1,554.0)	\$ (421.0)	\$ (481.7)	\$ 1,072.3	\$ (60.7)	\$ (766.0)	\$ (463.0)	\$ (465.2)	\$ 300.8	\$ (2.2)

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2020-21 Executive Budget dated January 21, 2020.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMPARATIVE SCHEDULE OF TAX RECEIPTS
(amounts in millions)

	TOTAL GOVERNMENTAL FUNDS										YEAR OVER YEAR	
	GENERAL					SPECIAL REVENUE					% Increase/Decrease	
	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	MONTH OF JAN. 2020	10 MOS. ENDED JAN. 31, 2020	\$ Increase/Decrease	
PERSONAL INCOME TAX												
Withholding	\$ 5,045.6	\$ 33,882.4	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,475.2	4.6%
Estimated Payments	3,842.2	16,798.0	-	-	-	-	-	-	-	-	3,013.4	21.9%
Returns	25.7	3,224.5	-	-	-	-	-	-	-	-	785.6	32.2%
State/City Offsets	(9.6)	(1,005.2)	-	-	-	-	-	-	-	-	(19.9)	-1.9%
Other Assessments(LLC)	87.2	1,095.1	-	-	-	-	-	-	-	-	41.0	3.9%
Gross Receipts	8,991.1	53,995.8	-	-	-	-	-	-	-	43,680.7	5,335.1	11.0%
Transfers to School Tax Relief Fund	(2,107.4)	(2,146.1)	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(4,449.6)	(7,779.4)	-	-	-	-	-	-	-	-	-	0.0%
Less: Refunds Issued	(91.9)	(7,779.4)	-	-	-	-	-	-	-	-	-	3.5%
Total	2,342.2	20,959.1	-	-	-	-	-	-	-	41,142.5	5,073.9	12.3%
CONSUMPTION/USE TAXES												
Sales and Use	635.5	6,298.8	90.4	923.9	635.0	6,293.8	-	-	-	-	764.2	6.0%
Auto Rental	-	-	-	12.9	-	-	-	70.6	-	-	(25.3)	-23.3%
Cigarette/Tobacco Products	24.0	272.2	55.3	626.1	-	-	-	-	-	-	(68.2)	-7.1%
Medical Marijuana	-	-	0.5	4.8	-	-	-	-	-	-	3.1	54.8%
Motor Fuel	-	-	8.9	92.5	-	-	-	345.2	-	-	(7.9)	-1.8%
Alcoholic Beverage	34.6	234.1	-	-	-	-	-	-	-	-	3.9	1.7%
Highway Use	-	-	-	0.4	-	-	-	122.0	-	-	(5.4)	-4.2%
Vapor Excise	-	-	-	-	-	-	-	-	-	-	-	0.0%
Opium Excise	16.9	16.9	-	-	-	-	-	-	-	-	16.9	100.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-	-	(48.7)	-100.0%
Total	711.0	6,822.0	155.1	1,660.6	635.0	6,293.8	45.7	537.8	1,417.7	14,684.0	630.2	4.3%
BUSINESS TAXES												
Corporation Franchise	122.7	2,923.8	31.1	764.8	-	-	-	-	-	-	442.5	13.6%
Corporation and Utilities	(1.0)	293.3	(0.3)	109.4	-	-	-	11.1	-	-	(4.6)	-1.1%
Insurance	2.3	1,345.2	(0.9)	182.8	-	-	-	-	-	-	399.1	35.4%
Bank	(0.5)	(28.4)	0.1	(1.9)	-	-	-	-	-	-	(109.6)	-138.2%
Petroleum Business	-	-	43.1	436.5	-	-	-	-	-	-	23.6	2.4%
Total	123.5	4,533.9	73.1	1,491.6	-	-	54.9	589.7	338.3	5,844.2	751.0	12.9%
OTHER TAXES												
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	0.0%
Estate and Gift	93.5	907.0	-	-	-	-	-	-	-	-	(51.3)	-5.4%
Part-Mutuel	0.7	12.9	-	-	-	-	-	-	-	-	(0.7)	-5.1%
Real Estate Transfer	-	-	-	-	82.9	856.7	11.9	95.3	-	-	(25.2)	-2.6%
Racing and Exhibitions	(0.1)	1.9	-	-	-	-	-	-	-	-	(0.4)	-17.4%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	0.0%
Employer Compensation Expense Tax	0.2	0.9	-	-	0.3	1.0	-	-	-	-	1.9	100.0%
Total	94.3	922.7	-	-	83.2	857.7	11.9	95.3	210.1	1,951.4	(75.7)	-3.9%
Total Tax Receipts	\$ 3,271.0	\$ 33,237.7	\$ 2,385.6	\$ 5,301.3	\$ 5,467.8	\$ 30,259.7	\$ 412.5	\$ 4,202.8	\$ 10,578.6	\$ 63,622.1	\$ 6,379.4	10.0%

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	10 Months Ended January 31												% Increase/ Decrease
	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	
Beginning Fund Balance	9,975.0	18,267.7	10,925.1	13,778.6	12,775.1	13,740.6	14,310.2	14,340.0	12,080.9	14,900.3			-21.8%
RECEIPTS:													
Taxes:													
Personal Income Tax:													
Income Tax	3,207.1	3,220.1	2,920.3	3,365.9	2,933.7	2,951.1	3,270.6	2,991.9	4,054.3	5,045.6			4.6%
Estate Tax	6,842.2	112.6	2,364.2	1,170.9	86.7	2,742.0	170.9	83.5	374.8	3,942.2			21.9%
Sales Tax	2,298.9	75.1	54.1	48.8	45.1	65.5	664.2	42.5	25.7	2,438.9			32.2%
State City Offsets	(296.9)	(31.1)	(25.9)	(21.0)	(20.9)	(47.2)	(95.4)	(59.5)	(17.7)	(1,065.1)			-1.9%
Other (Assessments/LLC)	170.3	105.2	96.2	89.3	95.7	91.7	104.3	121.6	134.6	87.2			3.9%
Gross Receipts	12,240.6	3,481.9	5,443.1	3,563.6	3,152.3	5,703.1	3,834.6	3,179.9	4,575.6	8,991.1			11.0%
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-	-	-			0.0%
Transfers to Revenue Bond Tax Fund	(3,025.2)	(897.3)	(233.2)	(252.0)	(243.9)	(871.7)	(1,055.2)	(710.5)	(237.6)	(91.9)			0.0%
Refunds Issued	9,213.4	2,444.6	5,208.9	3,331.8	2,986.3	4,831.4	2,974.4	2,469.4	4,284.0	8,899.2			3.5%
Total Personal Income Tax													12.3%
Consumption Taxes:													
Sales and Use	1,201.6	1,178.8	1,599.5	1,232.2	1,293.6	1,628.2	1,288.3	1,250.6	1,598.8	1,360.9			6.0%
Auto Rental	3.5	0.3	19.5	0.1	0.1	41.0	(7.3)	28.2	-	-			-23.3%
Cigarette/Tobacco Products	89.2	85.2	83.8	108.9	92.2	87.7	93.8	84.1	98.2	79.3			-7.1%
Medical Marijuana	0.5	0.4	0.5	0.5	0.4	0.5	0.4	0.5	0.6	0.5			54.8%
Motor Fuel	48.0	44.2	46.1	39.2	47.9	43.2	47.3	41.5	38.9	42.4			-1.8%
Alcoholic Beverage	20.0	20.9	28.0	25.6	19.5	23.5	19.1	24.5	20.4	23.4			1.7%
Highway Use	14.2	10.7	9.9	14.5	10.7	11.1	14.3	11.0	12.4	12.2			-4.2%
Vapor Excise	-	-	-	-	-	-	-	-	-	-			0.0%
Opinion Excise	-	-	-	-	-	-	-	-	-	-			100.0%
Miscellaneous	-	-	-	-	-	-	-	-	-	16.9			-1.0%
Total Consumption/Use Taxes	1,375.0	1,340.5	1,775.3	1,424.9	1,414.4	1,835.2	1,405.9	1,412.3	1,783.9	1,546.8			-4.3%
Business Taxes:													
Corporation Franchise	376.7	(69.0)	901.2	146.3	-	941.3	98.8	108.9	1,030.6	153.8			13.6%
Corporation and Utilities	43.0	1.2	108.5	0.4	(1.7)	141.0	2.9	(0.6)	(1.3)	413.8			-1.1%
Insurance	141.8	5.0	403.2	58.8	(1.5)	436.8	1.4	25.3	457.8	1.4			35.4%
Bank	146.3	(121.1)	(21.1)	(0.2)	(1.4)	(1.4)	(3.1)	(41.8)	13.8	(30.3)			-138.2%
Petroleum Business	100.4	85.7	103.8	95.8	107.0	160.7	107.4	85.0	97.3	95.1			2.4%
Total Business Taxes	807.2	(84.2)	1,496.0	297.1	103.5	1,618.3	207.4	184.8	1,717.9	251.5			12.9%
Other Receipts:													
Real Property Gains	-	-	-	-	-	-	-	-	-	-			0.0%
Estate and Gift	79.7	57.3	62.2	124.7	41.8	53.8	163.2	87.2	143.6	93.5			-5.4%
Real Estate Transfer	0.9	1.1	1.6	1.2	2.2	2.1	1.0	1.1	1.0	12.9			-5.1%
Racing and Exhibitions	82.9	86.0	98.6	130.8	90.7	97.2	85.2	99.7	86.1	94.8			-2.6%
Metropolitan Commuter Trans. Mobility	-	-	-	0.2	0.1	-	0.4	0.6	0.1	1.9			-17.4%
Employer Compensation Expense Tax	0.1	0.1	-	0.2	0.2	0.1	0.2	0.1	0.4	0.5			0.0%
Total Other Receipts	163.8	144.6	162.7	257.1	135.0	153.2	250.0	188.7	231.2	189.4			-3.9%
Total Taxes	11,561.4	3,885.5	8,644.5	5,307.7	4,561.4	8,438.2	4,441.7	4,255.2	8,018.0	10,886.9			10.0%
Miscellaneous Receipts:													
Abandoned Property	2.0	1.2	0.9	1.2	5.6	31.0	36.2	215.9	1.1	0.9			-6.4%
Bottle Bill	0.2	0.3	31.2	0.3	0.1	39.1	0.3	0.3	23.2	0.6			-0.7%
Assessments:													
Business	81.0	82.0	103.1	69.2	63.2	76.8	78.7	43.3	80.3	101.7			-1.5%
Medical Care	625.7	523.9	509.0	571.3	518.5	544.1	531.2	472.5	529.4	578.0			5.7%
Public Utilities	5.1	-	0.7	-	0.9	44.2	(6.0)	(1.7)	0.8	44.0			11.7%
Fees, Licenses and Permits:	-	0.2	-	-	0.2	-	-	0.1	0.1	0.2			-52.6%
Alcohol Beverage Control Licensing	5.7	6.0	5.4	6.0	6.9	7.0	7.4	7.2	5.5	5.7			0.3%
Audit Fees	-	0.8	1.5	-	0.1	0.2	-	-	-	2.6			23.8%
Business/Professional:	60.5	60.6	131.5	65.0	48.9	132.0	80.9	71.8	108.5	88.8			8.7%
Civil	28.6	18.0	22.9	22.6	17.8	34.5	20.5	22.2	33.4	16.0			1.0%
Criminal	0.5	0.5	1.2	0.2	0.6	1.3	0.5	0.4	1.0	1.2			-15.9%
Motor Vehicle	128.2	130.8	105.7	119.9	116.3	94.6	116.5	94.4	116.0	123.4			-8.9%
Recreational/Consumer	55.4	47.2	67.3	67.5	96.4	134.3	70.7	71.4	62.5	66.0			12.7%
Fines, Penalties and Forfeitures	628.7	224.6	136.0	59.8	31.9	39.2	86.2	37.8	44.4	36.7			-2.2%
Gambling	-	-	-	-	-	-	-	-	-	-			-
Lottery	31.4	18.8	19.7	37.7	15.3	20.0	36.8	13.3	17.6	35.7			10.4%
Video Lottery	218.4	262.0	202.3	225.7	170.2	176.3	220.1	177.8	180.0	221.5			-4.7%
Interest Earnings	78.6	88.5	63.2	89.5	76.5	77.5	94.6	72.7	70.6	98.0			1.6%
Receipts from Public Authorities:	44.0	38.8	44.9	36.0	39.4	35.8	36.9	34.2	27.9	27.2			37.7%
Bond Proceeds	200.8	2.8	146.4	155.3	79.2	499.1	1,698.2	23.6	328.3	519.4			-8.6%
Cost Recovery Assessments	-	-	-	5.1	-	28.1	13.5	-	6.0	46.1			-12.7%
Insurance Fees	2.0	1.0	15.1	7.0	-	0.9	14.8	3.5	9.5	29.8			-8.4%
Non Bond Related	4.2	4.8	4.7	13.4	-	26.7	24.9	25.3	3.0	75.5			75.4%

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	10 Months Ended January 31												% Increase/Decrease			
	2019	2020														
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019	% Increase/Decrease	
Receipts from Municipalities	28.4	3.2	6.6	4.4	2.6	6.1	4.6	2.3	6.0	3.4			56.6	286.4	-75.4%	
Rentals	40.2	29.1	9.1	39.2	2.6	1.4	66.4	24.9	23.5	49.3			276.7	305.1	-9.3%	
Revenues of State Departments:																
Administrative Recoveries	1.9	2.8	24.7	17.7	4.6	21.9	26.7	27.6	32.0	15.9			175.8	156.1	12.6%	
Commissions	0.6	0.6	0.6	0.6	0.2	0.8	0.7	0.8	82.3	(66.9)			20.3	14.1	44.0%	
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	-	48.0			48.0	1,080.0	-56.2%	
Grants, Gifts and Donations	10.9	1.5	3.1	0.9	0.9	0.3	3.7	2.0	3.1	0.9			70.5	80.6	-12.5%	
Indirect Cost Recoveries	5.6	5.2	8.7	8.3	7.2	5.8	7.0	6.2	6.6	9.9			2,120.1	2,071.8	2.3%	
Patient/Client Care Reimbursement	239.4	194.9	198.1	240.8	209.3	264.5	208.1	183.5	247.1	135.4			1,201.1	1,080.0	10.3%	
Rebates	13.3	14.7	14.7	14.7	14.7	14.7	14.7	14.7	14.7	14.7			14.7	14.7	-0.7%	
Restitution and Settlements	7.8	1.7	6.1	7.8	1.7	0.6	3.0	2.6	12.2	25.6			63.4	186.5	-65.8%	
Student Loans	7.5	3.1	8.5	7.5	1.7	10.9	2.3	2.2	10.8	10.9			57.0	76.9	-25.8%	
All Other	52.9	56.0	47.1	57.8	56.7	82.5	60.8	44.2	45.7	60.1			953.8	442.4	121.4%	
Sales	5.2	0.8	1.2	2.7	1.7	2.5	0.9	1.7	1.4	1.5			19.6	23.6	-16.9%	
Tuition	52.0	48.1	34.9	45.0	24.0	39.9	137.5	37.5	14.1	261.8			1,180.8	21,468.3	-8.9%	
Total Miscellaneous Receipts	2,659.7	1,871.3	1,971.5	1,968.6	1,834.4	2,761.9	3,594.3	1,737.3	2,145.4	2,945.7	-	-	23,496.1	24,168.3	(7.8)%	
Federal Receipts	6,242.0	4,959.2	5,803.8	3,275.4	6,092.3	5,653.8	5,708.9	5,394.3	6,905.8	5,728.8			55,484.2	51,433.7	7.8%	
Total Receipts	20,463.1	10,716.0	16,418.8	10,554.7	12,478.1	16,863.9	13,744.8	11,386.8	16,767.2	19,561.4			148,958.8	139,524.1	6.8%	
DISBURSEMENTS:																
Local Assistance Grants:																
Education	1,263.9	4,574.0	2,811.5	1,910.2	925.1	5,094.1	1,451.3	2,138.2	2,784.8	3,365.8			26,308.9	26,024.8	1.1%	
Environment and Recreation	25.4	33.7	2.7	14.9	14.4	18.9	15.6	12.2	14.2	233.3			385.3	378.7	1.7%	
General Government	60.3	159.7	734.4	60.3	87.5	132.4	163.7	72.1	394.8	87.9			1,928.3	1,928.3	1.0%	
Public Health:																
Medicaid	6,412.0	6,151.7	4,867.9	4,905.7	5,509.5	5,090.5	5,679.8	5,947.1	4,896.3	6,153.4			55,670.9	51,665.3	8.0%	
Other Public Health	724.4	1,821.4	802.3	782.4	782.4	864.2	803.0	591.2	1,069.3	825.6			8,425.3	8,425.3	-0.6%	
Public Safety	156.9	178.2	70.6	87.9	98.6	103.7	189.4	217.2	133.1	239.2			1,455.8	1,344.8	8.3%	
Public Welfare	240.1	215.8	537.8	452.8	374.1	706.5	1,491.0	1,057.6	247.2	672.8			5,995.7	6,259.0	-4.2%	
Support and Regulate Business	34.1	164.8	204.6	67.8	67.7	74.4	60.8	66.7	121.6	36.4			888.9	1,031.5	-12.9%	
Transportation	305.0	477.1	354.8	335.4	438.0	638.1	384.1	540.4	1,027.2	120.7			4,801.6	5,018.6	-4.3%	
Total Local Assistance Grants	9,222.1	12,837.4	10,736.2	8,640.0	8,295.3	12,973.8	10,188.7	10,842.7	10,758.2	11,735.1			105,839.5	101,973.3	3.8%	
Departmental Operations:																
Personal Service	1,139.8	1,177.6	1,127.7	1,191.0	1,253.3	1,115.1	1,440.2	1,129.8	1,145.1	1,241.7			12,501.3	12,134.9	3.0%	
Non-Personal Service	474.1	578.3	515.9	519.5	578.2	593.0	647.4	514.4	524.7	583.3			5,424.9	5,249.9	3.7%	
General State Charges	813.6	2,460.6	464.6	489.0	543.0	572.7	665.9	565.7	539.3	566.5			7,569.8	7,571.1	1.5%	
Debt Service, Including Payments on																
Financing Agreements	72.4	121.1	230.3	46.1	74.5	433.2	48.5	74.9	412.2	44.6			1,566.8	1,789.9	-12.0%	
Capital Projects	434.1	529.1	536.5	600.7	750.3	592.6	710.7	705.0	577.0	551.8			5,976.8	5,989.3	0.1%	
Total Disbursements	12,156.1	18,041.1	13,601.2	11,495.3	11,494.6	16,270.4	13,711.4	13,632.5	13,956.5	14,822.0			139,182.1	134,841.4	3.2%	
Excess (Deficiency) of Receipts over Disbursements	8,307.0	(7,325.1)	2,815.6	(940.6)	983.5	563.5	33.4	(2,245.7)	2,810.7	4,736.4			9,733.7	4,882.7	100.7%	
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-			-	-	0.0%	
Transfers from Other Funds	6,203.6	2,881.3	4,836.5	3,268.8	2,912.1	4,741.3	1,641.5	2,363.8	4,008.5	4,989.2			37,629.6	32,494.0	15.8%	
Transfers to Other Funds	(6,217.9)	(2,698.8)	(4,854.6)	(3,281.7)	(2,930.1)	(4,765.2)	(1,645.1)	(2,367.2)	(4,008.8)	(4,979.9)			(32,539.5)	(32,539.5)	16.0%	
Total Other Financing Sources (Uses)	(14.3)	(17.5)	(15.1)	(12.9)	(18.0)	(23.9)	(3.0)	(3.4)	(1.3)	(10.7)			(126.7)	(44.5)	-171.2%	
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	8,292.7	(7,342.6)	2,800.5	(953.5)	965.5	569.6	29.8	(2,249.1)	2,809.4	4,727.7			9,653.0	4,838.2	108.1%	
Ending Fund Balance	\$ 18,267.7	\$ 10,925.1	\$ 13,728.6	\$ 12,775.1	\$ 13,740.6	\$ 14,310.2	\$ 14,340.0	\$ 12,090.9	\$ 14,900.3	\$ 19,628.0	\$ -	\$ -	\$ 19,628.0	\$ 17,387.2	\$ 2,240.8	12.9%

(*) Governmental Funds includes General, Special Revenue, Debt Service and Capital Projects Funds combined.

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Interest Earnings

Receipts from Public Authorities:

STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2019-2020
(amounts in millions)

	2019	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020	JANUARY	FEBRUARY	MARCH	2020	2019	10 Months Ended January 31	% Increase/Decrease
	APRIL															(\$ Increase/Decrease)	
Bond Proceeds:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Cost Recovery Assessments	2.0	1.0	15.1	7.0	5.1	28.1	13.5	-	6.0	40.5	(12.2)	-	-	46.4	46.4	(5.9)	-12.7%
Issuance Fees	0.7	4.7	4.3	13.5	-	-	0.8	14.8	9.5	83.5	29.8	3.5	3.5	83.5	91.2	(7.7)	-8.4%
Non Bond Related	28.1	3.2	6.3	4.4	2.3	28.7	4.5	-	2.6	80.1	23.1	2.6	2.6	80.1	70.4	9.7	13.8%
Receipts from Municipalities	39.3	28.3	8.6	23.6	1.0	0.7	65.7	4.4	5.9	62.5	48.2	2.1	2.1	265.5	265.5	(203.0)	-76.5%
Rentals of State Departments:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-9.1%
Administrative Recoveries	1.9	2.8	24.7	17.7	4.6	21.9	28.7	27.6	32.0	175.8	15.9	-	-	156.1	156.1	19.7	12.6%
Commissions	0.6	0.6	0.6	0.6	0.6	0.8	0.7	0.8	82.3	20.3	(66.9)	-	-	14.1	6.2	44.0%	44.0%
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	0.3	468.0	-	-	-	468.0	1,088.0	(600.0)	-56.2%
Gifts, Grants and Donations	0.8	1.0	2.8	0.3	-	-	0.3	-	0.3	6.9	0.6	-	-	106.2	106.2	(99.3)	-93.5%
Indirect Cost Recoveries	8.5	18.2	8.7	8.3	8.2	26.6	7.0	8.2	8.6	8.9	13.6	8.9	8.9	80.6	80.6	(71.7)	-88.8%
Indirect Patient Care Reimbursement	234.4	18.2	10.7	20.6	20.6	26.6	20.6	18.8	26.6	21.4	13.6	13.6	13.6	2,004.6	2,004.6	(1,983.2)	-98.9%
Rentals	14.6	2.7	6.1	13.4	3.8	3.8	6.6	8.4	3.2	51.4	5.3	-	-	68.7	7.3	44.1%	14.2%
Restitution and Settlements	7.6	1.2	1.0	0.5	5.9	0.5	0.5	3.6	5.7	51.4	24.4	5.7	5.7	177.4	177.4	(126.0)	-71.0%
Student Loans	7.5	3.1	8.5	7.5	1.7	10.9	2.3	2.2	10.8	57.0	2.5	2.5	2.5	76.9	76.9	(69.4)	-90.2%
All Other	49.0	55.2	45.8	43.3	44.3	39.8	53.2	39.8	40.0	504.5	53.2	-	-	424.6	424.6	(78.9)	-18.8%
Sales	1.0	0.8	1.2	2.7	1.7	2.5	0.8	1.5	1.3	14.9	1.4	-	-	21.0	21.0	(16.1)	-76.7%
Tuition	52.0	3.2	3.2	4.4	13.8	37.1	13.8	1.3	1.3	11.6	26.1	-	-	126.0	126.0	(114.4)	-91.2%
Total Miscellaneous Receipts	2,340.8	1,727.0	1,706.2	1,709.9	1,632.2	2,168.8	1,878.8	1,589.4	1,727.6	18,793.8	2,313.6	-	-	18,793.8	18,793.8	(17,106.2)	-90.9%
Federal Receipts	-	-	(0.9)	1.7	53.6	0.3	0.1	0.2	-	29.7	(25.3)	-	-	36.0	36.0	(6.3)	-17.5%
Total Receipts	13,785.3	5,511.1	10,211.7	6,912.4	6,126.7	10,456.7	6,204.0	5,736.7	9,411.7	87,822.2	13,062.7	-	-	87,822.2	87,822.2	(74,310.5)	-84.6%
DISBURSEMENTS:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Local Assistance Grants:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Education	917.2	3,980.2	2,539.1	1,611.6	680.8	4,854.3	1,230.2	1,980.8	2,433.9	23,183.9	3,045.8	-	-	22,754.7	22,754.7	(429.2)	-1.9%
Environment and Recreation	0.2	0.1	0.6	(0.1)	0.3	1.0	0.7	0.3	0.7	4.5	0.7	-	-	6.5	6.5	(2.0)	-30.8%
General Government	27.1	34.4	576.7	22.4	58.0	71.2	33.2	51.1	232.4	1,137.3	30.8	-	-	1,082.0	1,082.0	(75.3)	-7.1%
Public Health:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Medical Assistance	3,265.5	2,470.5	1,759.2	1,693.0	1,759.5	1,915.8	2,132.2	2,341.5	1,734.4	21,545.3	2,341.5	-	-	18,180.3	18,180.3	(2,365.0)	-13.4%
Other Public Health	210.3	153.0	40.7	261.2	276.9	267.2	277.2	225.1	382.9	2,535.1	223.6	-	-	2,719.5	2,719.5	(184.4)	-6.8%
Public Safety	30.7	27.8	28.6	28.0	23.0	41.8	28.5	22.5	34.2	255.3	(19.9)	-	-	282.2	282.2	(26.9)	-9.5%
Public Welfare	88.7	85.7	181.0	128.9	180.7	170.0	424.8	480.9	119.2	2,011.0	171.1	-	-	1,949.5	1,949.5	(81.5)	-4.2%
Support and Regulate Business	7.1	14.4	7.0	27.8	24.5	11.7	21.0	21.0	19.0	159.6	4.7	-	-	175.8	175.8	(16.2)	-9.2%
Transportation	68.3	426.6	279.4	274.3	388.4	527.1	279.8	498.9	739.5	3,344.8	62.5	-	-	3,643.0	3,643.0	(298.2)	-8.2%
Total Local Assistance Grants	4,043.1	7,192.7	5,812.3	4,251.1	3,402.1	7,600.1	4,417.0	5,430.1	5,086.2	54,277.8	5,763.5	-	-	51,753.5	51,753.5	(2,524.3)	-4.9%
Other Assistance Grants:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Personal Services	1,090.5	1,651.8	1,072.6	1,146.7	1,205.6	1,064.2	1,364.4	1,093.1	1,092.2	11,984.2	1,193.1	-	-	11,584.7	11,584.7	(399.5)	-3.4%
Non-Personal Services	404.0	500.0	419.5	437.9	472.7	406.6	514.3	398.2	540.4	4,526.2	540.4	-	-	4,352.0	4,352.0	(174.2)	-3.9%
General State Charges	792.2	2,436.5	420.6	483.4	518.5	548.2	638.9	539.5	513.8	7,402.4	528.8	-	-	7,203.7	7,203.7	(198.7)	-2.8%
Debt Service, Including Payments on	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Financing Agreements	72.4	121.1	230.3	45.1	74.5	433.2	48.5	74.9	412.2	1,556.8	44.6	-	-	1,788.9	1,788.9	(232.1)	-12.9%
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	7,004.2	11,902.1	7,955.4	6,350.2	5,673.3	10,112.3	6,884.1	7,559.2	8,113.6	79,727.4	8,073.0	-	-	79,727.4	79,727.4	(3,014.6)	-3.8%
Excess (Deficiency) of Receipts over Disbursements	6,781.1	(6,391.0)	2,256.3	562.2	453.4	344.4	(780.1)	(1,822.5)	1,498.1	7,894.8	4,989.7	-	-	7,894.8	5,309.5	2,585.3	48.7%
OTHER FINANCING SOURCES (USES):	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds (*)	5,706.6	2,417.0	4,298.6	3,019.8	2,505.3	4,021.1	2,373.2	1,883.8	3,514.4	34,398.6	4,658.8	-	-	30,283.3	30,283.3	(4,115.3)	-13.6%
Transfers to Other Funds (*)	(6,134.0)	(2,500.7)	(4,748.7)	(3,125.0)	(2,729.4)	(4,467.3)	(1,456.6)	(2,236.4)	(3,984.3)	(36,645.6)	(4,652.0)	-	-	(30,946.4)	(30,946.4)	(4,699.2)	-15.2%
Total Other Financing Sources (Uses)	(427.4)	(83.7)	(450.1)	(105.2)	(224.1)	(446.2)	916.6	(352.6)	(69.9)	(1,247.0)	(3.9)	-	-	(683.1)	(683.1)	(583.9)	-86.1%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	6,353.7	(6,474.7)	1,806.2	456.4	229.3	(101.8)	136.5	(2,175.1)	1,428.2	6,647.8	4,985.9	-	-	6,647.8	4,646.4	2,001.4	43.1%
Ending Fund Balance	\$ 18,718.2	\$ 12,243.5	\$ 14,049.7	\$ 14,506.1	\$ 14,735.4	\$ 14,633.6	\$ 14,770.1	\$ 12,595.0	\$ 14,023.2	\$ 19,009.1	\$ 18,009.1	\$ -	\$ -	\$ 19,009.1	\$ 18,233.0	\$ 776.1	4.1%

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from federal revenue sources (including operating transfers from Federal funds) and Debt Service Funds.
(**) Eliminations between State and Federal Special Revenue Funds are not included.

EXHIBIT F

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

Beginning Fund Balance	10 Months Ended January 31												% Increase/ Decrease
	2019 APRIL \$ 7,205.7	MAY \$ 11,968.7	JUNE \$ 5,221.6	JULY \$ 6,593.0	AUGUST \$ 6,614.3	SEPTEMBER \$ 6,886.4	OCTOBER \$ 9,049.8	NOVEMBER \$ 8,815.2	DECEMBER \$ 6,571.4	2020 JANUARY \$ 8,179.7	FEBRUARY	MARCH	
RECEIPTS:													
Taxes:													
Personal Income Tax:													
Withholdings	3,237.1	3,220.1	2,922.3	3,365.8	2,933.7	2,951.1	3,270.6	2,981.8	4,054.3	5,045.6	32,407.2	1,175.2	4.6%
Estimated Payments	2,986.9	75.1	2,396.4	118.7	98.7	2,742.0	170.9	93.5	379.8	3,842.2	21,980.0	3,013.4	21.9%
Returns	2,986.9	75.1	54.1	40.8	45.1	65.5	584.2	42.5	24.6	25.7	1,005.2	195.6	32.2%
State/City Offsets	(286.9)	(31.1)	(25.9)	(21.0)	(20.9)	(47.2)	(475.4)	(58.5)	(17.7)	(9.6)	(1,005.2)	(19.9)	-1.9%
Other (Assessments/LC)	170.3	105.2	99.2	89.3	95.7	91.7	104.3	121.6	134.6	87.2	1,055.1	41.0	3.9%
Gross Receipts	12,240.6	3,481.9	5,443.1	3,593.6	3,193.3	5,763.1	3,634.6	3,173.8	4,575.6	8,891.1	48,660.7	1,953.1	11.0%
Transfers to School Tax Relief Fund	(4,607.7)	(1,242.3)	(2,604.9)	(1,665.8)	(1,454.3)	(2,415.7)	(1,289.2)	(1,237.7)	(2,104.0)	(2,107.4)	(23,149.1)	(260.9)	-10.8%
Transfers to Revenue Bond Tax Fund	(3,025.2)	(897.3)	(233.2)	(282.0)	(243.8)	(871.7)	(1,056.2)	(210.5)	(287.8)	(419.6)	(20,571.3)	2,538.9	12.3%
Refunds Issued	(2,607.7)	(897.3)	(233.2)	(282.0)	(243.8)	(871.7)	(1,056.2)	(210.5)	(287.8)	(419.6)	(20,571.3)	2,538.9	12.3%
Total Personal Income Tax	4,607.7	1,242.3	2,605.0	1,665.8	1,454.2	2,415.7	1,289.2	1,237.7	2,105.5	2,342.2	16,167.2	2,797.9	15.4%
Consumption/Use Taxes:													
Sales and Use	539.3	551.4	743.5	579.8	581.8	761.9	579.0	584.5	742.1	635.5	5,955.9	342.9	5.8%
Auto Rental	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Cigarette/Tobacco Products	26.0	25.8	26.5	31.4	28.3	28.3	28.3	26.3	27.3	24.0	285.3	(13.1)	-4.6%
Motor Fuel	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Alcoholic Beverage	20.0	20.9	26.0	25.6	19.5	23.5	19.1	24.5	20.4	34.6	230.2	3.9	1.7%
Highway Use	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Vapor Excise	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Opium Excise	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Consumption/Use Taxes	585.3	588.1	796.0	636.8	626.6	813.7	626.4	635.3	788.8	711.0	6,822.0	350.6	5.4%
Business Taxes:													
Corporation Franchise	274.1	(75.0)	725.8	109.4	(21.4)	791.3	71.5	687.7	855.7	122.7	2,923.8	350.8	13.6%
Corporation and Utilities	16.3	1.8	84.1	0.2	(0.8)	105.5	2.0	(1.9)	86.1	(1.0)	293.3	(6.1)	-2.7%
Insurance	127.4	(3.6)	354.7	50.9	2.3	387.8	2.7	25.6	395.1	2.3	1,345.2	301.4	34.5%
Bank	125.4	(104.7)	(21.5)	(0.3)	(0.2)	(1.0)	(2.9)	(36.6)	13.9	(0.5)	(28.4)	74.5	-138.1%
Petroleum Business	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Business Taxes	543.2	(181.5)	1,433.1	160.2	(20.1)	1,283.6	73.3	56.8	1,351.8	123.5	4,533.9	584.7	14.3%
Other Taxes:													
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Estate and Gift	79.7	57.3	62.2	124.7	41.8	53.8	163.2	87.2	143.6	93.5	907.0	(51.3)	-5.4%
Pan-Mutuel	0.9	1.1	1.6	1.2	2.2	2.1	1.0	1.1	1.0	0.7	12.9	(0.7)	-5.1%
Real Estate Transfer	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Racing and Exhibitions	0.2	0.1	0.3	0.2	0.1	-	0.4	0.6	0.1	(0.1)	1.9	2.3	-17.4%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Employer Compensation Expense Tax	0.1	-	0.1	0.1	0.1	-	0.1	0.1	0.2	0.2	0.9	0.9	100.0%
Total Other Taxes	80.9	58.5	64.1	126.2	44.2	55.9	164.7	88.0	144.9	94.3	922.7	(51.5)	-5.3%
Total Taxes	5,817.1	1,717.4	4,608.2	2,589.0	2,107.9	4,568.9	2,153.4	2,012.8	4,392.0	3,271.0	29,556.0	3,881.7	12.5%
Miscellaneous Receipts:													
Abandoned Property	-	-	-	0.3	4.8	30.2	35.0	215.0	-	-	286.3	(20.9)	-6.8%
Bottle Bill	0.2	0.3	8.2	0.3	0.1	39.1	0.3	0.3	23.2	0.6	72.6	(0.7)	-1.0%
Assessments:													
Business:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Medical Care	-	4.2	4.3	3.8	2.6	1.9	2.5	3.4	7.0	4.5	34.2	(4.4)	-11.4%
Public Utilities	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other	-	0.1	-	-	0.1	-	-	0.1	-	0.1	0.7	(0.2)	-28.6%
Fees, Licenses and Permits:													
Alcohol Beverage Control Licensing	5.7	6.0	5.4	6.0	6.9	7.0	7.4	7.2	5.5	5.7	62.8	0.2	0.3%
Audit Fees	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Business/Professional	11.1	18.1	29.8	15.0	3.4	35.1	30.3	16.2	30.8	41.4	231.2	171.0	35.2%
Civil	25.0	13.4	17.8	18.4	15.1	28.7	15.7	17.1	28.1	11.5	188.6	80.2	0.9%
Criminal	0.2	0.1	0.1	0.2	0.1	0.1	0.1	0.1	0.2	0.1	1.4	-	0.0%
Motor Vehicle	33.2	34.9	11.6	35.5	24.4	24.2	33.8	10.1	40.8	28.4	278.9	36.3	15.1%
Recreational/Consumer	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4	0.0%
Fines, Penalties and Forfeitures	618.1	154.6	26.5	43.9	19.7	28.1	72.0	24.2	24.6	28.3	1,040.6	(139.4)	-11.8%
Interest Earnings	21.8	16.8	19.8	13.1	13.9	12.8	14.0	12.6	11.0	9.5	145.3	48.3	49.8%
Receipts from Public Authorities:													
Cost Recovery Assessments	-	-	-	-	5.1	5.0	7.9	-	2.1	-	20.1	(0.2)	-1.0%
Insurance Fees	-	-	10.9	7.0	-	0.8	14.8	3.5	9.5	29.8	76.3	84.0	(7.7)%
Non Bond Related	0.1	-	-	-	-	-	0.1	-	-	-	25.2	24.2	4.1%
Receipts from Municipalities	16.7	-	-	-	-	-	-	-	-	-	16.8	166.7	-68.9%
Rentals	0.3	0.1	0.2	0.3	0.1	0.2	0.1	0.2	0.7	0.1	1.8	(3.6)	-86.7%
Revenues of State Departments:													
Administrative Recoveries	0.5	1.0	20.1	0.1	0.3	18.2	0.5	0.3	16.1	0.1	54.9	2.3	4.2%
Commissions	0.1	0.2	-	0.2	-	-	-	-	-	-	0.9	0.3	0.3%
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	(0.2)	-100.0%
Indirect Cost Recoveries	5.6	5.2	8.7	8.3	7.2	5.8	7.0	6.2	6.6	9.9	80.5	(10.0)	-12.4%
Patient/Clinic Care Reimbursement	(7.3)	2.7	5.7	(70.7)	59.9	2.7	(16.8)	2.7	5.7	(102.6)	(12.9)	(47.5)	-72.6%
Rebates	(0.6)	1.7	(0.6)	(0.2)	2.5	-	-	2.6	(0.9)	(0.1)	1.3	3.1	238.5%

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT F

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	10 Months Ended January 31		% Increase/ Decrease
													2020	2019	
Restitution and Settlements	-	-	0.2	-	-	0.1	0.1	0.2	5.3	0.1	-	-	6.0	110.9	(104.9)
Student Loans	8.1	18.3	(11.6)	4.1	0.6	-	-	-	-	-	-	-	71.8	30.5	-
All Other	-	-	-	-	-	-	19.5	7.5	6.9	-	-	-	-	41.3	135.4%
Sales	741.0	279.3	158.8	87.4	183.1	278.7	245.8	336.5	227.2	77.0	-	-	2,888.5	2,888.5	(24.0)
Total Miscellaneous Receipts	-	-	-	-	-	-	-	-	-	-	-	-	0.3	0.1	-10.2%
Federal Receipts	-	-	-	-	0.1	0.2	0.1	0.1	-	(0.2)	-	-	35,831.8	32,444.6	200.0%
Total Receipts	6,583.1	1,996.7	4,767.0	2,676.4	2,276.1	4,847.8	2,399.3	2,343.4	4,619.2	3,347.8	-	-	37,261.1	37,261.1	10.4%
DISBURSEMENTS:															
Local Assistance Grants:															
Education	917.0	3,979.7	2,189.8	1,611.4	679.3	2,342.9	1,082.3	1,741.4	2,250.1	791.0	-	-	17,584.9	17,384.0	1.2%
Environment and Recreation	0.1	0.1	0.1	-	0.2	0.8	0.7	0.1	0.2	0.2	-	-	2.5	2.6	(0.1)
General Government	1.7	15.7	574.9	2.2	45.5	48.3	19.1	30.9	205.3	10.4	-	-	954.0	936.7	1.8%
Public Health:															
Medicaid	3,296.6	1,988.6	1,393.9	1,320.2	1,073.3	1,308.3	1,650.5	1,933.4	1,300.1	1,692.0	-	-	16,526.9	14,435.9	14.5%
Other Public Health	190.2	120.3	336.0	217.7	111.8	213.0	220.9	101.5	282.6	119.8	-	-	1,873.8	1,953.7	-8.0%
Public Safety	134.4	124.4	124.4	124.4	124.4	124.4	124.4	124.4	124.4	124.4	-	-	1,244.4	1,244.4	0.0%
Public Welfare	87.9	84.9	189.5	128.5	170.8	170.7	434.2	459.7	119.8	171.5	-	-	2,007.3	1,945.6	3.2%
Support and Regulate Business	6.0	7.7	5.7	22.0	7.3	20.9	20.9	7.1	13.0	11.4	-	-	114.3	120.0	-4.8%
Transportation	-	23.9	14.1	0.2	23.9	(0.1)	3.4	24.1	11.4	11.4	-	-	97.5	290.9	-66.5%
Total Local Assistance Grants	4,470.0	5,834.3	4,707.5	3,320.6	2,147.8	4,116.0	3,431.0	4,306.4	4,204.1	2,764.6	-	-	39,304.3	37,261.1	5.5%
Departmental Operations:															
Personal Service	688.8	1,071.8	679.0	687.3	853.2	676.0	805.2	694.6	684.2	794.0	-	-	7,634.1	7,405.8	3.1%
Non-Personal Service	159.0	249.2	216.9	200.9	211.3	189.9	255.5	147.6	178.9	233.6	-	-	2,044.7	2,080.7	-2.2%
General State Charges	730.2	2,249.3	358.9	384.6	471.0	471.0	573.4	408.6	466.1	441.4	-	-	5,569.1	6,314.0	-4.0%
Total Disbursements	6,046.0	9,304.6	5,970.3	4,603.6	3,634.9	5,457.9	5,066.1	5,550.4	5,475.8	4,239.6	-	-	55,549.2	53,072.4	4.7%
Excess (Deficiency) of Receipts over Disbursements	512.1	(7,307.9)	(1,203.3)	(1,927.2)	(1,358.8)	(610.1)	(2,666.8)	(3,207.0)	(856.6)	(891.8)	-	-	(19,717.4)	(20,627.8)	4.4%
OTHER FINANCING SOURCES (USES):															
Transfers from Revenue Bond Tax Fund	4,607.3	1,126.2	2,606.0	1,658.3	1,476.3	2,882.8	1,288.8	960.3	2,147.3	2,950.3	-	-	21,503.6	18,654.4	15.3%
Transfers from LGAC / STREITF	452.0	302.7	835.6	501.5	490.2	747.8	483.9	494.1	654.2	572.4	-	-	5,544.4	5,116.6	8.4%
Transfers from CWAC Fund	70.3	181.4	185.4	144.3	181.1	181.1	89.6	83.1	154.2	76.2	-	-	1,832.9	1,832.9	0.0%
Transfers from Capital Projects	40.0	180.0	180.0	180.0	180.0	180.0	180.0	180.0	180.0	180.0	-	-	1,800.0	1,800.0	0.0%
Transfers to State Capital Projects	(248.8)	(406.3)	(393.8)	(201.8)	(402.8)	(586.6)	812.1	(394.2)	(286.0)	(208.6)	-	-	(2,317.1)	(1,447.6)	37.2%
Transfers to All Other Capital Projects	(250.0)	-	(216.5)	(50.0)	(70.0)	(116.5)	(100.0)	(68.0)	(186.5)	(100.0)	-	-	(1,154.5)	(1,154.5)	0.0%
Transfers to General Debt Service	(134.7)	(10.7)	(132.1)	(132.1)	16.6	28.2	(129.9)	20.2	(5.2)	(213.4)	-	-	(554.0)	(796.6)	-30.5%
Transfers to All Other State Funds	(284.5)	(447.3)	(467.6)	(190.1)	(71.9)	(132.9)	(65.5)	(169.4)	(63.1)	(69.1)	-	-	(2,011.5)	(1,719.9)	17.0%
Total Other Financing Sources (Uses)	4,250.9	760.8	2,574.7	1,948.5	1,630.9	2,773.5	2,432.2	963.2	2,464.9	3,530.1	-	-	23,329.7	20,650.3	13.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	4,763.0	(6,747.1)	1,371.4	21.3	272.1	2,463.4	(234.6)	(2,243.8)	1,608.3	2,638.3	-	-	3,612.3	22.5	15,954.7%
Ending Fund Balance	\$ 11,983.7	\$ 5,221.6	\$ 6,593.0	\$ 6,614.3	\$ 6,886.4	\$ 9,048.8	\$ 8,315.2	\$ 6,571.4	\$ 8,179.7	\$ 10,818.0	\$ -	\$ -	\$ 10,818.0	\$ 9,487.5	14.3%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	10 Months Ended January 31												% Increase/ (Decrease)
	2019												
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ 3,842.4	\$ 7,002.4	\$ 6,288.9	\$ 7,986.6	\$ 6,880.6	\$ 7,461.3	\$ 6,411.5	\$ 5,886.6	\$ 5,596.5	\$ 6,802.8			
RECEIPTS:													
Personal Income Tax	-	-	-	-	-	-	0.2	3.0	38.5	2,107.4	-	-	-10.8%
Consumption/Use Taxes:													
Sales and Use	124.1	76.4	102.8	79.1	80.3	104.8	81.0	82.1	102.9	90.4	-	-	-8.3%
Auto Rental	-	-	-	-	-	-	-	-	-	-	-	-	-8.3%
Cigarette/Tobacco Products	63.2	59.4	57.3	75.4	63.9	59.4	65.5	57.8	68.9	55.3	-	-	-81%
Medicarijuana	14.4	8.6	8.5	14.5	8.4	8.5	10.4	8.5	8.5	8.9	-	-	-11%
Motor Fuel	9.8	9.4	9.5	8.8	10.1	-	-	-	-	-	-	-	-11%
Alcoholic Beverage	-	-	-	-	-	-	-	-	-	-	-	-	-11%
Highway Use	-	0.1	0.1	-	-	-	-	0.1	-	-	-	-	-11%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-	-	-	-	-100.0%
Business Taxes:	197.4	145.7	170.2	163.9	154.7	181.2	158.0	148.1	186.5	155.1	-	-	-100.0%
Corporation Franchise	102.8	6.0	23.5	36.9	21.4	150.0	27.3	39.2	174.9	31.1	-	-	-100.0%
Corporation and Utilities	23.4	(0.5)	0.2	0.2	(0.9)	32.4	0.8	1.2	29.6	106.2	-	-	-100.0%
Insurance	14.4	8.6	48.5	5.9	(3.9)	48.0	(1.3)	(0.3)	62.7	126.8	-	-	-100.0%
Bank	19.9	(16.9)	16.4	41.1	(1.1)	15.9	47.7	40.2	39.1	4.1	-	-	-100.0%
Petroleum Business	44.1	48.3	48.3	41.3	47.0	43.9	47.2	40.8	39.8	43.1	-	-	-100.0%
Total Business Taxes	204.4	41.6	283.2	84.4	63.6	274.9	73.8	75.7	306.9	73.1	-	-	-11.4%
Total Taxes	401.8	187.3	463.4	248.2	218.3	456.1	230.9	227.8	531.9	2,355.6	-	-	-31%
Miscellaneous Receipts:													
Abandoned Property	1.1	1.1	0.9	0.9	0.8	0.8	1.2	0.9	1.1	0.9	-	-	6.6%
Assessments:													
Business	70.9	72.7	94.4	52.0	54.6	69.5	70.4	35.3	72.7	93.4	-	-	-19%
Medical Care	625.7	519.7	504.7	567.5	519.9	542.2	504.7	489.1	522.4	573.5	-	-	-5.8%
Public Utilities	5.1	-	0.7	-	0.9	44.2	(6.0)	(1.7)	0.8	0.1	-	-	-11.7%
Other	-	0.1	-	-	0.1	-	-	(0.0)	0.4	0.1	-	-	-86.7%
Fees, Licenses and Permits:													
Auto Fees	-	0.8	1.5	-	0.1	0.2	-	-	-	-	-	-	23.8%
Business/Professional	48.6	36.9	99.0	47.5	32.8	95.6	49.4	53.6	77.1	46.8	-	-	87.15%
Civil	3.6	4.6	5.1	4.2	2.7	7.8	4.8	5.1	5.3	4.5	-	-	3.0%
Criminal	0.3	0.4	1.1	-	0.4	1.2	0.4	0.3	0.8	1.1	-	-	-189%
Motor Vehicle	26.0	26.6	28.7	23.5	28.3	10.0	25.3	25.8	22.9	35.1	-	-	-14.0%
Recreational/Consumer	54.0	45.6	65.4	65.9	94.0	129.2	58.6	71.1	60.7	48.3	-	-	-86.2%
Fines, Penalties and Forfeitures	8.3	69.0	107.2	5.2	10.5	8.2	14.3	8.5	19.5	6.8	-	-	107.2%
Gaming:													
Casino	31.4	18.8	19.7	37.7	15.3	20.0	36.8	13.3	17.6	35.7	-	-	23.2%
Lottery	218.4	265.0	205.3	225.7	170.2	176.3	220.1	177.8	180.0	221.5	-	-	-1.6%
Video Lottery	76.6	94.5	93.2	289.5	78.5	77.5	94.6	72.7	70.6	98.0	-	-	13.0%
Interest Earnings	20.9	21.0	23.8	21.7	24.0	21.8	21.9	20.5	18.9	20.6	-	-	33.0%
Receipts from Public Authorities:													
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	100%
Cost Recovery Assessments	-	-	-	-	-	23.1	5.6	-	3.9	(12.2)	-	-	-21.6%
Insurance Fees	2.0	1.0	4.2	13.5	-	-	-	-	-	7.2	-	-	7.2%
Non Bond Related	0.6	4.7	4.3	3.5	-	1.7	4.4	-	54.9	46.2	-	-	87.18%
Receipts from Municipalities	9.4	2.7	6.3	3.6	2.3	5.9	3.9	1.8	5.9	95.9	-	-	-54.2%
Revenues of State Departments:													
Administrative Recoveries	1.4	1.8	4.6	17.6	4.3	3.7	26.2	27.3	15.9	15.8	-	-	-80%
Commissions	0.5	0.4	0.6	0.4	0.4	0.8	0.7	0.7	82.3	14.1	-	-	17.4%
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	(67.4)	5.3	-	-	37.6%
Gifts, Grants and Donations	0.8	1.0	2.8	0.3	0.6	-	0.3	0.3	0.3	488.0	-	-	-56.2%
Indirect Cost Recoveries	0.9	-	-	-	-	-	-	-	-	-	-	-	-56.2%
Patent/Client Care Reimbursement	204.3	156.2	154.9	222.3	106.2	243.2	193.9	155.9	197.7	200.2	-	-	-86.15%
Rebates	12.9	9.7	15.2	22.3	9.2	12.1	17.7	11.9	12.4	13.4	-	-	0.2%
Retention and Settlements	7.6	1.2	0.8	1.0	5.9	0.4	0.4	0.4	0.4	66.5	-	-	-31.7%
Student Loans	1.5	3.1	3.5	3.5	3.5	3.5	3.5	3.5	3.5	3.5	-	-	-25.9%
Other	41.2	36.9	57.8	39.2	43.8	67.5	36.8	33.5	35.9	45.1	-	-	-18.9%
Sales	0.9	0.8	1.5	2.5	1.7	2.5	0.8	1.5	1.3	1.5	-	-	-27.9%
Tuition	52.0	48.1	34.9	45.0	240.0	308.9	137.5	37.5	261.8	150.0	-	-	-6.8%
Total Miscellaneous Receipts	1,371.9	1,462.6	1,521.3	1,555.8	1,441.1	1,853.7	1,614.4	1,282.8	1,462.6	2,211.4	-	-	-8.9%
Federal Receipts	6,203.7	4,816.3	5,671.6	3,118.1	5,973.4	5,484.0	5,367.9	5,209.9	6,447.1	5,363.0	-	-	8.5%
Total Receipts	8,177.4	6,495.2	7,656.3	4,912.1	7,535.8	7,825.8	7,713.2	6,690.5	8,441.6	9,930.0	-	-	4.9%
Transfer	-	-	-	-	-	-	-	-	-	-	-	-	-
Eliminations (*)	-	-	-	-	-	-	-	-	-	-	-	-	-
2020	\$ 3,842.4	\$ 7,002.4	\$ 6,288.9	\$ 7,986.6	\$ 6,880.6	\$ 7,461.3	\$ 6,411.5	\$ 5,886.6	\$ 5,596.5	\$ 6,802.8			
2019	\$ 4,302.1	\$ 4,302.1	\$ 4,302.1	\$ 4,302.1	\$ 4,302.1	\$ 4,302.1	\$ 4,302.1	\$ 4,302.1	\$ 4,302.1	\$ 4,302.1			
% Increase/ (Decrease)	-10.7%	-10.7%	-10.7%	-10.7%	-10.7%	-10.7%	-10.7%	-10.7%	-10.7%	-10.7%			

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019															10 Months Ended January 31	% Increase/
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (1)	2020	2019	(Decrease)	Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	337.7	591.1	611.4	288.1	233.8	2,668.8	354.6	378.6	509.8	2,554.9			-	8,558.8	8,511.9	46.9	0.6%
Health and Recreation	0.2	0.5	0.5	0.1	0.2	0.5	0.5	0.2	0.7	0.5			-	2.8	0.0	(3.1)	-517%
General Government	27.4	22.2	10.5	21.4	24.2	25.0	16.2	22.6	38.9	22.2			-	230.6	181.7	48.9	26.9%
Public Health:																	
Medicaid	3,115.4	4,563.1	3,464.0	3,955.5	4,433.2	3,752.2	4,029.3	4,013.7	3,686.2	4,481.4			-	38,144.0	37,129.4	2,014.6	5.4%
Other Public Health	543.4	520.5	805.5	508.6	652.9	721.0	509.6	455.4	721.8	617.4			-	6,056.1	6,140.5	(84.4)	-1.4%
Public Welfare	136.3	164.9	69.3	88.4	68.3	158.3	150.3	189.5	109.5	1,228.6			-	1,228.6	1,141.0	87.6	7.7%
Public Welfare - Child Support	152.3	120.0	271.2	318.4	185.2	483.0	1,063.4	514.8	114.3	402.4			-	3,653.0	4,051.9	(418.9)	-10.3%
Regulate Business	1.4	7.9	1.5	6.6	5.7	5.2	1.9	15.8	6.0	1.1			-	53.1	63.5	(10.4)	-16.4%
Transportation	77.3	408.5	268.7	278.1	595.0	330.5	284.0	479.5	734.6	70.9			-	3,297.1	3,399.7	(102.6)	-3.0%
Total Local Assistance Grants	4,380.4	6,395.3	5,453.1	5,073.9	5,980.6	8,093.1	6,415.1	6,072.8	5,931.8	8,381.1			-	62,262.2	60,025.6	2,236.6	3.7%
Departmental Operations:																	
Personal Service	451.0	645.8	448.7	493.7	400.1	439.1	635.0	445.2	460.9	447.7			-	4,867.2	4,729.1	138.1	2.9%
Non-Personal Service	314.4	324.8	294.4	310.0	360.1	402.6	390.3	364.6	344.4	449.5			-	3,306.3	3,306.3	0.0	0.0%
General State Charges	85.4	111.3	88.7	114.2	120.4	95.7	92.5	155.6	130.6	119.1			-	1,114.8	1,256.3	(141.5)	-11.3%
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-	-			-	-	-	-	0.0%
Total Disbursements	5,237.2	7,480.2	6,326.0	5,993.8	6,871.1	9,000.5	7,532.9	7,038.5	6,867.7	9,365.4			-	71,743.3	69,917.3	1,826.0	2.6%
Excess (Deficiency) of Receipts over Disbursements	2,940.2	(1,014.0)	1,330.3	(1,081.7)	664.7	(1,204.7)	(319.7)	(348.0)	1,573.9	564.6			-	3,105.6	1,435.0	1,670.6	116.4%
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	308.3	585.3	566.5	215.4	160.2	168.6	119.5	185.7	111.9	84.1			(440.8)	2,064.7	1,791.0	283.7	15.9%
Transfers to Other Funds	(88.5)	(304.8)	(179.1)	(239.7)	(344.2)	(183.7)	(174.7)	(104.8)	(422.5)	(336.1)			-	(1,837.3)	(1,343.3)	494.0	36.8%
Total Other Financing Sources (Uses)	219.8	280.5	387.4	(24.3)	(84.0)	(15.1)	(55.2)	80.9	(310.6)	(252.0)			-	227.4	437.7	(210.3)	-48.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	3,160.0	(733.5)	1,717.7	(1,106.0)	580.7	(1,219.8)	(374.9)	(267.1)	1,263.3	312.6			-	3,333.0	1,872.7	1,460.3	78.0%
Ending Fund Balance	\$ 7,002.4	\$ 6,268.9	\$ 7,986.6	\$ 6,880.6	\$ 7,461.3	\$ 6,241.5	\$ 5,866.6	\$ 5,599.5	\$ 6,862.8	\$ 7,175.4	\$ -	\$ -	\$ -	\$ 7,175.4	\$ 6,174.8	\$ 1,000.6	16.2%

(1) Intra-Fund transfer eliminations represent transfers between Special Revenue-State and Federal Funds.

EXHIBIT G

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STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	2020	2019	% Increase/ (Decrease)	% Increase/ (Decrease)
DISBURSEMENTS:																
Local Assistance Grants:																
Education	0.2	0.5	349.3	0.2	1.5	2,511.4	147.9	149.4	183.8	2,254.8	0.5	147.9	5,599.0	5,370.7	228.3	4.3%
Environment and Recreation	0.1	-	0.5	(0.1)	0.1	0.2	-	0.2	0.5	0.5	0.5	0.2	2.0	3.9	(1.9)	-48.7%
General Government	25.4	18.7	1.8	20.2	12.5	22.9	14.1	20.2	27.1	20.4	20.4	20.2	183.3	125.3	58.0	46.3%
Public Health:																
Medicaid	(1.1)	881.9	385.3	582.8	688.2	607.5	468.7	408.1	434.3	583.7	583.7	408.1	5,018.4	4,724.4	294.0	6.2%
Other Public Health	60.1	32.7	104.7	43.5	165.1	54.2	56.3	41.6	100.3	103.8	103.8	41.6	762.3	725.8	36.5	5.0%
Public Safety	20.1	14.4	16.1	20.1	20.1	17.0	16.3	12.3	12.4	(26.0)	12.4	12.3	112.2	136.5	(24.3)	-14.0%
Police	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.0	0.0%
Fire	1.1	6.7	1.3	5.8	3.4	4.4	1.5	13.9	6.0	1.2	1.2	13.9	45.3	58.8	(13.5)	-24.6%
Support and Regulate Business	1.1	6.7	1.3	5.8	3.4	4.4	1.5	13.9	6.0	1.2	1.2	13.9	45.3	58.8	(13.5)	-24.6%
Transportation	68.3	402.7	295.3	274.1	364.5	327.2	278.8	474.8	728.1	62.5	62.5	474.8	3,247.3	3,352.1	(104.8)	-3.1%
Total Local Assistance Grants	175.1	1,338.1	1,104.8	938.5	1,254.3	3,544.1	888.0	1,121.7	1,492.1	3,000.5	3,000.5	1,121.7	14,892.5	14,492.4	400.1	3.3%
Departmental Operations:																
Personal Service	401.7	580.0	393.6	448.4	352.4	388.2	559.2	398.5	408.0	399.1	399.1	408.0	4,330.1	4,188.9	141.2	3.4%
Non-Personal Service	244.3	248.5	198.0	228.4	254.8	216.2	257.2	281.8	218.9	306.6	306.6	218.9	2,454.5	2,273.4	181.1	8.0%
General State Charges	64.0	87.2	55.7	78.6	95.9	71.2	66.5	129.7	105.1	82.4	82.4	105.1	595.3	889.9	(294.6)	-32.0%
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	885.1	2,274.1	1,752.2	1,692.9	1,957.1	4,219.7	1,883.9	1,931.7	2,224.1	3,788.6	3,788.6	2,224.1	22,594.4	21,843.6	750.8	3.4%
Excess (Deficiency) of Receipts over Disbursements	1,073.9	(675.6)	219.9	87.3	(298.1)	(1,889.3)	(96.6)	(470.1)	(243.3)	718.1	718.1	(243.3)	(1,513.8)	(45.5)	(1,468.3)	-3,227.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	309.3	585.3	568.5	215.4	180.2	188.6	119.5	185.7	111.9	84.1	84.1	111.9	2,595.5	2,259.3	336.2	11.3%
Transfers to Other Funds	(38.3)	(6.3)	(29.5)	(129.8)	(32.5)	(107.2)	(8.2)	(4.8)	(71.5)	(52.0)	(52.0)	(71.5)	(272.9)	(287.7)	14.8	5.1%
Total Other Financing Sources (Uses)	270.0	579.0	537.2	94.6	126.7	61.4	110.3	180.9	40.4	32.1	32.1	40.4	2,032.6	1,988.6	43.0	2.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,343.9	(96.6)	757.1	181.9	(172.4)	(1,827.9)	73.7	(289.2)	(202.9)	751.2	751.2	(202.9)	516.8	1,944.1	(1,425.3)	-73.3%
Ending Fund Balance	\$ 6,434.7	\$ 6,338.1	\$ 7,095.2	\$ 7,277.1	\$ 7,104.7	\$ 5,276.8	\$ 5,360.5	\$ 5,061.3	\$ 4,888.4	\$ 5,899.6	\$ 5,899.6	\$ -	\$ 5,809.6	\$ 5,952.6	\$ (143.0)	-5.8%

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	10 Months Ended January 31												% Increase/ Decrease			
	2019						2020									
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH				
Beginning Fund Balance	\$ (1,248.4)	\$ 567.7	\$ (69.2)	\$ 881.4	\$ (396.5)	\$ 356.6	\$ 964.7	\$ 516.1	\$ 538.2	\$ 2,004.4			\$ (1,248.4)	\$ 283.6	\$ (1,542.0)	-525.2%
RECEIPTS:																
Miscellaneous Receipts:																
Abandoned Property	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Assessments:																
Business	4.5	39.1	0.2	2.8	10.7	0.2	2.3	6.5	0.1	1.6			68.0	65.0	3.0	4.6%
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	0.7	0.8	0.5	0.4	0.7	0.4	0.4	0.4	0.4	0.4			5.1	6.5	(1.4)	-21.5%
Interest Earnings	1.5	2.8	2.3	2.0	3.1	2.6	2.1	2.9	2.1	2.3			23.7	13.9	9.8	70.5%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Insurance Fees	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Non Bond Related	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Receipts from Municipalities	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Rentals	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Revenues of State Departments:																
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Commissions	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Grants and Donations	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Infract Cost Recoveries	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Patient/Client Care Reimbursement	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Rebates	7.7	8.7	8.5	8.7	8.1	8.3	8.1	8.1	8.3	8.0			82.5	86.4	(3.9)	-4.5%
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Student Loans	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
All Other	0.3	-	0.2	-	0.1	-	0.1	1.2	2.8	0.2			4.9	3.2	1.7	53.1%
Sales	-	-	-	-	-	-	-	-	-	-			0.1	0.1	-	0.0%
Tuition	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Total Miscellaneous Receipts	14.7	51.4	11.7	13.9	22.7	11.5	13.0	18.1	13.7	12.6			184.3	175.1	9.2	5.3%
Federal Receipts	6,203.7	4,816.3	5,672.5	3,118.0	5,855.1	5,483.9	5,387.9	5,209.8	6,447.1	5,409.7			53,584.0	49,379.1	4,204.9	8.5%
Total Receipts	6,218.4	4,867.7	5,684.2	3,131.9	5,877.8	5,495.4	5,380.9	5,228.9	6,460.8	5,422.3			53,768.3	49,554.2	4,214.1	8.5%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	10 Months Ended January 31			EXHIBIT G
													2020	2019	\$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	337.5	590.6	262.1	287.9	232.3	187.4	206.7	229.2	326.0	300.1			2,959.8	3,141.2	(181.4)	-5.8%
Environment and Recreation	0.1	0.1	-	-	0.1	0.3	0.1	-	0.2	-			0.9	2.1	(1.2)	-57.1%
General Government	2.0	3.5	8.7	1.2	11.7	2.1	2.1	2.4	11.8	1.8			47.3	56.4	(9.1)	-16.1%
Public Health:																
Medicaid	3,116.5	3,681.2	3,068.7	3,002.7	3,747.0	3,144.7	3,559.6	3,605.6	3,281.9	3,907.7			34,125.6	32,050.0	1,720.6	5.3%
Other Public Health	483.3	487.8	700.8	485.1	487.8	666.8	453.3	413.8	621.5	513.6			5,293.8	5,414.7	(120.9)	-2.2%
Public Safety	116.2	150.5	42.7	59.8	66.3	49.9	136.7	173.9	97.1	214.3			1,119.4	1,010.5	108.9	10.5%
Statewide Initiatives	150.4	119.2	270.7	31.9	16.3	48.9	1,063.0	513.0	114.7	40.1			3,051.3	4,052.7	(416.7)	-10.2%
Transportation	4.0	5.8	4.4	4.0	2.3	0.8	4.2	4.7	6.5	8.4			49.8	47.6	2.2	4.6%
Total Local Assistance Grants	4,211.3	5,039.9	4,388.3	4,139.4	4,736.3	4,519.0	5,429.1	4,951.1	4,439.7	5,348.6			47,232.7	46,533.2	1,095.5	2.4%
Departmental Operations:																
Personal Service	49.3	65.8	55.1	44.3	47.7	50.9	75.8	46.7	52.9	48.6			537.1	540.2	(3.1)	-0.6%
Non-Personal Service	70.1	76.3	96.4	81.6	105.5	186.4	133.1	82.8	125.5	142.9			1,100.6	1,032.9	67.7	6.6%
General State Charges	21.4	24.1	34.0	35.6	24.5	24.5	26.0	26.2	25.5	36.7			278.5	387.4	(88.9)	-24.2%
Capital Projects	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Total Disbursements	4,352.1	5,205.1	4,573.8	4,300.9	4,914.0	4,810.8	5,684.0	5,106.8	4,643.6	5,576.8			49,148.9	48,073.7	1,075.2	2.2%
Excess (Deficiency) of Receipts over Disbursements	1,866.3	(338.4)	1,110.4	(1,169.0)	963.8	684.6	(283.1)	122.1	1,817.2	(154.5)			4,619.4	1,480.5	3,138.9	212.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Transfers to Other Funds	(50.2)	(298.5)	(148.9)	(118.9)	(210.7)	(76.5)	(165.5)	(100.0)	(351.0)	(284.1)			(1,805.2)	(1,551.9)	253.3	16.3%
Total Other Financing Sources (Uses)	(50.2)	(298.5)	(148.9)	(118.9)	(210.7)	(76.5)	(165.5)	(100.0)	(351.0)	(284.1)			(1,805.2)	(1,551.9)	253.3	16.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,816.1	(636.9)	960.6	(1,287.9)	753.1	608.1	(448.6)	22.1	1,466.2	(438.6)			2,814.2	(71.4)	2,885.6	4,041.5%
Ending Fund Balance	\$ 567.7	\$ (69.2)	\$ 891.4	\$ (386.5)	\$ 356.6	\$ 964.7	\$ 516.1	\$ 538.2	\$ 2,004.4	\$ 1,565.8	\$ -	\$ -	\$ 1,565.8	\$ 222.2	\$ 1,343.6	604.7%

**STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)**

EXHIBIT H

	10 Months Ended January 31												\$ Increase/ (Decrease)	% Increase/ Decrease				
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH						
Beginning Fund Balance	\$ 64.8	\$ 314.8	\$ 683.8	\$ 361.5	\$ 614.7	\$ 744.3	\$ 307.0	\$ 604.4	\$ 962.3	\$ 985.1			2020 JANUARY	\$ 64.8	2019 \$ 153.1	\$ (88.3)	-57.7%	
RECEIPTS:																		
Taxes:																		
Personal Income Tax	4,607.7	1,242.3	2,604.9	1,665.8	1,454.3	2,415.7	1,289.2	1,234.7	2,144.0	4,449.6			23,108.2	20,571.3	2,536.9	12.3%		
Consumption/Use Taxes:																		
Sales and Use	538.2	551.0	743.2	579.3	581.5	761.5	578.3	584.0	741.8	635.0			6,293.8	5,943.6	350.2	5.9%		
Total Consumption/Use Taxes													6,293.8	5,943.6	350.2	5.9%		
Other Taxes:																		
Real Estate Transfer	82.9	86.0	86.7	118.9	78.8	85.3	73.2	87.8	74.2	82.9			856.7	881.9	(25.2)	-2.9%		
Employer Compensation Expense Tax	-	0.1	-	0.1	0.1	0.1	0.1	-	0.2	0.3			1.0	-	1.0	100.0%		
Total Other Taxes	82.9	86.1	86.7	119.0	78.9	85.4	73.3	87.8	74.4	83.2			857.7	881.9	(24.2)	-2.7%		
Total Taxes	5,228.8	1,879.4	3,434.8	2,364.1	2,114.7	3,262.6	1,940.8	1,906.5	2,960.2	5,187.8			30,259.7	27,396.8	2,862.9	10.4%		
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	0.2	-	0.3	0.1	0.5	0.2	0.2	0.2	0.2	-			1.5	2.4	(0.9)	-37.5%		
Receipts from Municipalities	-	0.5	-	0.8	-	-	0.4	0.1	-	-			1.8	2.9	(1.1)	-37.9%		
Rentals	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%		
Revenues of State Departments:																		
Patent/Client Care Reimbursement	42.4	36.0	37.5	89.2	42.2	15.7	31.1	24.9	51.5	37.8			408.3	339.0	69.3	20.4%		
All Other	-	-	-	-	-	-	0.1	-	-	-			0.1	0.1	(0.1)	-100.0%		
Sales	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%		
Total Miscellaneous Receipts	42.6	36.5	37.8	90.1	42.7	15.9	31.6	25.2	51.5	37.8			411.7	344.5	67.2	19.5%		
Federal Receipts	-	-	-	1.6	35.2	-	-	-	-	1.6			38.4	38.3	0.1	0.3%		
Total Receipts	5,271.4	1,915.9	3,472.6	2,455.8	2,192.6	3,278.5	1,972.4	1,931.7	3,011.7	5,207.2			30,709.8	27,779.6	2,930.2	10.5%		
DISBURSEMENTS:																		
Departmental Operations:																		
Non-Personal Service	0.7	2.3	2.6	8.6	6.8	1.5	0.6	2.2	1.5	0.2			27.0	27.9	(0.9)	-3.2%		
Debt Service, Including Payments on																		
Financing Agreements	72.4	121.1	230.3	45.1	74.5	433.2	48.5	74.9	412.2	44.6			1,556.8	1,768.9	(212.1)	-12.0%		
Total Disbursements	73.1	123.4	232.9	53.7	81.3	434.7	49.1	77.1	413.7	44.8			1,583.8	1,796.8	(213.0)	-11.9%		
Excess (Deficiency) of Receipts over Disbursements	5,198.3	1,792.5	3,239.7	2,402.1	2,111.3	2,843.8	1,923.3	1,854.6	2,598.0	5,162.4			29,126.0	25,982.8	3,143.2	12.1%		
OTHER FINANCING SOURCES (USES):																		
Transfers from Other Funds	219.3	206.6	86.5	281.9	186.1	270.9	318.2	93.5	376.8	453.5			2,493.3	2,263.9	229.4	10.1%		
Transfers to Other Funds	(5,167.6)	(1,630.1)	(3,648.5)	(2,430.6)	(2,167.6)	(3,552.0)	(1,944.1)	(1,590.2)	(2,962.0)	(4,019.5)			(29,102.6)	(25,566.9)	3,535.7	13.8%		
Total Other Financing Sources (Uses)	(4,948.3)	(1,423.5)	(3,562.0)	(2,148.9)	(1,981.7)	(3,281.1)	(1,625.9)	(1,496.7)	(2,575.2)	(3,566.0)			(26,609.3)	(23,303.0)	(3,306.3)	-14.2%		
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	250.0	369.0	(322.3)	253.2	129.6	(437.3)	297.4	357.9	22.8	1,596.4			2,516.7	2,679.8	(163.1)	-6.1%		
Ending Fund Balance	\$ 314.8	\$ 683.8	\$ 361.5	\$ 614.7	\$ 744.3	\$ 307.0	\$ 604.4	\$ 962.3	\$ 985.1	\$ 2,581.5	\$ -	\$ -	\$ 2,581.5	\$ 2,832.9	\$ (251.4)	\$ -	-8.9%	

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

Beginning Fund Balance	10 Months Ended January 31												% Increase/ Decrease			
	2019															
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH		Intra-Fund Transfer Eliminations (*)		
\$	(1,137.9)	(1,018.2)	(1,249.2)	(1,212.5)	(1,334.5)	(1,351.4)	(1,288.1)	(946.2)	(1,042.3)	(1,127.3)				2020	2019	\$ Increase/ (Decrease)
RECEIPTS:																
Taxes:																
Consumption/Use Taxes:																
Auto Rental	3.5	0.3	19.5	0.1	0.1	33.7	(7.3)	0.1	20.6	-	-	-	-	70.6	68.0	2.6
Motor Fuel	36.4	34.8	36.6	30.4	37.8	34.1	37.3	32.9	31.4	33.5	-	-	-	345.2	352.1	(6.9)
Hip-Hop Use	14.2	10.6	9.8	14.5	10.7	11.0	14.3	10.9	13.8	12.2	-	-	-	122.0	126.3	(4.3)
Total Consumption/Use Taxes	54.1	45.7	65.9	45.0	48.6	78.8	44.3	43.9	65.8	45.7	-	-	-	537.8	548.6	(11.1)
Business Taxes:																
Corporation Franchise	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Corporation and Utilities	3.3	(0.1)	1.9	-	-	3.1	0.1	0.1	2.7	-	-	-	-	11.1	10.8	0.3
Petroleum Business	56.3	55.8	58.4	52.5	60.0	56.8	60.2	52.2	51.5	54.9	-	-	-	559.6	545.5	14.1
Total Business Taxes	59.6	55.7	60.3	52.5	60.0	59.9	60.3	52.3	54.2	54.9	-	-	-	599.7	556.3	43.4
Other Taxes:																
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	12.0	11.9	11.9	11.9	-	-	-	95.3	95.3	-
Total Other Taxes	-	-	11.9	11.9	11.9	11.9	12.0	11.9	11.9	11.9	-	-	-	95.3	95.3	-
Total Taxes	113.7	101.4	138.1	109.4	120.5	150.6	116.6	108.1	131.9	112.5	-	-	-	1,202.8	1,201.2	1.6
Miscellaneous Receipts:																
Abandoned Property:																
Bottle Bill	-	-	23.0	-	-	-	-	-	-	-	-	-	-	23.0	23.0	-
Assessments:																
Business:	10.1	9.3	8.7	8.2	8.6	8.3	8.3	8.0	7.6	8.3	-	-	-	85.4	84.1	1.3
Fees, Licenses and Permits:																
Business/Professional	0.8	5.6	3.7	2.5	10.7	1.3	1.2	2.0	0.6	0.6	-	-	-	29.0	29.8	(0.8)
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Motor Vehicle	67.0	69.3	65.4	60.8	63.6	60.4	57.4	59.5	52.3	59.9	-	-	-	614.6	607.4	7.2
Recreational/Consumer	0.2	0.1	-	-	-	3.0	12.8	(1.2)	-	15.9	-	-	-	30.8	33.4	(2.6)
Fines, Penalties and Forfeitures	2.3	2.0	2.3	1.7	1.7	2.3	1.9	5.1	1.3	1.6	-	-	-	22.2	20.1	2.1
Interest Earnings	1.1	1.0	1.0	1.1	1.0	1.0	1.0	0.9	0.8	0.8	-	-	-	9.7	9.0	0.7
Receipts from Public Authorities:																
Bond Proceeds	200.8	2.8	146.4	155.3	79.2	498.1	1,588.2	23.6	328.3	519.4	-	-	-	3,543.1	3,878.1	(335.0)
Insurance Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Non Bond Related	3.5	0.1	0.4	(0.1)	-	-	20.4	25.3	0.4	2.3	-	-	-	52.3	5.1	47.2
Receipts from Municipalities	0.3	-	0.3	-	0.3	0.2	0.2	0.4	0.1	1.3	-	-	-	3.1	0.9	2.2
Rentals	0.9	0.8	0.5	0.6	1.6	0.7	0.7	0.8	0.4	1.1	-	-	-	8.1	9.6	(1.5)
Revenues of State Departments:																
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Indirect Cost Recoveries	(0.9)	-	-	-	-	0.3	3.4	1.7	2.8	0.4	-	-	-	20.4	1.8	18.6
Rebates	-	0.1	0.1	-	-	-	-	-	-	-	-	-	-	(0.9)	-	0.9
Restitution and Settlements	0.2	0.5	0.4	0.1	0.2	0.1	2.5	0.3	6.5	1.2	-	-	-	0.2	0.3	(0.1)
All Other	3.6	0.8	1.1	14.5	12.3	4.9	4.4	3.2	2.9	6.7	-	-	-	12.0	8.1	3.9
Sales	4.2	-	-	-	-	-	0.1	0.2	0.1	-	-	-	-	4.6	2.5	2.1
Total Miscellaneous Receipts	304.2	92.9	253.6	245.3	178.5	531.6	1,702.5	123.8	404.1	619.5	-	-	-	4,512.0	4,727.8	(215.8)
Federal Receipts	38.3	142.9	132.2	155.7	173.6	179.6	340.8	184.3	158.7	344.4	-	-	-	1,850.5	2,018.6	(168.1)
Total Receipts	456.2	337.2	523.9	510.4	473.6	911.8	2,159.9	421.2	694.7	1,078.4	-	-	-	7,965.3	7,947.6	17.7

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	10 Months Ended January 31		% Increase/ Decrease
														2020	2019	
DISBURSEMENTS:																
Local Assistance Grants:																
Education	9.2	3.2	10.3	10.7	12.0	42.4	14.4	18.2	24.8	18.9	185.2	128.9	-	165.2	128.9	28.2%
Health and Recreation	25.1	33.5	2.1	15.0	11.0	17.6	14.8	11.5	13.3	23.6	379.6	370.1	-	379.6	370.1	2.6%
General Government	31.2	121.8	145.0	39.4	17.8	59.1	128.4	18.6	140.6	55.3	761.2	807.9	-	761.2	807.9	-5.8%
Public Health:																
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	30.8	41.6	20.6	76.0	17.7	20.2	72.5	34.3	44.6	88.4	446.7	291.1	-	446.7	291.1	53.5%
Public Safety	10.0	(0.1)	(0.7)	0.1	0.3	12.0	1.2	14.8	1.8	44.7	84.1	52.1	-	84.1	52.1	61.4%
Public Welfare	-	10.9	86.1	6.0	9.1	42.8	3.2	83.1	13.3	98.9	353.4	280.5	-	353.4	280.5	35.7%
Support and Regulate Business	26.7	149.2	197.4	39.2	40.9	61.9	38.0	43.8	102.6	31.8	731.5	848.0	-	731.5	848.0	-13.7%
Transportation	232.7	44.7	70.8	57.1	45.1	508.7	80.1	36.8	281.2	49.8	1,407.0	1,328.0	-	1,407.0	1,328.0	5.9%
Total Local Assistance Grants	365.7	404.8	535.6	243.5	156.9	764.7	352.6	261.5	622.3	621.4	4,720.0	4,088.6	-	4,720.0	4,088.6	5.9%
Departmental Operations:																
Police	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fire	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Changes	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	434.1	528.1	536.4	600.7	750.4	592.6	710.7	705.0	577.0	551.8	5,976.8	5,989.3	-	5,976.8	5,989.3	0.1%
Total Disbursements	799.8	932.9	1,072.0	844.2	907.3	1,347.3	1,063.3	966.5	1,198.3	1,173.2	10,305.8	10,054.9	-	10,305.8	10,054.9	2.5%
Excess (Deficiency) of Receipts over Disbursements	(343.6)	(595.7)	(545.1)	(333.8)	(433.7)	(435.5)	1,096.6	(545.3)	(504.6)	(96.8)	(2,740.5)	(633.2)	-	(2,740.5)	(633.2)	-30.0%
OTHER FINANCING SOURCES (USES):																
Bond Proceeds	509.2	412.4	633.5	280.6	486.3	752.3	(532.5)	494.6	508.4	322.9	3,471.8	2,680.0	-	3,471.8	2,680.0	0.0%
Transfers from Other Funds	(45.9)	(47.7)	(48.7)	(48.8)	(69.5)	(253.5)	(222.2)	(45.4)	(88.8)	(45.7)	(740.3)	(509.5)	-	(740.3)	(509.5)	37.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	45.3%
Total Other Financing Sources (Uses)	463.3	364.7	584.8	231.8	416.8	498.8	(754.7)	449.2	419.6	277.2	2,931.5	761.0	-	2,931.5	761.0	35.1%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	119.7	(231.0)	36.7	(122.0)	(16.9)	63.3	341.9	(66.1)	(85.0)	180.4	191.0	127.8	-	191.0	63.2	202.2%
Ending Fund Balance	\$ (1,018.2)	\$ (1,248.2)	\$ (1,212.5)	\$ (1,334.5)	\$ (1,351.4)	\$ (1,288.1)	\$ (946.2)	\$ (1,042.3)	\$ (1,127.3)	\$ (946.9)	\$ (946.9)	\$ -	\$ -	\$ (946.9)	\$ (1,088.0)	13.0%

(*) 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 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	10 Months Ended January 31		
													2020 \$	2019 \$	% Increase/ Decrease
Beginning Fund Balance	\$ (633.2)	\$ (446.5)	\$ (699.4)	\$ (636.7)	\$ (771.8)	\$ (804.6)	\$ (758.6)	\$ (373.3)	\$ (491.0)	\$ (579.7)			\$ (633.2)	\$ (568.4)	-11.4%
RECEIPTS:															
Taxes:															
Consumption/Use Taxes															
Auto Rental	3.5	0.3	19.5	0.1	0.1	33.7	(7.3)	0.1	20.6	-			70.6	68.0	2.6
Motor Fuel	36.4	34.8	36.6	30.4	37.8	34.1	37.3	32.9	31.4	33.5			345.2	352.1	(6.9)
Highway Use	14.2	10.6	9.8	14.5	10.7	11.0	14.3	10.9	13.8	12.2			127.0	129.5	(7.5)
Total Consumption/Use Taxes	54.1	45.7	65.9	45.0	48.6	78.8	44.3	43.9	65.8	45.7			537.8	549.6	(11.8)
Business Taxes															
Corporation Franchise	-	-	-	-	-	-	-	-	-	-			-	-	0.0%
Corporation and Utilities	3.3	(0.1)	1.9	-	-	3.1	0.1	0.1	2.7	11.1			11.1	10.8	0.3
Petroleum Business	56.3	55.8	58.4	52.5	60.0	56.8	60.2	52.2	51.5	54.9			556.6	545.5	13.1
Total Business Taxes	59.6	55.7	60.3	52.5	60.0	59.9	60.3	52.3	54.2	54.9			560.7	556.3	2.4%
Other Taxes															
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	12.0	11.9	11.9	11.9			95.3	95.3	0.0%
Total Other Taxes	-	-	11.9	11.9	11.9	11.9	12.0	11.9	11.9	11.9			95.3	95.3	0.0%
Total Taxes	113.7	101.4	138.1	109.4	120.5	150.6	116.6	108.1	131.9	112.5			1,202.8	1,201.2	0.1%
Miscellaneous Receipts:															
Abandoned Property	-	-	-	-	-	-	-	-	-	-			23.0	23.0	0.0%
Bottle Bill	-	-	23.0	-	-	-	-	-	-	-			-	-	0.0%
Assessments:															
Business	10.1	9.3	8.7	8.2	8.6	8.3	8.3	8.0	7.6	8.3			85.4	84.1	1.3
Fees, Licenses and Permits:															
Business/Professional	0.8	5.6	3.7	2.5	10.7	1.3	1.2	2.0	0.6	0.6			29.0	29.8	(0.8)
Civil	-	-	-	-	-	-	-	-	-	-			-	-	0.0%
Motor Vehicle	67.0	69.3	65.4	60.8	63.6	60.4	57.4	58.5	52.3	59.9			614.6	607.4	7.2
Recreational/Consumer	0.2	0.1	-	-	-	3.0	12.8	(1.2)	-	15.9			30.8	33.4	(2.6)
Fines, Penalties and Forfeitures	2.3	2.0	2.3	1.7	1.7	2.3	1.9	5.1	1.3	1.6			22.2	20.1	2.1
Interest Earnings	1.1	1.0	1.0	1.1	1.0	1.0	1.0	0.9	0.8	0.8			9.7	9.0	0.7
Receipts from Public Authorities:															
Bond Proceeds	200.8	2.8	146.4	155.3	79.2	499.1	1,598.2	23.6	328.3	519.4			3,543.1	3,878.1	(335.0)
Issuance Fees	-	-	-	-	-	-	-	-	-	-			-	-	0.0%
Non Bond Related	3.5	0.1	0.4	(0.1)	-	-	20.4	25.3	0.4	2.3			52.3	5.1	47.2
Receipts from Municipalities	0.3	0.2	0.3	0.3	0.3	0.2	0.2	0.4	0.1	1.3			3.1	0.9	2.2
Rentals	0.8	0.8	0.4	0.5	1.6	0.6	0.6	0.7	0.4	1.0			7.4	9.0	(1.6)
Revenues of State Departments:															
Administrative Recoveries:	-	-	-	-	-	-	-	-	-	-			-	-	0.0%
Gifts, Grants and Donations	10.1	0.5	0.3	0.6	0.3	0.3	3.4	1.7	2.8	0.4			20.4	1.8	18.6
Indirect Cost Recoveries	(0.9)	-	-	-	-	-	-	-	-	-			(0.9)	-	1,033.3%
Rebates	-	0.1	0.1	-	-	-	-	-	-	-			0.2	0.3	(0.1)
Restitution and Settlements	0.2	0.5	0.4	0.1	0.2	0.1	2.5	0.3	6.5	1.2			12.0	8.1	3.9
All Other	3.6	0.8	1.1	14.5	12.3	4.9	4.4	3.2	2.9	6.7			54.4	14.6	39.8
Sales	4.2	-	-	-	-	-	0.1	0.2	0.1	-			4.6	2.2	2.4
Total Miscellaneous Receipts	304.1	92.9	253.5	245.2	179.5	581.5	1,702.4	128.7	404.1	619.4			4,511.3	4,726.9	(215.6)
Federal Receipts	-	-	-	-	-	2.3	-	-	-	-			2.3	2.5	(0.2)
Total Receipts	417.8	194.3	391.6	354.6	300.0	734.4	1,819.0	236.8	536.0	731.9			5,716.4	5,930.6	(214.2)

EXHIBIT I

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EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	10 Months Ended January 31												% Increase/ Decrease
	2019	2019	2020	2019	2020	2019	2020	2019	2020	2019	2020	2019	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
	\$ (504.7)	\$ (571.7)	\$ (549.8)	\$ (573.8)	\$ (562.7)	\$ (546.8)	\$ (626.5)	\$ (572.9)	\$ (551.3)	\$ (547.6)	\$ (547.6)	\$ (547.6)	\$ (547.6)
Beginning Fund Balance													
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%
Insurance Fees	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Receipts from Municipalities	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rentals	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Revenues of State Departments:	0.1	-	0.1	0.1	-	0.1	0.1	0.1	-	0.1	-	-	16.7%
Administrative Recoveries:													
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Sales	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Miscellaneous Receipts	0.1	-	0.1	0.1	-	0.1	0.1	0.1	-	0.1	-	-	-22.2%
Federal Receipts	38.3	142.9	132.2	155.7	173.6	177.3	340.8	184.3	158.7	344.4	-	-	-8.3%
Total Receipts	38.4	142.9	132.3	155.8	173.6	177.4	340.9	184.4	158.7	344.5	-	-	-8.3%
DISBURSEMENTS:													
Local Assistance Grants:													
Education	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Environment and Recreation	-	-	-	-	-	-	-	-	-	-	-	-	-2.3%
General Government	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Health:													
Medical	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	-	-	-	0.4	-	0.6	37.7	0.2	-	-	-	-	-12.9%
Public Safety	-	-	10.1	0.1	-	10.0	-	8.4	-	-	-	-	10.4%
Public Welfare	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Subordinate	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Unemployment Compensation	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Local Assistance Grants	40.0	37.6	47.6	37.8	39.3	32.4	50.5	32.0	58.7	39.9	-	-	12.7%
Departmental Operations:													
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	65.4	83.4	100.6	104.4	118.4	116.9	120.2	122.2	96.2	51.1	-	-	-10.3%
Total Disbursements	105.4	121.0	158.3	142.7	157.7	160.1	208.4	162.8	154.9	262.0	-	-	-4.2%
Excess (Deficiency) of Receipts over Disbursements	(67.0)	21.9	(26.0)	13.1	15.9	17.3	132.5	21.6	3.8	82.5	-	-	-30.8%
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	(175.9)	-	(0.1)	(0.1)	-	-	-4.5%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	(175.9)	-	(0.1)	(0.1)	-	-	-4.5%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(67.0)	21.9	(26.0)	13.1	15.9	17.3	(43.4)	21.6	3.7	82.4	-	-	-69.0%
Ending Fund Balance	\$ (571.7)	\$ (549.8)	\$ (575.8)	\$ (562.7)	\$ (546.8)	\$ (529.5)	\$ (672.9)	\$ (551.3)	\$ (547.6)	\$ (465.2)	\$ -	\$ -	-2.1%

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT J

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020		FEBRUARY	MARCH	10 Months Ended January 31				% Increase/ Decrease										
										JANUARY	2019			\$	2020	\$	2019		\$	2020	\$	2019	\$	2020	\$	2019	\$	2020
Beginning Fund Balance	\$ 26.6	\$ 26.6	\$ 26.9	\$ 27.3	\$ 27.8	\$ 27.1	\$ 39.3	\$ 33.4	\$ 31.1	\$ 28.9				\$ 26.6	\$ 24.6	\$ 2.0	8.1%											
RECEIPTS:																												
Miscellaneous Receipts	4.8	6.1	5.1	5.5	6.7	17.2	9.9	5.7	4.6	6.0				71.6	52.1	19.5	37.4%											
Federal Receipts	1.1	1.0	0.9	1.0	0.9	0.9	1.0	1.0	5.9	1.0				14.7	13.0	1.7	13.1%											
Unemployment Taxes	187.5	139.2	134.9	186.0	160.6	150.3	147.0	151.2	220.3	227.7				1,704.7	1,638.5	66.2	4.0%											
Total Receipts	193.4	146.3	140.9	192.5	168.2	168.4	157.9	157.9	230.8	234.7		-	-	1,791.0	1,703.6	87.4	5.1%											
DISBURSEMENTS:																												
Departmental Operations:																												
Personal Service	0.3	0.6	0.3	0.3	0.4	0.4	8.2	2.5	1.3	1.0				15.3	5.4	9.9	183.3%											
Non-Personal Service	3.6	5.1	4.5	4.4	7.2	4.3	7.8	4.8	4.6	3.7				50.0	45.7	4.3	9.4%											
General State Charges	0.1	-	0.1	0.1	-	0.1	-	0.7	0.2	0.1				1.4	0.8	0.6	75.0%											
Unemployment Benefits	189.4	140.3	135.6	187.2	161.3	151.4	147.8	152.2	226.9	228.4				1,720.5	1,651.7	68.8	4.2%											
Total Disbursements	193.4	146.0	140.5	192.0	168.9	156.2	163.8	160.2	233.0	233.2		-	-	1,787.2	1,703.6	83.6	4.9%											
Excess (Deficiency) of Receipts over Disbursements	-	0.3	0.4	0.5	(0.7)	12.2	(5.9)	(2.3)	(2.2)	1.5		-	-	3.8	-	3.8	100.0%											
OTHER FINANCING SOURCES (USES):																												
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-				-	-	-	0.0%											
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-				-	-	-	0.0%											
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-		-	-	-	-	-	0.0%											
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	-	0.3	0.4	0.5	(0.7)	12.2	(5.9)	(2.3)	(2.2)	1.5		-	-	3.8	-	3.8	100.0%											
Ending Fund Balance	\$ 26.6	\$ 26.9	\$ 27.3	\$ 27.8	\$ 27.1	\$ 39.3	\$ 33.4	\$ 31.1	\$ 28.9	\$ 30.4	\$ -	\$ -	\$ -	\$ 30.4	\$ 24.6	\$ 5.8	23.6%											

STATE OF NEW YORK
INTERNAL SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT K

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	10 Months Ended January 31	\$ Increase/ (Decrease)	% Increase/ (Decrease)
	\$ (302.7)	\$ (293.4)	\$ (318.6)	\$ (293.7)	\$ (284.4)	\$ (296.5)	\$ (278.3)	\$ (288.7)	\$ (290.7)	\$ (291.3)			2020 \$ (302.7)	2019 \$ (269.2)	\$ (33.5) -12.4%
Beginning Fund Balance															
RECEIPTS:															
Miscellaneous Receipts	33.2	32.5	42.3	56.6	37.9	61.7	43.4	57.0	41.9	62.3			468.8	401.0	67.8 16.9%
Total Receipts	33.2	32.5	42.3	56.6	37.9	61.7	43.4	57.0	41.9	62.3	-	-	468.8	401.0	67.8 16.9%
DISBURSEMENTS:															
Departmental Operations:															
Personal Service	9.7	14.0	9.6	9.7	9.9	9.6	14.0	9.6	9.5	10.7			106.3	87.3	19.0 21.8%
Non-Personal Service	24.4	56.3	5.9	34.7	36.4	34.1	41.8	48.1	29.7	28.1			339.5	364.9	(25.4) -7.0%
General State Charges	4.1	4.9	6.6	5.2	4.6	4.6	1.6	4.7	4.5	7.3			48.1	67.5	(19.4) -28.7%
Total Disbursements	38.2	75.2	22.1	49.6	50.9	48.3	57.4	62.4	43.7	46.1	-	-	493.9	519.7	(25.8) -5.0%
Excess (Deficiency) of Receipts over Disbursements	(5.0)	(42.7)	20.2	7.0	(13.0)	13.4	(14.0)	(5.4)	(1.8)	16.2	-	-	(25.1)	(118.7)	93.6 78.9%
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	14.3	17.5	4.7	2.3	1.3	5.3	3.6	3.6	4.4	10.7			67.7	52.9	14.8 28.0%
Transfers to Other Funds	-	-	-	-	(0.4)	(0.5)	-	(0.2)	(3.2)	-			(4.3)	(11.1)	(6.8) -61.3%
Total Other Financing Sources (Uses)	14.3	17.5	4.7	2.3	0.9	4.8	3.6	3.4	1.2	10.7	-	-	63.4	41.8	21.6 51.7%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	9.3	(25.2)	24.9	9.3	(12.1)	18.2	(10.4)	(2.0)	(0.6)	26.9	-	-	38.3	(76.9)	115.2 149.8%
Ending Fund Balance	\$ (293.4)	\$ (318.6)	\$ (293.7)	\$ (284.4)	\$ (296.5)	\$ (278.3)	\$ (288.7)	\$ (290.7)	\$ (291.3)	\$ (284.4)	\$ -	\$ -	\$ (264.4)	\$ (346.1)	\$ 81.7 23.6%

STATE OF NEW YORK
PENSION TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT L

	2019		2020										10 Months Ended January 31			
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019	\$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	\$ (3.0)	\$ (7.4)	\$ (11.8)	\$ (16.5)	\$ (22.6)	\$ (2.0)	\$ (7.0)	\$ (3.2)	\$ (8.0)	\$ 0.1			\$ (3.0)	\$ (2.0)	\$ (1.0)	-50.0%
RECEIPTS:																
Miscellaneous Receipts	5.3	7.8	5.1	5.1	30.0	5.2	12.7	5.3	36.3	5.3			118.1	104.5	13.6	13.0%
Total Receipts	5.3	7.8	5.1	5.1	30.0	5.2	12.7	5.3	36.3	5.3	-	-	118.1	104.5	13.6	13.0%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	5.3	7.7	5.4	5.0	5.1	5.3	7.7	5.3	5.3	5.1			57.2	56.8	0.4	0.7%
Non-Personal Service	1.1	1.1	1.1	1.3	1.1	1.6	1.0	1.5	19.5	1.4			30.7	13.5	17.2	127.4%
General State Charges	3.3	3.4	3.3	4.9	3.2	3.3	0.2	3.3	3.4	5.0			33.3	40.8	(7.5)	-18.4%
Total Disbursements	9.7	12.2	9.8	11.2	9.4	10.2	8.9	10.1	28.2	11.5	-	-	121.2	111.1	10.1	9.1%
Excess (Deficiency) of Receipts over Disbursements	(4.4)	(4.4)	(4.7)	(6.1)	20.6	(5.0)	3.8	(4.8)	8.1	(6.2)	-	-	(3.1)	(6.6)	3.5	53.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-			-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(4.4)	(4.4)	(4.7)	(6.1)	20.6	(5.0)	3.8	(4.8)	8.1	(6.2)	-	-	(3.1)	(6.6)	3.5	53.0%
Ending Fund Balance	\$ (7.4)	\$ (11.8)	\$ (16.5)	\$ (22.6)	\$ (2.0)	\$ (7.0)	\$ (3.2)	\$ (8.0)	\$ 0.1	\$ (6.1)	\$ -	\$ -	\$ (6.1)	\$ (8.6)	\$ 2.5	29.1%

STATE OF NEW YORK
PRIVATE PURPOSE TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT M

	10 Months Ended January 31												\$ Increase/ (Decrease)	% Increase/ Decrease	
	2019						2020								
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019	
Beginning Fund Balance	\$ 13.2	\$ 13.4	\$ 13.5	\$ 13.6	\$ 13.7	\$ 13.8	\$ 13.8	\$ 13.9	\$ 14.0	\$ 14.1			\$ 13.2	\$ 11.9	\$ 1.3
RECEIPTS:															
Miscellaneous Receipts	0.2	0.1	0.1	0.2	0.1	0.1	0.1	0.1	0.2	-			1.2	1.2	-
Total Receipts	0.2	0.1	0.1	0.2	0.1	0.1	0.1	0.1	0.2	-	-	-	1.2	1.2	-
DISBURSEMENTS:															
Departmental Operations:															
Personal Service	-	-	-	0.1	-	-	-	-	0.1	-			0.2	0.1	0.1
Non-Personal Service	-	-	-	-	-	-	-	-	-	-			-	-	-
General State Charges	-	-	-	-	-	0.1	-	-	-	-			0.1	0.1	-
Total Disbursements	-	-	-	0.1	-	0.1	-	-	0.1	-	-	-	0.3	0.2	0.1
Excess (Deficiency) of Receipts over Disbursements	0.2	0.1	0.1	0.1	0.1	-	0.1	0.1	0.1	-	-	-	0.9	1.0	(0.1)
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-			-	-	-
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-			-	-	-
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-			-	-	-
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	0.2	0.1	0.1	0.1	0.1	-	0.1	0.1	0.1	-	-	-	0.9	1.0	(0.1)
Ending Fund Balance	\$ 13.4	\$ 13.5	\$ 13.6	\$ 13.7	\$ 13.8	\$ 13.8	\$ 13.9	\$ 14.0	\$ 14.1	\$ 14.1	\$ -	\$ -	\$ 14.1	\$ 12.9	\$ 1.2
															9.3%

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JANUARY 2020
(amounts in millions)

	BALANCE JANUARY 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JANUARY 31, 2020
GENERAL FUND					
10000-10049-Local Assistance Account	\$ -	\$ 0.389	\$ 2,763.920	\$ 2,763.531	\$ -
10050-10099-State Operations Account	8,147.798	3,347.414	1,475.018	766.536	10,766.730
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	31.913	-	0.655	-	31.258
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	-	-	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	8,179.711	3,347.803	4,239.593	3,530.067	10,817.988
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	0.833	0.001	0.005	-	0.829
20100-20299-Combined Expendable Trust	68.700	0.633	0.756	-	68.577
20300-20349-New York Interest on Lawyer Account	94.237	5.638	4.922	-	94.953
20350-20399-NYS Archives Partnership Trust	0.056	0.060	0.038	-	0.078
20400-20449-Child Performer's Protection	0.188	0.005	0.056	-	0.137
20450-20499-Tuition Reimbursement	7.934	0.157	0.384	-	7.707
20500-20549-New York State Local Government Records Management Improvement	3.828	0.698	0.556	-	3.970
20550-20599-School Tax Relief	0.235	2,107.400	2,107.417	-	0.218
20600-20649-Charter Schools Stimulus	1.245	0.002	-	-	1.247
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	213.101	544.681	526.897	(0.428)	230.457
20850-20899-Dedicated Mass Transportation Trust	80.956	51.159	61.700	-	70.415
20900-20949-State Lottery	(369.632)	321.114	149.938	-	(198.456)
20950-20999-Combined Student Loan	45.335	(24.220)	3.684	-	17.431
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.965)	-	0.090	-	(4.055)
21050-21149-Encon Special Revenue	3.064	7.681	6.711	-	4.034
21150-21199-Conservation	88.654	1.043	3.144	-	86.553
21200-21249-Environmental Protection and Oil Spill Compensation	28.378	3.513	2.557	(2.433)	26.901
21250-21299-Training and Education Program on OSHA	8.517	3.832	4.868	-	7.481
21300-21349-Lawyers' Fund for Client Protection	5.967	5.306	0.062	-	11.211
21350-21399-Equipment Loan for the Disabled	0.549	0.002	0.002	-	0.549
21400-21449-Mass Transportation Operating Assistance	(226.742)	131.766	1.311	0.058	(96.229)
21450-21499-Clean Air	(34.464)	6.048	3.220	-	(31.636)
21500-21549-New York State Infrastructure Trust	0.071	-	-	-	0.071
21550-21599-Legislative Computer Services	11.895	0.126	0.023	-	11.998
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.466	-	-	-	0.466
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	-	-	-	-	-
21850-21899-Arts Capital Grants	0.001	-	-	-	0.001
21900-22499-Miscellaneous State Special Revenue	0.976	0.002	-	-	0.978
22500-22549-Court Facilities Incentive Aid	1,517.017	284.895	313.162	16.996	1,505.746
	32.313	0.026	9.303	-	23.036

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JANUARY 2020
(amounts in millions)

	BALANCE JANUARY 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JANUARY 31, 2020
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22500-22599-Employment Training	0.052	-	-	-	0.052
22650-22699-State University Income	1,413.013	554.254	558.219	-	1,444.628
22700-22749-Chemical Dependence Service	14.667	0.718	0.133	35.580	15.252
22750-22799-Lake George Park Trust	0.258	-	0.069	-	0.189
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	107.801	17.190	0.742	(37.473)	86.776
22850-22899-New York Great Lakes Protection	0.416	0.001	0.014	-	0.403
22900-22949-Federal Revenue Maximization	0.024	-	-	-	0.024
22950-22999-Housing Development	9.283	0.013	(0.794)	-	10.090
23000-23049-NYS/DOT Highway Safety Program	(14.771)	0.177	0.258	-	(14.852)
23050-23099-Vocational Rehabilitation	0.052	0.002	-	-	0.054
23100-23149-Drinking Water Program Management and Administration	(5.351)	-	-	-	(5.351)
23150-23199-NYC County Clerks' Operations Offset	(53.520)	-	2.421	-	(55.941)
23200-23249-Judiciary Data Processing Offset	47.397	1.895	2.513	-	46.779
23250-23449-IFR/CUTRA	201.852	0.832	9.939	-	192.745
23500-23549-USOC Lake Placid Training	0.277	0.006	-	-	0.283
23550-23599-Indigent Legal Services	427.593	9.841	3.321	22.123	456.236
23600-23649-Unemployment Insurance Interest and Penalty	30.298	1.064	0.270	-	31.092
23650-23699-MTA Financial Assistance Fund	76.943	0.134	-	12.500	89.577
23700-23749-New York State Commercial Gaming Fund	94.379	18.680	9.674	-	103.385
23750-23799-Medical Marihuana Trust Fund	8.773	0.505	1.086	-	8.192
23800-23899-Dedicated Miscellaneous State Special Revenue	2.889	0.090	0.038	-	2.941
24850-24899-Health Care Transformation	615.835	400.799	-	-	1,016.634
24900-24949-Charitable Gifts Trust Fund	95.247	0.140	-	-	95.387
24950-24999-Interactive Fantasy Sports	17.873	0.808	-	-	18.681
40350-40399-State University Dormitory Income	187.429	48.991	-	(14.793)	221.627
TOTAL SPECIAL REVENUE FUNDS-STATE	4,888.426	4,507.708	3,788.709	32.130	5,609.551
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	(4.809)	254.095	216.740	(39.500)	(6.954)
25100-25199-Federal Health and Human Services	2,200.066	4,575.497	4,782.886	(244.582)	1,748.095
25200-25249-Federal Education	(37.282)	241.897	278.521	-	(73.906)
25300-25399-Federal Miscellaneous Operating Grants	(283.855)	299.447	247.061	(0.022)	(231.491)
25900-25949-Unemployment Insurance Administration	138.210	23.154	29.448	-	131.916
25950-25999-Unemployment Insurance Occupational Training	(0.509)	0.450	0.437	-	(0.496)
26000-26049-Federal Employment and Training Grants	(7.395)	27.649	21.623	-	(1.369)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	2,004.426	5,422.189	5,576.716	(284.104)	1,565.795
TOTAL SPECIAL REVENUE FUNDS	6,892.848	9,929.897	9,365.425	(251.974)	7,175.346
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	511.051	35.665	-	(211.772)	334.944
40150-40199-General Debt Service	424.595	4,768.972	44.752	(2,947.111)	2,201.704
40250-40299-State Housing Debt Service	-	0.050	-	(0.050)	-
40300-40349-Department of Health Income	29.971	2.128	-	(11.342)	20.757
40400-40449-Clean Water/Clean Air	19.476	82.905	-	(78.266)	24.115
40450-40499-Local Government Assistance Tax	-	317.525	-	(317.525)	-
TOTAL DEBT SERVICE FUNDS	985.093	5,207.245	44.752	(3,566.065)	2,581.520

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JANUARY 2020
(amounts in millions)

	BALANCE JANUARY 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JANUARY 31, 2020
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	284,626	493,494	208,868	-
30050-30099-Dedicated Highway and Bridge Trust	(80,087)	211,652	164,681	(44,583)	(77,699)
30100-30299-SUNY Residence Halls Rehabilitation and Repair	149,645	0,209	3,366	2,250	148,738
30300-30349-New York State Canal System Development	12,903	0,419	-	-	13,322
30350-30399-Parks Infrastructure	(102,762)	95,023	11,093	-	(18,832)
30400-30449-Passenger Facility Charge	0,015	-	-	-	0,015
30450-30499-Environmental Protection	89,570	29,653	14,895	-	104,328
30500-30549-Clean Water/Clean Air Implementation	-	-	-	-	-
30600-30609-Energy Conservation Thru Improved Transportation Bond	0,164	-	-	-	0,164
30610-30619-Park and Recreation Land Acquisition Bond	-	-	-	-	-
30620-30629-Pure Waters Bond	0,668	-	-	-	0,668
30630-30639-Transportation Capital Facilities Bond	3,328	-	-	-	3,328
30640-30649-Environmental Quality Protection Bond	1,419	-	-	-	1,419
30650-30659-Rebuild and Renew New York Transportation Bond	17,584	-	-	(0,255)	17,329
30660-30669-Transportation Infrastructure Renewal Bond	4,255	-	-	-	4,255
30670-30679-1986 Environmental Quality Bond Act	5,551	-	-	-	5,551
30680-30689-Accelerated Capacity and Transportation Improvement Bond	2,778	-	-	-	2,778
30690-30699-Clean Water/Clean Air Bond	1,428	-	-	-	1,428
30700-30709-State Housing Bond	-	-	-	-	-
30710-30719-Smart Schools Bond	-	-	-	-	-
30750-30799-Outdoor Recreation and Development Bond	-	-	-	-	-
30900-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(547,542)	344,470	262,102	-	(465,174)
31450-31499-Forest Preserve Expansion	1,074	0,002	-	1,076	1,076
31500-31549-Hazardous Waste Remedial	(132,953)	74,252	10,450	(0,559)	(69,710)
31650-31699-Suburban Transportation	0,536	0,001	-	-	0,537
31700-31749-Division for Youth Facilities Improvement	(16,626)	-	1,819	-	(18,445)
31800-31849-Housing Assistance	(12,942)	-	-	-	(12,942)
31850-31899-Housing Program	(97,015)	-	61,529	-	(158,544)
31900-31949-Natural Resource Damage	17,363	0,030	0,028	-	17,365
31950-31999-DOT Engineering Services	(11,969)	-	-	-	(11,969)
32200-32249-Miscellaneous Capital Projects	103,481	2,861	6,784	11,561	111,119
32250-32299-CUNY Capital Projects	0,011	-	-	-	0,011
32300-32349-Mental Hygiene Facilities Capital Improvement	(389,014)	32,659	19,442	-	(375,797)
32350-32399-Correction Facilities Capital Improvement	(304,141)	0,004	36,294	-	(340,431)
32400-32999-State University Capital Projects	163,233	0,456	2,251	-	161,438
33000-33049-NYS Storm Recovery Fund	(50,142)	-	0,350	-	(50,492)
33050-33099-Dedicated Infrastructure Investment Fund	42,918	-	84,614	100,000	58,304
TOTAL CAPITAL PROJECTS FUNDS	(1,127,269)	1,076,317	1,173,192	277,282	(946,862)
TOTAL GOVERNMENTAL FUNDS	\$ 14,900,383	\$ 19,561,262	\$ 14,822,962	\$ (10,691)	\$ 19,627,992

SCHEDULE 2

STATE OF NEW YORK
 PROPRIETARY FUNDS
 SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
 CHANGES IN FUND BALANCES
 FISCAL YEAR 2019-2020
 FOR THE MONTH OF JANUARY 2020
 (amounts in millions)

<u>FUND TYPE</u>	<u>BALANCE</u> <u>JANUARY 1, 2020</u>	<u>RECEIPTS</u>	<u>DISBURSEMENTS</u>	<u>OTHER</u> <u>FINANCING</u> <u>SOURCES (USES)</u>	<u>BALANCE</u> <u>JANUARY 31, 2020</u>
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	\$ 0.104	\$ 0.003	\$ 0.005	\$ -	\$ 0.102
50050-50099-State Exposition Special	0.331	0.376	0.292	-	0.415
50100-50299-Correctional Services Commissary	3.398	3.741	3.158	-	3.981
50300-50399-Agencies Enterprise	8.421	1.638	1.234	-	8.825
50400-50449-Sheltered Workshop	2.200	0.003	0.017	-	2.186
50450-50499-Patient Workshop	1.713	0.018	0.096	-	1.635
50500-50599-Mental Hygiene Community Stores	4.811	0.292	0.131	-	4.972
50650-50699-Unemployment Insurance	7.905	228.716	228.348	-	8.273
TOTAL ENTERPRISE FUNDS	28.883	234.787	233.281	-	30.389
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(101.388)	40.686	23.398	0.432	(83.668)
55050-55099-Agency Internal Service	(104.260)	15.414	13.784	2.424	(100.206)
55100-55149-Mental Hygiene Revolving	(0.016)	0.078	0.068	-	(0.006)
55150-55199-Youth Vocational Education	0.094	0.001	0.005	-	0.090
55200-55249-Joint Labor and Management Administration	0.090	-	0.096	-	(0.006)
55250-55299-Audit and Control Revolving	(30.021)	-	2.907	(0.017)	(32.945)
55300-55349-Health Insurance Revolving	(20.749)	3.251	1.034	7.852	(10.680)
55350-55399-Correctional Industries Revolving	(35.041)	2.905	4.818	-	(36.954)
TOTAL INTERNAL SERVICE FUNDS	(291.291)	62.335	46.110	10.691	(264.375)
TOTAL PROPRIETARY FUNDS	\$ (262.408)	\$ 297.122	\$ 279.391	\$ 10.691	\$ (233.986)

SCHEDULE 3

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JANUARY 2020
(amounts in millions)

FUND TYPE	BALANCE JANUARY 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JANUARY 31, 2020
<u>PENSION TRUST FUNDS</u>					
65000-65049-Common Retirement Administration	\$ 0.140	\$ 5.278	\$ 11.554	\$ -	\$ (6.136)
TOTAL PENSION TRUST FUNDS	0.140	5.278	11.554	-	(6.136)
<u>PRIVATE PURPOSE TRUST FUNDS</u>					
66000-66049-Agriculture Producers' Security	2.965	0.004	0.020	-	2.949
66050-66099-Milk Producers' Security	11.115	0.076	0.023	-	11.168
TOTAL PRIVATE PURPOSE TRUST FUNDS	14.080	0.080	0.043	-	14.117
<u>AGENCY FUNDS</u>					
60050-60149-School Capital Facilities Financing Reserve	24.118	0.224	-	-	24.342
60150-60199-Child Performer's Holding	0.528	0.002	0.002	-	0.528
60200-60249-Employees Health Insurance	1,158.722	906.766	959.568	-	1,105.920
60250-60299-Social Security Contribution	15.053	115.222	115.246	-	15.029
60300-60399-Employee Payroll Withholding	14.097	419.214	392.160	-	41.151
60400-60449-Employees Dental Insurance	25.799	7.249	5.871	-	27.177
60450-60499-Management Confidential Group Insurance	0.532	0.735	0.720	-	0.547
60500-60549-Lottery Prize	608.033	90.072	101.187	-	596.918
60550-60599-Health Insurance Reserve Receipts	0.145	-	-	-	0.145
60600-60799-Miscellaneous New York State Agency	968.134	419.264	490.535	-	896.863
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	27.239	9.108	3.400	-	32.947
60850-60899-CUNY Senior College Operating	38.450	240.737	233.074	-	46.113
60900-60949-Medicaid Management Information System (MMIS) Escrow	296.907	6,993.761	7,123.088	-	167.580
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	112.370	398.034	-	-	510.404
61100-61999-State University Federal Direct Lending Program	(0.892)	350.231	407.110	-	(57.771)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	3,289.235	9,950.619	9,831.961	-	3,407.893
TOTAL FIDUCIARY FUNDS	\$ 3,303.455	\$ 9,955.977	\$ 9,843.558	\$ -	\$ 3,415.874

SCHEDULE 4

STATE OF NEW YORK
 SOLE CUSTODY AND INVESTMENT ACCOUNTS
 STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
 FISCAL YEAR 2019-2020
 FOR THE MONTH OF JANUARY 2020
 (amounts in millions)

<u>FUND TYPE</u>	<u>BALANCE JANUARY 1, 2020</u>	<u>RECEIPTS</u>	<u>DISBURSEMENTS</u>	<u>BALANCE JANUARY 31, 2020</u>
ACCOUNTS				
70000-70049-Tobacco Settlement	\$ 2,868	\$ 0,004	\$ -	\$ 2,872
70093, 70095, 70300-70301-MTA State Assistance (*)	103,933	298,331	86,391	315,873
70050-70149-Sole Custody Investment (**)	2,291,408	4,992,698	4,756,069	2,528,037
70200-Comptroller's Refund Account	-	204,060	204,060	-
TOTAL ACCOUNTS	\$ 2,398,209	\$ 5,495,093	\$ 5,046,520	\$ 2,846,782

(*) See Footnotes

(**) 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 January 31, 2020, \$9,489,624.95 (representing the remaining balance of the State's 95 percent share of the fair market value of the not-for-profit corporation plus interest) is on deposit in the sole custody account titled Public Asset Fund. In accordance with Section 4301(j)(4)(F) and (O) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

SCHEDULE 5

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR 2019-2020

PURPOSE	DEBT OUTSTANDING APRIL 1, 2019	DEBT ISSUED (*)		DEBT MATURED		DEBT OUTSTANDING JANUARY 31, 2020	INTEREST DISBURSED	
		MONTH OF JANUARY	10 MONTHS ENDED JANUARY 31, 2020	MONTH OF JANUARY	10 MONTHS ENDED JANUARY 31, 2020		MONTH OF JANUARY	10 MONTHS ENDED JANUARY 31, 2020
GENERAL OBLIGATION BONDED DEBT:								
Accelerated Capacity and Transportation Improvements	\$ 16,747,925	\$ -	\$ 155,155	\$ -	\$ 720,272	\$ 16,182,808	\$ -	\$ 489,059
Clean Water/Clean Air:								
Air Quality	2,465,600	-	(12,617)	-	194,892	2,258,091	-	42,160
Safe Drinking Water	-	-	-	-	-	-	-	-
Clean Water	321,372,381	-	2,863,627	-	8,678,052	315,557,956	-	8,318,064
Solid Waste	22,144,792	-	33,541	-	2,034,166	20,144,167	-	559,916
Environmental Restoration	46,724,919	-	(27,114)	-	1,283,363	45,414,442	-	1,164,966
Energy Conservation Through Improved Transportation: Rapid Transit and Rail Freight	1,352,815	-	-	-	154,061	1,198,754	-	55,667
Environmental Quality (1972):								
Air	6,247	-	-	-	-	6,247	-	125
Land and Wetlands	5,870,169	-	(795)	-	56,671	5,812,703	-	138,351
Water	10,826,301	-	109,856	-	4,418,953	6,517,204	-	286,440
Environmental Quality (1986): Land Acquisition/Development/Restoration/Forests Solid Waste Management	6,831,632 107,613,085	- -	9,798 287,704	- -	741,830 7,388,442	6,099,600 100,512,347	- -	184,629 3,424,677
Housing: Low Income Middle Income	8,500,000 6,225,000	- -	- -	- -	1,860,000 2,190,000	6,640,000 4,035,000	- -	243,000 120,138
Park and Recreation Land Acquisition	-	-	-	-	-	-	-	-
Pure Waters	17,772,576	-	367,188	-	2,418,138	15,721,626	-	552,636
Rail Preservation Development	-	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation: Highway Facilities Canals and Waterways Aviation Rail and Port Mass Transit - Dept. of Transportation Mass Transit - Metropolitan Transportation Authority	641,322,676 11,884,363 42,044,726 94,745,141 13,915,297 721,891,399	- - - - - -	6,303,945 - 1,372,382 3,009,919 (39,774) 11,348,989	- - - - -	5,866,865 483,008 - - 6,346,813	641,759,756 11,401,355 43,417,108 97,755,060 13,875,523 726,893,575	- - - - -	15,847,049 279,699 895,796 1,983,245 309,013 19,193,504
Rebuild New York Transportation Infrastructure Renewal: Highways, Parkways, and Bridges Rapid Transit, Rail and Aviation	741,418 2,597,617	- -	(1,804) -	- -	15,824 555,054	723,790 2,042,563	- -	18,942 112,617
Smart Schools Bond Act	179,020,225	-	-	-	-	179,020,225	-	4,227,135
Transportation Capital Facilities: Aviation Mass Transportation	3,018,695 -	- -	- -	- -	928,596 -	2,090,099 -	- -	113,589 -
Total General Obligation Bonded Debt	\$ 2,285,634,999	\$ -	\$ 25,780,000	\$ -	\$ 46,335,000	\$ 2,285,079,999	\$ -	\$ 58,560,420

(*) Includes the net effect of the October 2019 refunding transaction of \$914,300,000, which was used to refund \$888,520,000 of previously issued general obligation bonds.

SCHEDULE 5a

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE TEN MONTHS ENDED JANUARY 31, 2020

	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40100-40149)	REVENUE BOND TAX (40152)	SALES TAX REVENUE BOND TAX (40154)	COMBINED TOTALS		\$ INCREASE/ (DECREASE)
								10 MONTHS ENDED JANUARY 31 2020	2019	
Special Contractual Financing Obligations:										
Payments to Public Authorities:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
City University Construction	-	71,889,337	-	-	-	-	-	71,889,337	106,149,845	(34,260,508)
Dormitory Authority:	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	54,551,063	-	-	-	-	-	54,551,063	57,690,325	(3,139,262)
DASNY Revenue Bond	-	-	-	-	-	303,001,454	239,836,331	542,837,785	411,174,742	131,663,043
Department of Health Facilities	-	-	26,157,902	-	-	-	-	26,157,902	26,132,003	25,899
Mental Health Facilities	-	-	-	-	7,086,959	-	-	7,086,959	53,548,293	(46,462,334)
Secured Hospital Program	-	3,829,093	-	-	-	-	-	3,829,093	603,759	3,225,334
SUNY Community Colleges	-	5,928,700	-	-	-	-	-	5,928,700	4,586,528	1,342,172
SUNY Educational Facilities	-	18,022,938	-	-	-	-	-	18,022,938	17,145,625	877,313
Environmental Facilities Corporation	-	-	-	-	-	17,269,722	-	17,269,722	33,203,788	(15,934,066)
Housing Finance Agency	-	15,734,765	-	-	-	1,907,968	-	17,642,733	17,219,183	423,550
Local Government Assistance Corporation	-	-	-	-	-	-	-	-	27,129,517	(5,826,546)
Metropolitan Transportation Authority:	-	-	-	21,302,971	-	-	-	21,302,971	-	(35,457,621)
Transit and Commuter Rail Projects	-	-	-	-	-	-	-	-	-	-
Thruway Authority:	-	-	-	-	-	-	-	-	-	-
Dedicated Highway and Bridge	-	442,238,607	-	-	-	-	-	442,238,607	192,497,596	249,741,011
Local Highway and Bridge	-	21,772,000	-	-	-	-	-	21,772,000	36,892,075	(15,120,075)
Transportation	-	-	-	-	-	27,320,113	-	27,320,113	30,877,100	(3,556,987)
Urban Development Corporation:	-	-	-	-	-	-	-	-	-	-
Clarkson University	-	448,350	-	-	-	-	-	448,350	1,023,950	(575,600)
Columbia University Telecommunications Center	-	-	-	-	-	-	-	-	2,777,000	(2,777,000)
Consolidated Service Contract Refunding	-	78,840,807	-	-	-	-	-	78,840,807	170,037,784	(91,196,977)
Cornell University Supercomputer Center	-	-	-	-	-	-	-	-	362,000	(362,000)
Conditional Facilities	-	555,750	-	-	-	-	-	555,750	1,081,432	(525,682)
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	92,438,900	-	92,438,900	424,841,312	(332,402,412)
University Facilities Grant 95 Refunding	-	1,770,144	-	-	-	-	-	1,770,144	963,912	784,172
Total Disbursements for Special Contractual Financing Obligations	\$ -	\$ 715,581,554	\$ 26,157,902	\$ 21,302,971	\$ 7,086,959	\$ 441,938,157	\$ 239,836,331	\$ 1,451,912,874	\$ 1,651,417,450	\$ (199,504,576)

STATE OF NEW YORK

SUMMARY OF THE OPERATING FUND INVESTMENTS

FOR THE MONTH OF JANUARY 2020

AS REQUIRED OF THE STATE COMPTROLLER

(amounts in millions)

SCHEDULE 6

MONTH OF	FISCAL YEAR	PRIOR FISCAL
JANUARY 2020	TO DATE	YEAR TO DATE

SHORT TERM INVESTMENT POOL (*)

AVERAGE DAILY INVESTMENT BALANCE (**)	\$ 22,840.1	\$ 19,276.8	\$ 16,734.6
AVERAGE YIELD (**)	1.686%	2.146%	2.152%
TOTAL INVESTMENT EARNINGS	\$ 32,012	\$ 352,795	\$ 291,631

Month-End Portfolio Balances

DESCRIPTION	JANUARY 2020	JANUARY 2019
	PAR AMOUNT	PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	\$ 6,624.5	\$ 4,857.5
REPURCHASE AGREEMENTS	307.4	29.0
COMMERCIAL PAPER	16,197.5	14,865.2
CERTIFICATES OF DEPOSIT/SAVINGS	2,939.7	2,952.5
0% COMPENSATING BALANCE CDs	78.0	168.0
	\$ 26,147.1	\$ 22,872.2

(*) 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 2019-2020												APPENDIX A															
2019 APRIL		MAY		JUNE		JULY		AUGUST		SEPTEMBER		OCTOBER		NOVEMBER		DECEMBER		2020 JANUARY		FEBRUARY		MARCH		10 Months Ended January 31, 2020			
\$	-	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$		
OPENING CASH BALANCE																											
RECEIPTS:																											
Cigarette Tax																											
State Share of NYC Cigarette Tax																											
STIP Interest																											
Public Asset Transfers																											
Assessments																											
Rebates																											
Restitution and Settlements																											
Miscellaneous																											
Total Receipts																											
DISBURSEMENTS:																											
Grants																											
Interest - Late Payments																											
Personal Service																											
Nonpersonal Service																											
Employee Benefits/Indirect Costs																											
Total Disbursements																											
OPERATING TRANSFERS:																											
Transfers to Capital Projects Fund																											
Transfers to General Fund																											
Transfers to Revenue Bond Tax Fund																											
Transfers to Miscellaneous Special Revenue Fund																											
Empire State Stem Cell Trust Account																											
Transfers to SUNY Income Fund																											
Total Operating Transfers																											
Total Disbursements and Transfers																											
ENDING CASH BALANCE																											

APPENDIX B

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2019-20

Program/Purpose	Appropriation Amount (*)	January	10 Months Ended January 31, 2020 (**)
CENTER FOR COMMUNITY HEALTH PROGRAM	8,752,000.00	285,408.39	2,591,496.43
CENTER FOR COMMUNITY HLTH	8,752,000.00	285,408.39	2,591,496.43
CHILD HEALTH INSURANCE PROGRAM	1,478,644,000.00	60,877,627.27	336,005,200.01
CHILD HEALTH INSURANCE	1,478,644,000.00	60,877,627.27	336,005,200.01
COMMUNITY SUPPORT PROGRAM	180,000.00	-	45,000.00
COMMUNITY SUPPORT	180,000.00	-	45,000.00
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	426,154,811.52	12,342,258.00	95,595,545.88
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE	426,154,811.52	12,342,258.00	95,595,545.88
HEALTH CARE REFORM ACT PROGRAM	2,160,773,305.03	31,171,821.20	328,899,799.52
AIDS DRUG ASSISTANCE	205,250,000.00	-	20,000,000.00
AMBULATORY CARE TRAINING	13,520,000.00	-	1,039,703.97
AREA HEALTH EDUCATION CENTER	7,063,000.00	-	860,464.62
COMMISSIONER EMERGENCY DISTRIBUTIONS	24,700,000.00	1,492,377.98	1,708,475.74
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE	272,000,000.00	13,723,361.00	41,223,384.00
DIVERSITY IN MEDICINE	5,232,000.00	299,250.00	703,289.00
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIPI)	13,780,000.00	-	3,444,996.00
HCRA PAYOR / PROVIDER AUDITS	9,440,000.00	97,500.00	3,795,701.26
HEALTH FACILITY RESTRUCTURING DASNY	39,200,000.00	-	19,600,000.00
HEALTH WORKFORCE RETRAINING	210,010,300.00	3,400.91	3,963,406.61
INFERTILITY SERVICES GRANTS	24,781,746.00	24,362.60	549,638.89
MEDICAL INDEMNITY FUND	208,000,000.00	-	52,000,000.00
PART 405.4 HOSPITAL AUDITS NYCRR	2,200,000.00	101,206.06	549,922.21
PHYSICIAN EXCESS MEDICAL MALPRACTICE	382,200,000.00	-	105,100,000.00
PHYSICIAN LOAN REPAYMENT	34,465,000.00	1,812,459.08	6,495,653.84
PHYSICIAN PRACTICE SUPPORT	1,000,000.00	-	-
PHYSICIAN WORKFORCE STUDIES	27,825,000.00	-	-
POISON CONTROL CENTERS	3,964,200.00	-	300,000.00
POOL ADMINISTRATION	8,440,000.00	-	1,642,909.72
ROSWELL PARK CANCER INSTITUTE	5,300,000.00	-	622,498.06
ROSWELL PARK COMPREHENSIVE CANCER CENTER	102,606,000.00	12,825,750.00	51,303,000.00
RURAL HEALTH CARE ACCESS	50,000.00	-	-
SCHOOL BASED HEALTH CENTERS	34,550,000.00	749,666.90	4,397,375.62
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	22,990,000.00	42,484.67	3,234,379.98
TRANSITION ACCT - PRIOR YEAR ALLOCATION	4,230,000.00	-	2,115,000.00
TRANSITION ACCT - PRIOR YEAR ALLOCATION	8,460,000.00	-	4,230,000.00
MEDICAL ASSISTANCE PROGRAM	28,338,830,000.00	417,164,226.61	4,223,508,384.37
HOME HEALTH RATE INCREASE	489,526,059.03	-	-
MEDICAID INDIGENT CARE	300,000,000.00	-	-
MEDICAL ASSISTANCE	5,348,000,000.00	87,164,226.61	792,508,384.37
PSNL CRE WRKR RECR & RETEN NYC (**)	21,806,630,000.00	330,000,000.00	3,431,000,000.00
PSNL CRE WRKR RECR & RETEN ROS (****)	816,000,000.00	-	-
NEW YORK STATE OF HEALTH	67,200,000.00	-	-
OFFICE OF HEALTH INSURANCE PROGRAM	53,398,000.00	3,123,017.20	21,483,403.51
OFFICE OF HEALTH INSURANCE	53,398,000.00	3,123,017.20	21,483,403.51
OFFICE OF HEALTH SYSTEMS MANAGEMENT	1,834,000.00	-	-
OFFICE OF HEALTH SYSTEMS MANAGEMENT	60,490,924.85	1,341,946.33	12,392,416.10
OFFICE OF LONG TERM CARE	60,490,924.85	1,341,946.33	12,392,416.10
ADULT HOME INITIATIVE	2,477,800.00	-	-
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	1,040,430.42	3,745,015.87
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	1,040,430.42	3,745,015.87
TOTAL	32,539,724,841.40	527,326,736.42	5,024,266,261.69
Redclass of SUNY Hospital Disprop Share to Transfer	-	(427,781.08)	(6,680,177.42)
Redclass of SUNY Hospital Poison Control Centers to Transfer	-	-	-
Redclass of SUNY Empire Clinical Research Investigator Program to Transfer	-	-	-
Reconciling Adjustment (P-Card and T-Card)	-	-	(1,221.67)
TOTAL REPORTED AMOUNT	\$ 32,539,724,841.40	\$ 526,897,734.62	\$ 5,017,584,962.60

(*) Includes amounts appropriated in SFY 2019-20, as well as prior year appropriations that were reappropriated.
 (**) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.
 (***) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.
 (****) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2019-20

APPENDIX C

OPENING CASH BALANCE

RECEIPTS:

Patient Services
Covered Lives
Provider Assessments
1% Assessments
DASNY - MOE/Recast receivables
Interest Income
Unassigned
Total Receipts

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	3rd Quarter OCTOBER - DECEMBER	2020 JANUARY	2019-20
	\$ 284,899,772.70	\$ 217,136,341.70	\$ 349,275,252.28	\$ 362,704,232.36	\$ 284,899,772.70
	901,482,254.94	1,104,136,349.72	906,738,478.92	311,479,097.10	3,223,836,180.68
	257,819,074.40	303,187,529.45	261,374,155.15	84,047,137.43	906,427,896.43
	33,710,660.47	38,718,319.01	27,667,375.62	9,255,798.32	109,352,153.42
	101,375,334.00	108,247,260.00	107,445,313.00	34,115,797.00	351,183,704.00
	-	-	-	-	-
	214,148.16	222,300.29	127,867.18	38,925.17	603,240.80
	25,420,354.00	(25,438,913.00)	2,006,523.00	9,104,156.12	11,092,120.12
	<u>1,320,021,825.97</u>	<u>1,529,072,845.47</u>	<u>1,305,359,712.87</u>	<u>448,040,911.14</u>	<u>4,602,495,295.45</u>

PROGRAM DISBURSEMENTS:

Poison Control Centers
School Based Health Center Grants
ECRIP Distributions
Total Program Disbursements

			(2,400,000.00)	-	(2,400,000.00)
			(4,230,000.00)	-	(4,230,000.00)
			(3,444,996.00)	-	(3,444,996.00)
			<u>(10,074,996.00)</u>	<u>-</u>	<u>(10,074,996.00)</u>
	<u>1,320,021,825.97</u>	<u>1,529,072,845.47</u>	<u>1,295,284,716.87</u>	<u>448,040,911.14</u>	<u>4,592,420,299.45</u>

Excess (Deficiency) of Receipts over Disbursements

OTHER FINANCING SOURCES (USES):

Transfers From Other Pools:
Medicaid Disproportionate Share
Health Facility Assessment Fund - Hospital Quality Contribution
Transfers From State Funds:
HCRA Resources Fund
Total Other Financing Sources

	12,273,811.00	12,910,960.00	12,842,986.00	4,239,323.00	-
	-	-	10,074,996.00	-	10,074,996.00
	<u>12,273,811.00</u>	<u>12,910,960.00</u>	<u>22,917,982.00</u>	<u>4,239,323.00</u>	<u>52,342,076.00</u>

Transfers To Other Pools:

Medicaid Disproportionate Share
Health Facility Assessment Fund

Transfers To State Funds:

HCRA Resources Fund
Indigent Care Fund - Matched
Indigent Care Fund - Unmatched
Total Other Financing Uses

	(1,211,212,716.72)	(1,061,871,734.43)	(1,136,233,577.68)	(394,234,112.13)	(3,803,552,140.96)
	(189,777,239.46)	(325,895,043.33)	(168,654,356.44)	(82,349,151.89)	(766,675,791.12)
	930,888.21	(22,078,117.13)	114,215.33	(4,714,168.66)	(25,747,182.25)
	<u>(1,400,059,067.97)</u>	<u>(1,409,844,894.89)</u>	<u>(1,304,773,718.79)</u>	<u>(481,297,432.68)</u>	<u>(4,595,975,114.33)</u>

Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses

	(67,763,431.00)	132,138,910.58	13,428,980.08	(29,017,198.54)	48,787,261.12
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CLOSING CASH BALANCE

	\$ 217,136,341.70	\$ 349,275,252.28	\$ 362,704,232.36	\$ 333,687,033.82	\$ 333,687,033.82
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Source: HCRA - Office of Pool Administration

APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2019-20

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	3rd Quarter OCTOBER - DECEMBER	2020 JANUARY	2019-20
OPENING CASH BALANCE	\$ 2,224.49	\$ 1,198.39	\$ 9,008.14	\$ 1,493.26	\$ 2,224.49
RECEIPTS:					
Interest Income	4,789.67	11,549.28	2,275.18	4,063.85	22,677.98
Total Receipts	4,789.67	11,549.28	2,275.18	4,063.85	22,677.98
PROGRAM DISBURSEMENTS:					
Indigent Care	(189,777,239.46)	(223,008,636.27)	(168,828,419.44)	(85,507,670.89)	(667,121,966.06)
High Need Indigent Care	-	-	-	-	-
Other	945,583.86	(120,704,277.72)	2,596,349.33	168,868.34	(116,993,476.19)
Total Program Disbursements	(188,831,655.60)	(343,712,913.99)	(166,232,070.11)	(85,338,802.55)	(784,115,442.25)
Excess (Deficiency) of Receipts over Disbursements	(188,826,865.93)	(343,701,364.71)	(166,229,794.93)	(85,334,738.70)	(784,092,764.27)
OTHER FINANCING SOURCES (USES):					
Transfers From Other Pools:					
Public Goods Pool	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-
Transfers From State Funds:					
HCRA Resources Indigent Care - Matched	94,888,619.73	162,947,521.68	84,327,178.22	41,174,575.95	383,337,895.58
HCRA Resources Indigent Care - Unmatched	(930,888.21)	20,125,941.66	(114,215.33)	2,989,650.66	22,070,488.78
HCRA Resources Indigent Care - ATB	-	-	-	-	-
Federal DHHS Fund	94,888,619.73	162,947,521.65	84,327,178.22	41,174,575.94	383,337,895.54
Other	-	-	-	-	-
Total Other Financing Sources	188,846,351.25	346,020,984.99	168,540,141.11	85,338,802.55	788,746,279.90
Transfers To Other Pools:					
Public Goods Pool	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-
Transfers To State Funds:					
HCRA Resources Fund Indigent Care Acct	(20,511.42)	(2,311,810.53)	(2,317,861.06)	(1,493.26)	(4,651,676.27)
Total Other Financing Uses	(20,511.42)	(2,311,810.53)	(2,317,861.06)	(1,493.26)	(4,651,676.27)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,026.10)	7,809.75	(7,514.88)	2,570.59	1,839.36
CLOSING CASH BALANCE	\$ 1,198.39	\$ 9,008.14	\$ 1,493.26	\$ 4,063.85	\$ 4,063.85

Source: HCRA - Office of Pool Administration

APPENDIX E

STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2019-2020
(amounts in thousands)

	2019 APRIL	2019 MAY	2019 JUNE	2019 JULY	2019 AUGUST	2019 SEPTEMBER	2019 OCTOBER	2019 NOVEMBER	2019 DECEMBER	2020 JANUARY	2020 FEBRUARY	2020 MARCH	2019-2020 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	\$ -	\$ 21	\$ -	\$ -	\$ 25	\$ 1	\$ -	\$ -	\$ -	\$ 10	\$ 3	\$ -	\$ 72
Education - EXCEL	-	2,109	221	2,703	2,703	2,354	1,566	789	202	-	-	-	9,944
Department of Health - All Other	-	-	-	-	-	51	3	-	-	-	1	-	55
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)/RESTORE	647	1,183	11	788	309	590	242	368	677	387	-	-	5,202
Multi-modal	37	-	-	-	-	-	-	-	-	-	-	-	37
GenNysis	-	-	-	-	-	-	-	-	-	-	-	-	-
CUNY Senior Colleges	19,134	18,022	14,341	23,762	10,916	28,143	20,932	9,312	27,400	36,283	-	-	208,245
CUNY Community Colleges	2,965	2,554	975	5,101	780	5,980	4,606	3,607	5,800	3,449	-	-	35,817
SUNY Dormitories	-	-	-	-	-	-	-	-	-	-	-	-	-
Upstate Community Colleges	-	-	-	-	-	-	-	-	-	-	-	-	-
Mental Health	9,238	13,563	4,697	25,605	5,907	28,243	14,194	4,498	18,956	7,468	-	-	132,369
Developmental Disabilities	1,109	1,614	462	2,044	682	2,065	1,870	1,865	2,315	2,173	-	-	16,199
Alcoholism and Substance Abuse	158	274	190	302	304	671	162	233	429	215	-	-	2,938
Brooklyn Court Officer Training Academy	23	36	-	192	-	780	39	2	1	-	-	-	1,073
TOTAL DORMITORY AUTHORITY	33,311	39,376	20,897	60,522	21,304	68,041	42,846	19,885	55,790	49,979	-	-	411,951
EMPIRE STATE DEVELOPMENT CORP:													
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Centers of Excellence	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
Empire Opportunity	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL EMPIRE STATE DEVELOPMENT CORP	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL OFF-BUDGET	\$ 33,311	\$ 39,376	\$ 20,897	\$ 60,522	\$ 21,304	\$ 68,041	\$ 42,846	\$ 19,885	\$ 55,790	\$ 49,979	\$ -	\$ -	\$ 411,951

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	October 31, 2019	November 30, 2019	December 31, 2019	Change	January 31, 2020
10050	GENERAL FUND					
	STATE OPERATIONS AND LOCAL ASSISTANCE					
	TOTAL GENERAL FUND	\$ -	\$ -	\$ -	\$ -	\$ -
	(***)					
CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS						
30051	HIGHWAY AND BRIDGE CAPITAL	96,164,503.22	116,902,614.07	160,459,011.65	(59,102,134.25)	101,356,877.40
30053	AVIATION PURPOSE ACCOUNT	-	-	-	-	-
30101	REHAB/REPAIR MARITIME	-	-	-	-	-
30102	D21RVE- MARITIME	-	-	-	-	-
30103	D36RVE- CENTRAL ADMIN	-	-	-	-	-
30104	RESIDENCE HALL CAMPUS LET BOND PROCEEDS	-	-	-	-	-
30105	REHAB/REPAIR ALBANY	-	-	-	-	-
30106	D01RVE- ALBANY	-	-	-	-	-
30107	REHAB/REPAIR BINGHAMTON	-	-	-	-	-
30108	D07RVE- BINGHAMTON	-	-	-	-	-
30109	REHAB/REPAIR BUFFALO UNIVERSITY	-	-	-	-	-
30110	D26RVE- SUNY BUFFALO	-	-	-	-	-
30111	REHAB/REPAIR STONYBROOK	-	-	-	-	-
30112	D13RVE- STONYBROOK	-	-	-	-	-
30113	REHAB/REPAIR BROOKLYN	-	-	-	-	-
30114	D14RVE- HSC BROOKLYN	-	-	-	-	-
30115	REHAB/REPAIR 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	-	145,547.19	145,370.66	(28,382.82)	116,987.84
30134	D10RVE- OSWEGO	-	-	-	-	-
30135	REHAB/REPAIR PLATTSBURGH	-	-	-	-	-
30136	D11RVE- PLATTSBURGH	-	-	-	-	-
30137	REHAB/REPAIR POTSDAM	-	-	-	-	-
30138	D12RVE- POTSDAM	-	-	-	-	-
30139	REHAB/REPAIR PURCHASE	-	-	-	-	-
30140	D26RVE- PURCHASE	-	-	-	-	-
30141	REHAB/REPAIR FOR UTICAROME	-	-	-	-	-
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	83,931,487.20	94,023,371.07	102,762,251.53	(83,629,914.98)	18,832,336.55
30501	CWICA IMPLEMENTATION DEC	-	-	-	-	-
30502	CWICA IMPLEMENTATION STATE	-	-	-	-	-
30503	CWICA IMPLEMENTATION ERDA	-	-	-	-	-
30504	CWICA IMPLEMENTATION EFC	-	-	-	-	-
31506	HAZARDOUS WASTE CLEAN UP	-	-	-	-	-
31701	YOUTH FACILITIES IMPROVEMENT	-	-	-	-	-
31801	HOUSING ASSISTANCE	-	-	-	-	-
31851	HOUSING PROG FD-HSG TR FD CORP	-	-	-	-	-
31852	HOUSING PROG FD AFFORD HSG CORP	-	-	-	-	-
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	-	-	-	-	-
31854	HOUSING PROG FD-HFA	-	-	-	-	-
31951	HIGHWAY FAC PURPOSE	12,290,173.24	12,262,315.99	11,969,463.99	-	11,969,463.99

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	October 31, 2019	November 30, 2019	December 31, 2019	Change	January 31, 2020
32213	NY RACING ACCOUNT	153,750.00	153,750.00	153,750.00	-	153,750.00
32214	CAPITAL PROJECT MISC GIFTS	-	-	-	-	-
32215	IT CAPITAL FINANCING ACCT	-	-	180,034.24	434,950.11	594,984.35
32219	NY ENVIRONMENTAL PROTECTION & SPILL REMEDIATION	-	-	-	-	-
32301	OPWDD-STATE FACILITIES PRE 12/99	-	-	-	-	-
32302	DSAS-COMMUNITY FACILITIES	-	-	-	-	-
32303	OMH-COMMUNITY FACILITIES	132,556,937.83	122,972,708.42	125,288,703.86	3,284,770.23	128,573,474.09
32304	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32305	OASAS-COMMUNITY FACILITIES	197,078,193.90	195,514,343.74	183,312,447.64	(617,566.52)	182,694,881.12
32306	DASNY - OMH ADMIN	-	-	-	-	-
32307	DASNY - OPWDD ADMIN	2,359,597.75	2,895,339.49	2,895,339.49	(3,961.10)	2,891,378.39
32308	DASNY - OASAS ADMIN	1,295,493.08	883,591.20	883,591.20	-	883,591.20
32309	OMH-STATE FACILITIES	67,861,643.87	76,418,255.99	91,113,558.66	(23,396,307.24)	67,717,251.42
32310	OPWDD-STATE FACILITIES	5,575,843.38	5,575,843.38	5,575,843.38	1,446,054.00	7,021,897.38
32311	OASAS-STATE FACILITIES	0.38	0.38	119,787.38	-	119,787.38
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	-	-	-	-	-
32352	DOCS-REHABILITATION PROJECTS	212,125,611.96	256,357,272.49	304,140,709.46	36,290,099.26	340,430,808.72
32353	CORR. FACILITIES CAPITAL CLOSURE	-	-	-	-	-
33001	STORM RECOVERY ACCOUNT	49,501,244.83	51,563,160.90	50,141,798.57	350,596.09	50,492,394.66
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	1,240,460,851.93	1,320,385,301.82	1,437,339,216.40	(173,380,484.38)	1,263,958,731.82
STATE SPECIAL REVENUE FUNDS						
20401	DOL-CHILD PERFORMER PROTECTION ACCOUNT	-	-	-	-	-
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	3,518,174.10	6,065,650.36	85,137,572.74	60,877,627.27	146,015,200.01
20818	EPIC PREMIUM ACCOUNT	-	-	1,661,511.82	6,743,375.92	8,404,887.74
20901	LOTTERY-EDUCATION	1,186,420,072.59	1,028,717,790.91	868,816,291.61	(201,118,094.37)	667,698,197.24
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	3,836,597.46	3,901,061.04	3,965,524.62	89,966.23	4,055,490.85
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21064	UTILITY ENVIRONMENTAL REGULATORY ACCOUNT	1,672,200.00	1,672,200.00	1,672,200.00	-	1,672,200.00
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	1,171,608.93	1,793,264.08	251,602.83	2,261,817.48	2,513,420.31
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	4,052,537.06	3,732,771.93	4,007,448.72	261,076.96	4,268,525.68
21067	ENCON-RECREATION	-	-	-	-	-
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	54,527,480.90	52,133,743.19	55,106,075.88	(369,109.52)	54,736,966.36
21082	NATURAL RESOURCES ACCOUNT	12,884,519.19	13,048,633.44	13,338,043.81	274,523.71	13,612,567.52
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	88.64	15,971.23	-	-	-
21202	HEALTH DEPT OIL SPILL	-	3,345.60	-	-	-
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	-	435,038.87	573.66	3,967.82	4,541.48
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	-	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	-	131,523,653.70	358,742,781.71	(109,124,929.97)	249,617,851.74
21451	OPERATING PERMIT PROGRAM	24,893,143.96	28,429,771.26	28,958,353.10	725,952.85	29,684,305.95
21452	MOBILE SOURCE	4,440,996.10	3,436,670.45	5,505,463.36	(3,553,433.38)	1,952,029.98
21902	HEALTH-SPARCS	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	8,045,774.92	12,364,465.48	12,171,679.42	(5,497,321.73)	6,674,357.69
21907	MENTAL HYGIENE PROGRAM	-	-	-	-	-
21909	FINANCIAL CONTROL BOARD	234,523.16	468,407.45	638,271.39	310,742.60	949,013.99
21911	RACING REGULATION ACCOUNT	1,819,601.98	2,298,616.56	2,473,872.03	(362,159.18)	2,111,712.85
21912	NY METROPOLITAN TRANSPORTATION COUNCIL	-	-	-	-	-
21937	SU DORM INCOME REIMBURSE	185,757.35	209,701.05	130,609.92	65,806.28	196,416.20
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	-	-
21959	ENV LAB REF FEE	-	-	-	-	-
21961	TRAINING, MANAGEMENT AND EVALUATION ACCOUNT	567,885.41	498,612.55	392,187.75	50,902.81	443,090.56
21962	CLINICAL LAB FEE	9,457,941.62	10,295,608.82	10,898,480.76	(1,074,228.63)	9,824,252.13
21978	INDIRECT COST RECOVERY	-	-	-	-	-
21979	HIGH SCHOOL EQUIVALENCY PROGRAM	-	-	-	-	-
21989	MULTI - AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	BELL JAR COLLECTION ACCOUNT	-	-	-	-	-
22004	INDUSTRY AND UTILITY SERVICE	-	-	-	-	-
22006	REAL PROPERTY DISPOSITION	-	-	-	-	-
22007	PARKING ACCOUNT	-	-	-	-	-
22008	COURTS SPECIAL GRANTS	-	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	-	1,599.03	-	-	-
22017	CAMP SMITH BILLETING ACCOUNT	-	-	-	-	-
22032	BATAVIA SCHOOL FOR THE BLIND	12,876,861.42	13,870,087.47	14,615,364.59	679,200.36	15,294,564.95
22034	INVESTMENT SERVICES	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	October 31, 2019	November 30, 2019	December 31, 2019	Change	January 31, 2020
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-
22039	FINANCIAL OVERSIGHT	351,556.01	618,347.29	893,383.42	335,458.96	1,228,822.38
22046	REGULATION INDIAN GAMING	86,360,909.11	86,752,888.35	87,394,247.57	533,853.99	87,928,101.56
22053	ROME SCHOOL FOR THE DEAF	4,618,525.58	5,413,280.09	6,013,689.05	898,309.00	6,911,988.05
22054	DSP-SEIZED ASSETS	2,890,550.49	2,076,562.27	1,936,614.55	(341,425.25)	1,595,188.30
22055	ADMINISTRATIVE ADJUDICATION	23,552,984.95	23,178,283.24	15,557,323.95	3,776,876.08	19,334,200.03
22056	FEDERAL SALARY SHARING	1,159,446.58	1,380,258.31	1,487,860.68	134,542.93	1,622,403.61
22062	NYC ASSESSMENT ACCT	6,539,092.69	6,797,657.24	6,487,072.15	(246,479.61)	6,241,592.54
22063	CULTURAL EDUCATION ACCOUNT	-	-	-	-	-
22078	LOCAL SERVICE ACCOUNT	15,583,211.17	15,750,007.78	15,913,892.71	151,389.39	16,065,282.10
22085	DHCR MORTGAGE SERVICES	-	-	-	-	-
22090	HOUSING INDIRECT COST RECOVERY	7,607,717.18	7,824,700.25	8,004,967.57	(490,460.42)	7,514,507.15
22100	DHCR-HOUSING CREDIT AGENCY APPLY FEE	-	-	-	-	-
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONROSE VETERANS HOME	198,335.69	227,840.84	125,254.96	63,694.71	188,949.67
22151	DEFERRED COMPENSATION ADMIN	-	72,792.80	-	-	-
22166	RENT REVENUE OTHER - NYC	-	-	-	-	-
22168	TAX REVENUE	-	-	-	-	-
22168	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-
22240	NY'S MEDICAL INDEMNITY FUND ACCOUNT	77,718.83	154,015.36	248,436.34	100,787.30	349,203.64
22834	S.U. NON-RESIDENT REV. OFFSET	20,460,053.90	20,494,962.62	20,525,439.94	29,672.24	20,555,112.18
22751	LANE GEORGE PARK TRUST FUND	-	-	-	-	-
22802	STATE POLICE MV ENFORCE	-	-	-	-	-
23001	DOT - HIGHWAY SAFETY PRGM	14,236,534.72	14,378,726.59	14,771,072.30	81,386.01	14,852,458.31
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	48,600,615.64	50,962,024.83	53,519,944.22	2,421,130.10	55,941,074.32
23701	COMMERCIAL GAMING REVENUE	16,062,100.53	16,485,452.16	16,869,883.76	400,433.29	17,270,317.05
23702	COMMERCIAL GAMING REGULATION	-	-	-	-	-
23800	INTERSTATE RECIPROcity FOR POST SEC DIST ED	-	-	-	-	-
23801	HIGHWAY USE TAX ADMIN	-	-	-	-	-
23806	NY'S SECURE CHOICE ADMIN	-	-	-	-	-
24951	FANTASY SPORTS ADMINISTRATION	-	-	-	-	-
	TOTAL STATE SPECIAL REVENUE FUNDS	1,583,256,047.76	1,572,835,613.99	1,723,583,922.59	(240,904,167.77)	1,482,679,754.82
	FEDERAL FUNDS					
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	11,174,513.06	22,138,247.34	15,287,528.46	(4,446,558.66)	10,840,969.80
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	531,299,490.93	211,306,904.22	638,635,412.45	(157,608,033.18)	481,027,379.27
25200-25249	FEDERAL EDUCATION GRANTS FUND	38,252,988.95	38,928,881.04	40,635,158.21	36,601,104.33	77,236,262.54
25250-25299	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-
25300-25899	FEDERAL OPERATING GRANTS FUND	451,777,499.59	418,091,127.23	459,719,203.03	(39,998,288.75)	419,720,914.28
31351	MILITARY AND NAVAL AFFAIRS	8,756,661.66	8,756,661.66	8,753,932.66	(2,729.00)	8,753,932.66
31354	DEPARTMENT OF TRANSPORTATION	508,738,497.47	484,905,655.79	460,128,296.86	(77,612,429.99)	382,515,866.87
31350-31449	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	85,252,330.97	87,809,426.82	108,833,062.72	(5,086,295.51)	103,766,767.21
25900-25949	UNEMPLOYMENT INSURANCE ADMINISTRATION	13,659,237.32	12,236,467.91	10,564,973.51	639,584.48	11,204,457.69
25950	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	380,610.99	318,486.89	477,958.99	(32,720.00)	445,238.89
26001-26049	DOL EMPLOYMENT AND TRAINING GRANTS	2,301,124.58	5,373,118.47	7,394,585.30	(6,023,452.10)	1,369,233.20
	TOTAL FEDERAL FUNDS	1,651,572,953.92	1,290,264,977.47	1,750,432,941.19	(253,951,963.38)	1,496,881,142.81
	AGENCY FUNDS					
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-
	TOTAL AGENCY FUNDS	-	-	-	-	-
	ENTERPRISE FUND					
50318	OGS CONVENTION CENTER ACCOUNT	370,140.91	345,221.79	347,999.18	(807.74)	347,191.44
50327	EMPIRE PLAZA GIFT SHOP	281,160.31	304,988.44	296,041.12	10,340.26	306,381.38
	TOTAL ENTERPRISE FUND	651,301.22	650,210.23	644,040.30	9,532.52	653,572.82
	INTERNAL SERVICE FUNDS					
55001	CENTRALIZED SERVICES/FLEET MGMT	-	-	-	-	-
55002	CENTRALIZED SERVICES/DATA PROCESSING	-	-	-	-	-
55003	CENTRALIZED SERVICES/PRINTING	1,386,750.47	1,324,819.02	1,337,430.77	(118,424.67)	1,219,006.10
55004	CENTRALIZED SERVICES/REAL PROPERTY-LABOR	-	-	-	-	-
55005	CENTRALIZED SERVICES/DONATED FOODS	-	-	-	-	-
55006	CENTRALIZED SERVICES/PERSONAL PROPERTY	3,187,134.90	3,516,513.30	3,517,515.48	193,420.63	3,710,936.11
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	10,548,852.67	12,588,557.36	13,148,748.30	(12,692,582.22)	456,186.08
55008	CENTRALIZED SERVICES-PASNY	-	-	-	-	-
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	16,289,388.26	12,271,049.05	16,224,958.73	(2,586,856.81)	13,638,101.92
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	2266,953.91	-	-	627,294.42	627,294.42
55011	CENTRALIZED SERVICES-INSURANCE	173,250.30	157,991.30	193,462.30	(1,924.50)	191,527.80
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	-	-	-	-	-
55013	CENTRALIZED SERVICES-COPS	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING^(*)

SFS Fund	ACCOUNT TITLE	October 31, 2019	November 30, 2019	December 31, 2019	Change	January 31, 2020
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55015	CENTRALIZED SERVICES-HOMER FOLKS	1,608,643.92	1,565,919.79	1,628,566.47	(390,835.44)	1,237,731.03
55016	CENTRALIZED SERVICES-IMMIGS	393,527.51	248,638.45	271,861.11	186,618.91	458,480.02
55017	DOWNSTATE WAREHOUSE	-	3,954,819.15	4,406,719.06	(1,900,924.51)	2,505,794.55
55018	BUILDING ADMINISTRATION	-	-	-	-	-
55019	LEASE SPACE INITIATIVE	56,897,173.04	61,261,079.71	63,815,776.94	(4,520,474.78)	59,295,302.16
55020	OGS ENTERPRISE CONTRACTING ACCT	7,146,143.73	6,977,640.35	7,273,044.60	236,273.58	7,509,318.18
55021	NYS MEDIA CENTER	16,002,896.11	17,918,524.05	20,106,078.50	2,131,716.45	22,237,794.95
55022	BUSINESS SERVICES CENTER	-	-	-	-	-
55052	ARCHIVES RECORD MGMT I.S.	-	-	-	-	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	127,926.02	11,046.39	488,933.07	(466,785.07)	22,148.00
55057	BANKING SERVICES ACCOUNT	1,590,562.74	1,800,873.45	2,049,970.42	321,257.49	2,371,227.91
55058	CULTURAL RESOURCE SURVEY	11,170,908.49	10,958,347.84	10,770,306.65	530,261.09	11,300,567.74
55059	NEIGHBOR WORK PROJECT	2,187,084.16	3,378,751.17	841,311.13	1,482,666.49	2,323,977.62
55060	AUTOMATIC/PRINT CHARGBACKS	2,239,828.23	2,239,828.23	2,239,828.23	596.31	2,240,424.54
55061	OFT NYT ACCT	45,381,789.50	44,947,987.77	45,074,847.53	(4,700,470.08)	40,374,377.45
55062	DATA CENTER ACCOUNT	1,261,584.27	1,261,584.27	1,261,584.27	-	1,261,584.27
55066	CYBER SECURITY INTRUSION ACCT	113,628.58	93,592.92	120,045.45	(17,844.80)	102,200.65
55067	DOMESTIC VIOLENCE GRANT	58,630,619.65	53,910,033.38	51,711,438.23	(1,090,658.17)	50,620,780.06
55069	CENTRALIZED TECHNOLOGY SERVICES	336,012.60	636,365.59	824,767.45	(416,029.15)	408,738.30
55071	LABOR CONTACT CENTER ACCT	1,082,430.62	-	331,482.26	1,082,707.82	1,414,190.08
55072	HUMAN SERVICES CONTACT CNTR ACCT	-	-	-	-	-
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55074	CIVIL RECOVERIES ACCT	-	-	-	-	-
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	11,591,737.73	11,826,808.19	12,046,041.31	251,157.79	12,297,199.10
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	28,998,688.41	31,505,372.94	17,975,061.23	2,673,009.33	20,648,070.56
55300	HEALTH INSURANCE INTERNAL SERVICE	15,325,716.40	15,884,268.49	19,276,421.81	(10,201,570.54)	9,074,851.27
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	1,253,352.12	1,363,101.40	1,472,850.68	131,821.82	1,604,672.50
55350	CORR INDUSTRIES INTERNAL SERVICE	32,866,060.68	33,974,055.38	35,040,896.93	1,912,739.67	36,953,626.60
	TOTAL INTERNAL SERVICE FUNDS	330,280,635.02	335,579,538.94	333,449,938.91	(27,343,828.94)	306,106,109.97
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	\$ 4,806,221,91.55	\$ 4,519,715,942.45	\$ 5,245,450,059.39	\$ (695,170,747.15)	\$ 4,550,279,312.24

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 59, Part 1TT, Section 1, of the Laws of 2019-20. Such 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 172 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).

APPENDIX G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	10 Months Ended January 31, 2020
OPENING CASH BALANCE	\$ 16,298,833	\$ 228,895,088	\$ 67,983,418	\$ 126,634,302	\$ 99,294,725	\$ 98,280,268	\$ 131,509,913	\$ 78,080,573	\$ 39,558,861	\$ 42,917,918			\$ 16,298,833
RECEIPTS:													
Transfers from General Fund (**)	250,000,000	-	200,000,000	50,000,000	70,000,000	100,000,000	100,000,000	70,000,000	170,000,000	100,000,000			1,110,000,000
Total Receipts	250,000,000	-	200,000,000	50,000,000	70,000,000	100,000,000	100,000,000	70,000,000	170,000,000	100,000,000			1,110,000,000
DISBURSEMENTS:													
Affordable and Homeless Housing	-	1,460,000	18,256,090	-	1,574,403	25,407,411	1,811,458	78,556,285	1,076,930	37,388,423			165,535,000
Broadband Initiative	1,906,857	22,713,440	5,454,209	12,367,387	1,905,302	6,084,561	13,381,336	770,343	6,031,925	12,338,912			82,954,272
Downtown Revitalization	-	-	516,408	151,311	161,511	63,446	192,519	377,686	1,548,801	82,082			3,066,861
Health Care / Hospital Initiatives (***)	1,376,141	66,909,227	2,203,139	5,379,040	1,033,482	2,853,386	2,108,372	(26,657,805)	(25,673,320)	4,096,771			33,631,033
Empire State Poverty Reduction Initiatives	1,174,678	643,317	1,630,974	1,884,546	638,637	2,373,357	1,747,976	998,069	4,022,033	6,403,014			21,516,601
Information Technology/Infrastructure for Behavioral Sciences	-	-	-	-	-	-	-	-	-	-			-
Infrastructure Improvements	-	298,303	697,554	604,723	62,372	3,874	215,879	-	771,428	844,697			3,398,630
Infrastructure Expansion	-	-	87,959,699	-	-	-	77,053,217	-	106,264,862	1,000,000			271,274,009
Life Sciences Initiative	-	-	-	-	500,000	4,420	161,331	-	2,500,000	1,520,754			4,004,420
Municipal Restructuring / Consolidation Competition	1,257,796	1,322,544	884,297	584,993	1,239,887	68,308	161,331	1,527,320	1,252,791	1,520,754			9,811,021
Penn. Station Access	-	-	-	-	-	-	(14,140)	-	-	-			-
Resiliency, Mitigation, Security and Emergency Response	32,703	4,101,595	100,755	8,723	(953)	-	1,277,455	4,191	155,951	521,801			4,226,683
Southern Tier / Hudson Valley Farm Initiative	10,000	73,340	4,871	20,000	173,311	-	42,024,591	40,235,999	29,622,000	14,314,894			2,240,920
Thruway Stabilization Program	15,988,205	29,132,267	20,630,646	42,058,113	49,057,748	25,685,242	1,104	3,107,627	5,602,004	2,610,519			308,748,612
Transformational Economic Development Projects	5,122,897	8,707,914	1,701	4,492,613	2,754,194	2,500,000	1,104	-	-	-			34,900,573
Transportation Capital Plan	-	-	-	(3,626)	11,923,563	1,728,351	13,468,442	9,600,000	33,485,406	3,491,988			122,653,672
Upstate Revitalization Program	10,833,898	25,249,723	3,102,575	9,791,754	-	-	-	-	-	-			-
Total Disbursements	37,703,745	160,611,670	141,349,116	77,339,577	71,014,457	66,770,355	153,429,340	108,521,712	166,640,943	84,613,765			1,067,994,680
OPERATING TRANSFERS:													
Transfers to General Fund	-	-	-	-	-	-	-	-	-	-			-
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-			-
Total Disbursements and Transfers	37,703,745	160,611,670	141,349,116	77,339,577	71,014,457	66,770,355	153,429,340	108,521,712	166,640,943	84,613,765			1,067,994,680
CLOSING CASH BALANCE	\$ 228,595,088	\$ 67,983,418	\$ 126,634,302	\$ 99,294,725	\$ 98,280,268	\$ 131,509,913	\$ 78,080,573	\$ 39,558,861	\$ 42,917,918	\$ 58,304,153			\$ 58,304,153

(*) 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

(***) November and December disbursement amounts include repayment of a loan pursuant to Public Health Law §2615.

APPENDIX H

STATE OF NEW YORK
MEDICAL ASSISTANCE DISBURSEMENTS - STATE FUNDS^(*)
FISCAL YEAR 2019-2020

	JANUARY 2020			10 MONTHS ENDED JANUARY 31		
	Department of Health	Other State Agencies	January	Department of Health	Other State Agencies	Year to Date
Adult State Share Medicaid	\$ -	\$ -	\$ -	\$ -	\$ 53,653,399.00	\$ 53,653,399.00
State Share Medicaid	31,309,736.00	843,818.18	32,153,554.18	149,173,375.00	(11,006,442.44)	138,166,932.56
Medical Assistance (OPWDD)	-	-	-	-	63,347,284.00	63,347,284.00
Medical Assistance Administration	4,796,923.75	189,099,791.00	193,896,714.75	50,017,253.42	441,011,232.00	491,028,485.42
Population Health Improvement	206,592.28	-	206,592.28	3,330,852.18	-	3,330,852.18
Traumatic Brain Injury Services	917,927.91	-	917,927.91	9,416,841.06	-	9,416,841.06
Nursing Home Transition & Diversion	566,759.41	-	566,759.41	1,355,527.06	-	1,355,527.06
Reducing Maternal Mortality	-	-	-	488,804.55	-	488,804.55
New York Connects	-	2,350,933.15	2,350,933.15	-	20,112,364.56	20,112,364.56
Facilitated Enrollment	361,643.08	-	361,643.08	3,089,976.34	-	3,089,976.34
Emergency Medical Transportation	-	-	-	2,250,000.00	-	2,250,000.00
Managed Long-Term Care Ombudsman	433,523.37	-	433,523.37	4,524,672.75	-	4,524,672.75
Major Academic Pool	-	-	-	24,500,000.00	-	24,500,000.00
Women's Health & Multiple Births	-	-	-	15,000.00	-	15,000.00
Vital Access Program (OASAS)	-	-	-	5,770,000.00	-	5,770,000.00
Vital Access Program (OMH)	-	-	-	2,819,043.00	-	2,819,043.00
General Hospitals Safety-Net Providers	-	-	-	81,851,865.00	-	81,851,865.00
Rural Transportation	-	-	-	4,000,000.00	-	4,000,000.00
AIDS Epidemic	1,001,104.00	-	1,001,104.00	11,800,345.50	-	11,800,345.50
Fluoridation Systems	9,220.00	-	9,220.00	1,474,301.73	-	1,474,301.73
Expanding Caregiver Support Services	2,702,789.93	-	2,702,789.93	21,669,058.53	-	21,669,058.53
Provide Affordable Housing	1,065,119.34	1,756,755.80	2,821,875.14	14,383,989.16	18,356,620.74	32,740,609.90
Health Homes Establishment	208,668.17	-	208,668.17	758,761.77	-	758,761.77
Community Provider Network	15,778,575.93	-	15,778,575.93	50,367,963.43	-	50,367,963.43
Inpatient Services	43,465,883.11	-	43,465,883.11	888,410,669.15	-	888,410,669.15
Outpatient & Emergency Room Services	13,668,359.54	-	13,668,359.54	190,308,283.03	-	190,308,283.03
Clinic Services	13,143,928.93	-	13,143,928.93	250,036,820.77	-	250,036,820.77
Nursing Home Services	4,008,591.84	-	4,008,591.84	294,385,372.03	-	294,385,372.03
Other Long Term Care Services	981,594,002.07	-	981,594,002.07	9,439,255,658.60	-	9,439,255,658.60
Managed Care Services	515,216,353.70	-	515,216,353.70	3,115,631,497.49	-	3,115,631,497.49
Pharmacy Services	18,224,455.34	-	18,224,455.34	227,815,472.53	-	227,815,472.53
Transportation Services	19,433,229.10	-	19,433,229.10	202,754,744.21	-	202,754,744.21
Dental Services	665,743.26	-	665,743.26	7,977,251.26	-	7,977,251.26
Non-Institutional & Other	(193,528,843.07)	48,075.00	(193,480,768.07)	1,140,140,155.30	12,926,093.00	1,153,066,248.30
Medical Services State Facilities	283,006,675.19	-	283,006,675.19	1,322,739,339.14	-	1,322,739,339.14
CSEA Family Health Plus Buy In	197,508.62	-	197,508.62	2,398,283.34	-	2,398,283.34
Medical Assistance (HCRA)	330,000,000.00	-	330,000,000.00	3,431,000,000.00	-	3,431,000,000.00
Indigent Care	87,164,226.61	-	87,164,226.61	792,508,384.37	-	792,508,384.37
Provider Assessments	167,000,000.00	-	167,000,000.00	801,600,000.00	-	801,600,000.00
TOTAL^(**)	2,342,618,897.41	194,099,373.13	2,536,718,270.54	22,550,019,561.70	598,400,550.86	23,148,420,112.56
Reclassification of Medical Assistance payments for care and treatment of patients at State-operated health, mental hygiene and State University facilities to Transfers.						
	(250,980,449.71)		(250,980,449.71)	(1,603,069,210.80)		(1,603,069,210.80)
TOTAL REPORTED MEDICAID	\$ 2,051,638,447.70	\$ 194,099,373.13	\$ 2,245,737,820.83	\$ 20,946,950,350.90	\$ 598,400,550.86	\$ 21,545,350,901.76

^(*) General Fund and State Special Revenue Funds only.
These amounts do not include Medical Assistance spending for State Operations.
These amounts are not comparable to Medicaid Global Cap spending.
Department of Health regularly reclassifies spending between programs,
and therefore amounts for any individual program may be restated by DOH.
^(**)Source: Statewide Financial System

APPENDIX I

(*) Special Revenue Federal Funds only.
These amounts do not include Medical Assistance spending for State Operations.
These amounts are not comparable to Medicaid Global Cap spending.
(**) Source: Statewide Financial System
(***) Reported Medicaid spending does not include the Basic Health Plan.



State of New York

Interim Financial Report Governmental Funds

For the nine months ended December 31, 2019

(Pursuant to Section 8(9a) of the State Finance Law)

New York State Comptroller
THOMAS P. DINAPOLI



STATE OF NEW YORK
 Combined Balance Sheet
 Governmental Funds
 December 31, 2019
 (Amounts in thousands)(Unaudited)

	General	Federal Special Revenue	Special Revenue	Debt Service	Capital Projects
ASSETS:					
Cash and investments.....	\$ 7,968,110	\$ 2,338,238	\$ 6,213,524	\$ 2,084,477	\$ 1,256,334
Receivables, net of allowances for uncollectibles:					
Taxes.....	7,848,285	-	884,629	7,378,015	55,450
Due from Federal government.....	12	7,990,214	-	3,701	590,165
Other.....	1,773,721	823,525	1,583,604	109,763	165,885
Due from other funds.....	4,580,888	73,536	67,357	354,862	853,306
Other assets.....	1,049,383	11,593	135	-	205,584
Total assets.....	\$ 23,220,399	\$ 11,237,106	\$ 8,749,249	\$ 9,930,818	\$ 3,126,724
LIABILITIES:					
Tax refunds payable.....	\$ 5,292,267	\$ -	\$ 553,653	\$ 4,480,807	\$ 21,456
Accounts payable.....	184,141	320,722	64,594	466	216,722
Accrued liabilities.....	5,483,288	3,390,107	17,668	25,753	67,435
Payable to local governments.....	12,910,100	3,509,282	2,313,040	453,730	177,936
Due to other funds.....	4,084,913	861,801	352,603	2,193,522	1,438,459
Pension contributions payable.....	371,043	-	-	-	-
Unearned revenues.....	104,170	2,596,413	-	389	-
Total liabilities.....	28,429,922	10,678,325	3,301,558	7,154,667	1,922,008
DEFERRED INFLOWS OF RESOURCES.....	719,983	527,733	383,145	248,737	37,429
FUND BALANCES:					
Restricted.....	-	31,048	1,658,642	1,103,670	349,514
Committed.....	-	-	2,321,530	1,423,744	2,652,721
Assigned.....	-	-	3,362,628	-	62,733
Unassigned.....	(5,929,506)	-	(2,278,254)	-	(1,897,681)
Total fund balances.....	(5,929,506)	31,048	5,064,546	2,527,414	1,167,287
Total liabilities, deferred inflows of resources and fund balances.....	\$ 23,220,399	\$ 11,237,106	\$ 8,749,249	\$ 9,930,818	\$ 3,126,724

See accompanying notes to the financial statements.

STATE OF NEW YORK

Combined Statement of Revenues, Expenditures and Changes in Fund Balances (Deficits)

Governmental Funds

For the Nine Months Ended December 31, 2019

(Amounts in thousands)(Unaudited)

	General		Federal Special Revenue		Special Revenue		Debt Service		Capital Projects	
	Quarter Ended December 31, 2019	9 mos. Ended December 31, 2019	Quarter Ended December 31, 2019	9 mos. Ended December 31, 2019	Quarter Ended December 31, 2019	9 mos. Ended December 31, 2019	Quarter Ended December 31, 2019	9 mos. Ended December 31, 2019	Quarter Ended December 31, 2019	9 mos. Ended December 31, 2019
REVENUES:										
Taxes.....	\$ 10,210,267	\$ 26,791,098	\$ -	\$ -	\$ 1,695,418	\$ 4,200,751	\$ 9,060,825	\$ 27,149,011	\$ 356,302	\$ 1,061,248
Federal grants.....	22	18,834	17,573,873	47,974,362	-	17,438	-	17,438	593,285	1,446,122
Miscellaneous.....	18,338,184	48,210,695	49,596	125,662	1,840,816	5,388,616	140,128	413,505	656,485	1,600,672
Total revenues.....	28,548,473	75,020,627	17,623,469	48,100,024	3,536,234	9,589,367	9,200,953	27,579,954	1,606,072	4,108,042
EXPENDITURES:										
Local assistance grants.....	7,145,105	45,039,861	16,443,262	45,008,427	4,554,700	15,193,664	8,629	13,631	1,206,100	3,437,945
State operations.....	21,112,987	58,978,241	491,388	1,430,820	114,197	342,211	-	-	-	-
Debt service, including payments on financing arrangements.....	-	-	-	-	-	-	868,142	2,561,064	1,613,896	4,662,495
Capital construction.....	-	-	-	-	-	-	-	-	-	-
Total expenditures.....	28,258,092	104,018,102	16,934,650	46,439,247	4,668,897	15,535,875	876,971	2,574,685	2,819,996	8,100,440
Excess (deficiency) of revenues over expenditures.....	290,381	(28,997,475)	688,819	1,660,777	(1,132,663)	(5,946,508)	833,982	25,005,269	(1,213,924)	(3,992,398)
OTHER FINANCING SOURCES (USES):										
Transfers from other funds.....	8,283,580	27,494,896	-	-	1,330,136	3,684,664	871,116	2,196,937	-	2,697,591
Transfers to other funds.....	(1,468,841)	(7,807,274)	(661,269)	(1,636,919)	(28,891)	(180,905)	(8,259,174)	(27,578,195)	(227,142)	(830,084)
Financing arrangements issued.....	-	-	-	-	-	-	-	-	1,404,585	2,414,015
Refunding debt issued.....	-	-	-	-	-	-	1,242,440	1,333,965	-	-
Payments to escrow agents for refundings.....	-	-	-	-	-	-	(802,148)	(903,428)	-	-
Premiums on bonds issued.....	-	-	-	-	-	-	15,902	26,612	136,786	357,169
Net other financing sources (uses).....	6,814,739	19,687,622	(661,269)	(1,636,919)	1,301,245	3,503,759	(6,931,864)	(24,924,119)	1,314,229	4,638,691
Net change in fund balances.....	7,105,120	(9,309,853)	27,550	23,858	168,582	(2,442,749)	1,392,118	81,150	100,305	646,293
Fund balances (deficits) at beginning of period.....	(13,034,626)	3,380,347	3,498	7,190	4,895,964	7,507,295	1,135,296	2,446,264	1,066,982	520,994
Fund balances (deficits) at December 31, 2019.....	\$ (5,929,506)	\$ (5,929,506)	\$ 31,048	\$ 31,048	\$ 5,064,546	\$ 5,064,546	\$ 2,527,414	\$ 2,527,414	\$ 1,167,287	\$ 1,167,287

See accompanying notes to financial statements.

STATE OF NEW YORK
Notes to Financial Statements
December 31, 2019 (Unaudited)

NOTE 1

The accounting policies and methods of estimating and accumulating financial data for preparation of the December 31, 2019 interim financial statements for governmental fund types are similar to those used to prepare the March 31, 2019 governmental fund financial statements.

The implementation of GASB Statement 84, Fiduciary Activities, has been initiated in the interim financial statements for the fiscal year ending March 31, 2020, with the movement of the MMIS Statewide Escrow fund from Agency Funds to the General Fund.

NOTE 2

Within the governmental funds, transfers to other funds exceeded transfers from other funds by \$1,959 million. Subsidies to the State University of New York and the Senior Colleges of the City University of New York totaling \$4,709 million are reported as transfers to other funds offset by \$2,750 million in Enterprise Funds subsidies which are reported as transfers from other funds.

NOTE 3

The following table presents a reconciliation of the budgetary cash basis operating results for the nine months ended December 31, 2019 as reported in the State Register, with the operating results for Governmental Fund Types prepared in accordance with generally accepted accounting principles (amounts in thousands):

	<u>General</u>	<u>Federal Special Revenue</u>	<u>Special Revenue</u>	<u>Debt Service</u>	<u>Capital Projects</u>
Excess (deficiency) of receipts and other financing sources over (under) disbursements and other financing uses	\$ 974,000	\$ 3,252,800	\$ (232,400)	\$ 920,300	\$ 10,600
Entity differences:					
Receipts and other financing sources over (under) disbursements and other financing uses for funds and accounts not included in the cash basis financial plan	(330,808)	(27,757)	344,503	(1,066,394)	(434,230)
Perspective differences:					
Receipts and other financing sources over (under) disbursements and other financing uses of the Miscellaneous Special Revenue Account, Infrastructure Trust Account, Child Performer's Protection Account and Charter Schools Stimulus Account, which are treated as Special Revenue Funds in the financial plan and as part of the General Fund for GAAP reporting	372,413	-	(372,413)	-	-
Agency Funds	(1,654,082)	-	-	-	-
College and University Funds	-	-	178,650	-	(47,307)
Lottery Fund	-	-	730,512	-	-
Temporary interfund cash loans	706,022	(1,029,084)	260,026	-	63,036
Basis of accounting differences:					
To adjust for revenue accruals	(1,986,091)	(3,638,526)	(879,921)	(223,091)	499,839
To adjust for expenditure accruals	(7,391,307)	1,466,425	(2,471,706)	450,335	554,355
Net change in fund balances	\$ (9,309,853)	\$ 23,858	\$ (2,442,749)	\$ 81,150	\$ 646,293

STATE OF NEW YORK
Notes to Financial Statements
December 31, 2019 (Unaudited) (cont'd)

NOTE 4

During the nine months ended December 31, 2019, there were five debt refunding issues. The impact of these issues is presented in the following table (amounts in thousands):

Issue Description	Refunding Amount	Refunded Amount	Cash Flow Gain	Present Value Gain
NYS General Obligation Refunding Bond Series 2019B	\$ 914,300	\$ 888,520	\$ 119,370	\$ 112,447
NYS Dormitory Authority PIT General Purpose Bond Series 2019A	91,515	101,070	11,055	10,114
NYS Dormitory Authority PIT General Purpose Bond Series 2019C*	79,000	79,000	-	-
Urban Development Corporation Sales Tax Bond Series 2019A	231,525	260,670	12,614	13,378
Urban Development Corporation Sales Tax Bond Series 2019B	17,615	17,010	685	783
Total	\$ 1,333,955	\$ 1,346,270	\$ 143,724	\$ 136,722

* This refunding refunded variable rate securities - no savings reports were generated.

Office of the New York State Comptroller

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