
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 May 30, 2021
- the 45-day period expires on May 15, 2021
- the 30-day period expires on April 30, 2021

**ANDREW M. CUOMO
GOVERNOR**

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NEW YORK STATE DEPARTMENT OF STATE

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www.dos.ny.gov/info/register.htm



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

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

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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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RULE MAKING ACTIVITIES

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

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

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

Office of Children and Family Services

NOTICE OF ADOPTION

Behavior Health Services for Foster Kids in Congregate Facilities, Elimination of Room Isolation and Operation De-Escalation Rooms

I.D. No. CFS-46-19-00002-A

Filing No. 257

Filing Date: 2021-03-15

Effective Date: 2021-03-31

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

Action taken: Amendment of sections 441.4, 441.17, 441.22 and 442.2 of Title 18 NYCRR.

Statutory authority: Social Services Law, sections 20, 34 and 462(1)(a)

Subject: Behavior health services for foster kids in congregate facilities, elimination of room isolation and operation de-escalation rooms.

Purpose: Behavior health services for foster kids in congregate facilities, elimination of room isolation and operation de-escalation rooms.

Substance of final rule: The proposed amendment of 18 NYCRR 441.4 would require child care agencies to develop and maintain policies on agency continuous quality improvement and residents' personal property. The proposed regulation would also repeal the requirement that the child care agency develop and maintain a policy on room isolation.

The proposed amendment of 18 NYCRR 441.17 would eliminate the authority of child care agencies to use room isolation, mechanical restraints, pharmacological restraints, and prone holding techniques as a

form of restraint of children in foster care. The proposed amendment would require that children cared for in an institution licensed by OCFS receive a post restraint health review. In addition, the proposed amendment would require a specified notification of designated persons and agencies of the physical restraint of a child.

The proposed amendment of 18 NYCRR 441.22 would conform the process for HIV testing of children in foster care to the standards set forth in Article 27-f of the Public Health Law and the regulations of the New York State Department of Health set forth 10 NYCRR Part 63. Additional amendments would require child care agencies to provide comprehensive behavioral health services to children in foster care who are cared for in a congregate facility (an institution, group residence, group home or agency-operated boarding home). The proposed amendment would require the timely development of an individualized crisis intervention plan for each such child. In addition, the proposed amendment would require the timely development and update of a treatment plan for children in foster care placed in congregate settings. Such plan would be subject to development and review by a designated treatment team and consultation with other professionals. The proposed amendment would require that child care agencies, where indicated, provide mental, behavioral and substance use/abuse services to children in foster care placed in congregate facilities on a regular basis.

The proposed amendment of 18 NYCRR 442.2 would preclude a child care institution from maintaining or operating an isolation room. The proposed amendment would authorize a child care institution to establish and operate a de-escalation room for the purpose of calming a child in foster care and averting the need for greater intervention. Use of the de-escalation room would require the child's consent. The proposed amendment would establish standards for the operation of the de-escalation room, including frequency, staffing, and the composition of the de-escalation room.

Final rule as compared with last published rule: Nonsubstantive changes were made in sections 441.17(g), 441.22(a), 442.2(a), (c), (h).

Revised rule making(s) were previously published in the State Register on November 18, 2020.

Text of rule and any required statements and analyses may be obtained from: Frank J. Nuara, Associate Attorney, New York State Office of Children and Family Services, 52 Washington Street, Rensselaer, New York 12144, (518) 474-9778, email: regcomments@ocfs.ny.gov

Revised Regulatory Impact Statement

1. Statutory Authority:

Section 20(3) (d) of the Social Services Law (SSL) authorizes the Office of Children and Family Services (OCFS) to establish rules and regulations to carry out its powers and duties pursuant to the provisions of the SSL.

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

Section 462(1)(a) of the SSL requires OCFS to promulgate regulations concerning standards of care, treatment and safety applicable to all facilities exercising care or custody of children.

2. Legislative Objectives:

Chapter 436 of the Laws of 1997, created OCFS to take on the functions, powers, duties and obligations in the SSL concerning foster care, adoption services, adoption assistance, child protective services, preventive services for children and families, services for pregnant adolescents, day services, and other services and programs identified in article 6 of the SSL regarding the care and protection of children and under the structure and authority of article 2 of the SSL. This proposed rule enhances that responsibility by addressing the issue of risk of physical and psychological harm. The policy of the State is to require comprehensive behavioral health services for each foster child placed in a congregate foster care placement through the creation of individualized crisis intervention plans and treatment plans. The provisions cited above clearly provide the Office with the authority to create this regulation.

3. Needs and Benefits:

The proposed regulations recognize the risk of trauma of foster children when placed in foster care and the ongoing need to address that risk while preparing the child for discharge from foster care. Children frequently experience physical and psychological trauma before entering foster care and often react in an individualized manner to trauma experienced while in foster care.

The proposed regulations would establish standards for the development of the timely creation and review of a crisis intervention plan for each foster child placed in either an institution, group residence, group home or agency-operated boarding home. Such plan must be child-specific and consider the child's behavioral history and needs. The crisis intervention plan must include de-escalation and other intervention strategies to address potential acute physical behavior of the child to reduce the risk of harm. The proposed regulations would also require the development of a treatment plan for each foster child placed in a congregate placement intended not only to address issues the child may experience while in care but also to prepare the child for a safe and appropriate discharge. The treatment plan would be developed by a treatment team comprised of agency staff, clinicians, medical personnel, the child's primary discharge resource and others. A component of the treatment plan includes a review of any medications the foster child receives, in consultation with the prescribing psychiatrist or other medical professional.

The proposed regulations would require that, where indicated, the agency caring for the foster child must provide mental, behavioral and substance use/abuse services to such foster child on a regular basis.

The proposed regulations would eliminate the ability of a child care agency to involuntarily place a foster child in room isolation as a means of restraint. The authority of a child care agency to maintain an isolation room would be eliminated. In the alternative, the proposed regulations would authorize a child care agency operating an institution to permit a foster child, consistent with the child's treatment plan, to be cared for with the consent of the foster child in a room to calm escalating behavior. The proposed regulations would establish standards for the staffing, duration of placement, supervision and physical makeup of the de-escalation room. The proposed regulations would also require the assessment of any foster child placed in a de-escalation room for more than two hours by either a medical or mental health professional.

The requirement that each child care agency develop a continuous quality improvement policy would help agencies identify existing and potential issues impacting the quality of care provided to foster children and to formulate plans on addressing and ameliorating such issues. The requirement that a child care agency establish a policy on residents' personal property is consistent with the recognition of the rights of foster children.

4. Costs:

The proposed regulations codify existing practice in agencies. Costs include additional responsibilities for agency administrative and clinical staff. The additional clinical staff responsibilities would be funded through the Residual Medicaid per diem and the administrative responsibilities through the Maximum State Aid Rate for the program. The cost to the state is expected to be negligible.

5. Local Government Mandates:

The proposed regulations would require the development of individualized crisis intervention plans and treatment plans for each foster child placed in a congregate facility. Such plans would either be developed directly by a local department of social services (LDSS) or voluntary authorized agency with which the LDSS contracts.

Regarding the provision of services to foster children in such placements, OCFS regulation 18 NYCRR 441.15 currently requires the provision of psychiatric, psychological, and other essential services to children in foster care.

Regarding the requirement that child care agencies establish policies involving continuous quality improvement and resident's personal property, several agencies already have such policies and OCFS will assist in their development by providing agencies with best practice guidance.

Regarding the operation of de-escalation rooms, the establishment of such rooms is not required.

Regarding the standards for HIV testing, these provisions are already in law, and this package conforms these regulations with existing legal standards.

6. Paperwork:

The requirements imposed by the proposed regulations in relation to the individualized crisis intervention plan and the foster child's treatment plan would be recorded in the child's case record.

7. Duplication:

The proposed regulations would not duplicate other state or federal requirements.

8. Alternatives:

In response to public comments the agency considered alternatives to what was originally proposed in both the first amended proposed regulations and in this version. Changes in this version include:

- Added language to clarify that restraints are an exceptional intervention.
- Changed post restraint "medical exam" to a post-restraint "health review".
- Changes requirements for post-restraint health review to indicate that when a restraint occurs outside of working hours for medical staff, the post-restraint health review must occur as soon as practicable the next day.
- Changes a requirement for notifications to parents, county, and attorney for child after a restraint from the original proposed change of 2 hours to within 24 hours.
- Clarifies that attempts to contact all required individuals following a restraint (i.e. parent/guardian, attorney for the child, etc.) be documented for instances where such individuals are not immediately reachable.
- Changes the time frame for when a child placed in a congregate care program must receive a screening from a validated instrument to determine at minimum suicidality, chemical dependence requiring immediate medical intervention and prescribed medications from 24 to 72 hours.
- Renames the term "treatment team" to "support team".
- Provides additional details for requirements regarding frequency for a youth's support plan by a support team.
- Adds a requirement that the child's support team include a clinical team member.
- Clarified that de-escalation rooms should not be confused with or treated the same as therapeutic sensory rooms.
- Clarified the terms of use and duration of use of the de-escalation rooms.
- Clarified that after use of the de-escalation room an assessed by a medical or mental health professional must occur as soon as practicable, but no later than the next day if the instance occurred after the close of business.

9. Federal Standards:

The proposed regulations would not conflict with current federal standards.

10. Compliance Schedule:

Compliance with the proposed regulations would begin immediately upon final adoption.

Revised Regulatory Flexibility Analysis

1. Effect of Rule:

The proposed regulations will affect local departments of social services and the approximately 83 voluntary authorized agencies in New York State. The edits made to the Express Terms in this revised rulemaking in response to the public comments do not require any changes to the RFA.

2. Compliance Requirements:

The proposed regulations would require child care agencies operating congregate facilities (institutions, group residents, group homes and agency operated boarding homes) to provide comprehensive behavioral health services to foster children in their care. The child care agency would be required to provide, where indicated, mental, behavioral and substance use/abuse services to foster children in its care on a regular basis.

The proposed regulations would require that each foster child placed in a congregate setting have a timely individualized crisis intervention plan designed to address potential acute physical behavior and identify interventions designed to respond to such behavior reducing risk to the child. In addition, the proposed regulations would require that a specified treatment team develop a treatment plan for each foster child placed in a congregate facility. The treatment plan must be updated periodically in consultation with appropriate professionals.

The proposed regulations would require child care agencies operating residential programs to establish and maintain policies on continuous quality improvement and resident's personal property.

Where a child care agency operates a de-escalation room, the proposed regulations would require the child care agency to maintain daily records on the foster children placed in the de-escalation room, as well as other methods of intervention that were tried and proven unsuccessful and the steps that will be taken to reduce the time the child remains in the de-escalation room.

The proposed regulations would require that all children cared for in an institution licensed by OCFS receive a post-physical restraint health review.

The proposed regulations require notification of the parent, guardian or other person legally responsible, as applicable, and the authorized agency with legal custody of a child who was physically restrained. Such notification issued by the restraining authorized agency must include that the child was physically restrained, any injuries the child experienced as a result of the physical restraint and any contacts with the Justice Center's Vulnerable Persons' Central Register.

3. Professional Services:

The proposed regulations would require that the foster child's treatment team include medical personal if the foster child is prescribed psychiatric

medication and the review of the treatment plan with the prescribing psychiatrist or medical professional.

4. Compliance Costs:

Compliance costs for foster care program staff participating in treatment teams are expected to be negligible, though the requirement for follow up each 30 days may be significant to warrant review by the Department of Health for impact of additional clinical staff time funded by Residual Medical per diem rates.

5. Economic and Technological Feasibility:

It is anticipated that the proposed regulations would not have a significant adverse economic impact on local departments of social service or voluntary authorized agencies requiring the hiring of additional staff.

Current OCFS regulation 18 NYCRR 441.15 requires child care agencies to provide psychiatric, psychological and other essential services to foster children in their care. Agency staff, either as case managers, case planners or social workers, are currently assigned to service development and delivery to children in foster care. It is anticipated that such staff will assume the duties enacted by the proposed regulations.

6. Minimizing Adverse Impact:

It is not anticipated that the proposed regulations would result in an adverse impact on local government agencies or small businesses. It is anticipated that the services and planning requirements will have the beneficial effect of reducing the length of stay of children in foster care and aid in preventing return to foster care. The additional policy requirements should be helpful in reducing liability expose and corresponding costs to child care agencies.

7. Small Business and Local Government Participation:

The issues addressed in the proposed regulations have been discussed over the years with child care agencies through several means, including OCFS Regional Office oversight and monitoring, meetings with agency representatives and OCFS mandated corrective action plans.

8. For rules that either establish or modify a violation or penalty:

The proposed regulations would not establish or modify an existing violation or penalty.

Revised Rural Area Flexibility Analysis

1. Types and estimated number of rural areas:

The proposed regulations will affect 44 local departments of social services and the approximately 35 voluntary authorized agencies in rural areas of New York State. The edits made to the Express Terms in this revised rulemaking in response to the public comments do not require any changes to the RFA.

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

The proposed regulations would require child care agencies operating congregate facilities (institutions, group residents, group homes and agency operated boarding homes) to provide comprehensive behavioral health services to foster children in their care. The child care agency would be required to provide, where indicated, mental, behavioral and substance use/abuse services to foster children in its care on a regular basis.

The proposed regulations would require that each foster child placed in a congregate setting have a timely individualized crisis intervention plan designed to address potential acute physical behavior and identify interventions designed to respond to such behavior reducing risk to the child. In addition, the proposed regulations would require that a specified treatment team develop a treatment plan for each foster child placed in a congregate facility. The treatment plan must be updated periodically in consultation with appropriate professionals.

The proposed regulations would require child care agencies operating residential programs to establish and maintain policies on continuous quality improvement and resident's personal property.

The proposed regulations would require that all children cared for in an institution licensed by OCFS receive a post-physical restraint health review.

The proposed regulations would require notification of the parent, guardian or other person legally responsible, as applicable, and the agency with legal custody of a child who was physically restrained. Such notification by the authorized agency that restrained the child must include that the child was physically restrained, any injuries experienced by the child as a result of the restraint and any contacts with the Justice Center's Vulnerable Persons' Central Register.

The behavioral health services provided to foster children are required by the proposed regulation would be recorded in the foster child's case record as would the individualized crisis intervention plan and the foster child's treatment plan.

Where a child care agency operates a de-escalation room, the proposed regulations would require the child care agency to maintain daily records on the foster children placed in the de-escalation room, as well as other methods of intervention that were tried and proven unsuccessful and the steps that will be taken to reduce the time the child remains in the de-escalation room.

3. Compliance costs:

The requirements of the regulations appear to codify current practice in child care agencies. Additional program costs for staff participating in treatment teams are expected to be negligible, though the requirement for follow up each 30 days may be significant to warrant review by the Department of Health for impact on the Residual Medical per diem rates.

4. Minimizing adverse impact:

The concept of addressing the behavioral health of foster children is not a new concept to child care agencies serving foster children. Current OCFS regulation 18 NYCRR 441.15 requires child care agencies to provide psychiatric, psychological and other essential services to foster children in their care. Several child care agencies already develop child specific plans for children in care to address potential acute physical behavior. OCFS is developing best practice policies to assist child care agencies develop policies on agency continuous quality improvement and resident's person property.

5. Rural area participation:

The issues addressed in the proposed regulations have been discussed over the years with child care agencies through several means, including OCFS Regional Office oversight and monitoring, meetings with agency representatives and OCFS mandated corrective action plans.

Revised Job Impact Statement

The proposed amendments to regulation will not have a negative impact on jobs or employment opportunities in either public or private child welfare agencies. A full job impact statement has not been prepared for the proposed regulations as it is assumed that they will not result in the loss of any jobs. The edits made to the Express Terms in this revised rulemaking in response to the public comments do not require any changes to the RFA.

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 no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

General:

- One commenter suggested that regulatory language be added related to which data should be collected/maintained by agencies. OCFS achieves this through our data collection and reporting structures. No changes were made.

- One commenter suggested an elimination of regulations related to costs. This suggestion falls outside of the scope of the amendments made to this regulatory package. No changes were made.

- One commenter suggested regulatory language be added regarding the COVID-19 vaccination priorities and for the use of general telemedicine and other innovative flexibilities resulting from the COVID-19 pandemic. This suggestion falls outside of the scope of the amendments made to this regulatory package. No changes were made.

441.17:

- Several commenters requested clarification around language pertaining to pharmacological restraints. The language to which they requested changes was stricken from the regs in the first instance. No changes were made.

- Several commenters agreed with the regulation's prohibition of prone restraints and made additional comments that cannot be addressed in regulatory language. No changes were made.

- One commenter suggested that the prohibition of prone restraints equates to an unfunded mandate due to the perceived requirement for additional staff to perform alternate techniques. We disagree as there are techniques currently available and provided that require the same or fewer staff. Additionally, increased attention around trauma responsive programming should decrease overall necessity for the use of physical interventions. No changes were made.

- Several commenters recommended clarification around the post-restraint medical exams requiring 24/7 medical coverage. We concur, changes were made.

- One commenter suggested the addition of clarifying language related to "post-restraint medical exam" and "post-physical restraint health review." We concur, changes were made.

- One commenter suggested that language should be added around documentation of efforts made regarding contacting people deemed essential to notify after a restraint. We concur, changes were made.

- Several commenters expressed concern about notifying parents after restraints who were not interested in being contacted regarding their children. Parents are essential partners in a successful system where youth are temporarily in the care and custody of a Commissioner of Social Services and engaging parents around important and traumatic incidents such as those that lead to restraints is critical. The comments are not consistent with the intent of the regulations. No changes were made.

- Several commenters recommended changes to the timeframes in

which post-restraint notifications should be made. We concur, changes were made.

- One commenter suggested further changes to the justification for the use of physical interventions. We believe that “acute physical behavior” is well understood in the field. No changes were made.

- One commenter suggested adding language that the use of restraints is an “exceptional intervention.” We concur, changes were made.

- One commenter suggested stronger regulatory language regarding training mandates. Trainings and policies related to training in restraint policies are monitored by OCFS and is more appropriate for internal agency policies which are approved by OCFS. No changes were made.

- Several commenters suggested changes related to costs, specific training requirements, use of video conferencing, and vaccination prioritization. Such details are not best addressed in regulation. No changes are necessary, and none were made.

441.19:

- One commenter suggested changes to 441.19(d). This suggestion falls outside of the scope of the amendments made to this regulatory package. No changes were made.

441.22:

- Several commenters recommended changes to the “treatment team” designation, as well as the scheduled updates. We concur, changes were made.

- Several commenters recommended changes to the treatment plan reviews and alignment with other required reviews. We concur, changes were made.

- One commenter proposed a time frame of 72 hours for the development of an individualized crisis intervention plan. We concur, changes were made.

442.2:

- One commenter suggested adding language related to de-escalation rooms and that they “may only” be used to assist in calming a child’s escalating behaviors. We concur, changes were made.

- One commenter suggested clarification between de-escalation rooms and therapeutic sensory rooms. We concur, changes were made.

- Several commenters suggested adding language elaborating on when a child may be permitted to stay in a de-escalation room longer than two-hours. We concur, changes were made.

- One commenter suggested a change to the language as to when a youth should be assessed by a medical or mental health professional upon being in a de-escalation room for more than two-hours. We concur, changes were made.

- One commenter recommended including risk assessment with high level administrative approval as an exception to the use of de-escalation rooms. We concur, changes were made.

Department of Civil Service

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-13-21-00005-P

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

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

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

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Substance of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Westchester County Service under the subheading “Office of the County Executive,” by adding thereto the position of Senior Assistant to County Executive III.

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

Data, views or arguments may be submitted to: Marc Hannibal, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: public.comments@cs.ny.gov

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

Regulatory Impact Statement

A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Rural Area Flexibility Analysis

A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Job Impact Statement

A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-13-21-00006-P

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

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

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

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Department of State, by increasing the number of positions of Associate Counsel from 3 to 4.

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

Data, views or arguments may be submitted to: Marc Hannibal, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: public.comments@cs.ny.gov

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

Regulatory Impact Statement

A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Rural Area Flexibility Analysis

A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Job Impact Statement

A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-13-21-00007-P

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

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

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

Subject: Jurisdictional Classification.

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

Text of proposed rule: Amend Appendix 2 of the Rules for the Classified Service, listing positions in the non-competitive class, in the Department of Family Assistance under the subheading "Office of Temporary and Disability Assistance," by adding thereto the positions of Information Systems Auditor 1 (11), Information Systems Auditor 2 (4) and Information Systems Auditor 3 (1).

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

Data, views or arguments may be submitted to: Marc Hannibal, Counsel, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: public.comments@cs.ny.gov

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

Regulatory Impact Statement

A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Rural Area Flexibility Analysis

A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Job Impact Statement

A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Jurisdictional Classification

I.D. No. CVS-13-21-00008-P

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

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

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

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text of proposed rule: Amend Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Westchester County Service under the subheading "Office of the District Attorney," by adding thereto the position of Program Administrator (Community Education) and by increasing the number of positions of First Deputy District Attorney from 2 to 4.

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

Data, views or arguments may be submitted to: Marc Hannibal, Counsel,

NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-2624, email: public.comments@cs.ny.gov
Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement

A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Rural Area Flexibility Analysis

A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Job Impact Statement

A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of proposed rule making, I.D. No. CVS-02-21-00001-P, Issue of January 13, 2021.

Division of Criminal Justice Services

NOTICE OF ADOPTION

Use of Force

I.D. No. CJS-30-19-00010-A

Filing No. 267

Filing Date: 2021-03-16

Effective Date: 2021-03-31

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

Action taken: Addition of Part 6058 to Title 9 NYCRR.

Statutory authority: Executive Law, sections 837(13) and 837-t

Subject: Use of Force.

Purpose: Set forth use of force reporting and recordkeeping procedures.

Text or summary was published in the July 24, 2019 issue of the Register, I.D. No. CJS-30-19-00010-EP.

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

Revised rule making(s) were previously published in the State Register on January 15, 2020 and November 18, 2020.

Text of rule and any required statements and analyses may be obtained from: Natasha Harvin-Locklear, Esq., Division of Criminal Justice Services, 80 S. Swan St., Albany, NY 12210, (518) 457-8413, email: dcjslegalrulemaking@dcjs.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2024, 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

Part 357 Intake for Article 7 (PINS)

I.D. No. CJS-44-20-00002-A

Filing No. 248

Filing Date: 2021-03-11

Effective Date: 2021-03-31

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

Action taken: Amendment of Part 357 of Title 9 NYCRR.

Statutory authority: Executive Law, section 243(1); Criminal Procedure Law, art. 722; Family Court Act, art. 3

Subject: Part 357 Intake for Article 7 (PINS).

Purpose: Update existing rule to reflect services which will be performed by Probation departments.

Text or summary was published in the November 4, 2020 issue of the Register, I.D. No. CJS-44-20-00002-P.

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

Text of rule and any required statements and analyses may be obtained from: Danise Linen, Division of Criminal Justice Services, 80 South Swan Street, Albany, NY 12210, (518) 457-8413, email: dcjslegalrulemaking@dcjs.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2024, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

While generally providing positive feedback for the proposed revisions to Part 357, the sole commentor, the Legal Aid Society ("LAS"), noted one area of concern. Specifically, LAS stated:

Sections 357.1 and 357.6 propose one change, however, which raises some concern. The amendments create separate definitions for "runaway" — "a youth whose whereabouts are unknown to the parent(s) . . ." — and "stayaway" — "a youth who has left home without permission from the parent(s) . . . , and the youth's whereabouts are known, but he/she has indicated no intention to return." While the creation of the "stayaway" category as distinct from the existing "runaway" category may provide guidance about what steps must be taken depending upon whether a young person's whereabouts are known or unknown, these definitions contradict the definition of "runaway youth" in the NY Runaway and Homeless Youth Act, NY Executive Law section 532, et seq., which provides that "[r]unaway youth" shall mean a person under the age of eighteen years who is absent from his or her legal residence without the consent of his or her parent, legal guardian or custodian. To avoid confusion resulting from these conflicting definitions, we submit that the new definitions in the regulations should be removed and the old definition of runaway restored. The responsibilities of probation departments with respect to runaways whose whereabouts are either known or unknown can be clarified in the regulations without relying upon these confusing definitions.

Division of Criminal Justice Services response:

The issue raised by LAS stems from potential confusion caused by the varying definitions of "runaway." It is implicit that the definitions provision contained in the proposed revisions apply exclusively to part 357. Along the same line, the definition of "runaway" provided in Executive Law § 532 was intended solely for the purposes of that article. Executive Law § 532 defines and addresses eligibility for runaway and homeless youth programming and services. The definitions provided in Executive Law § 532 are inapplicable and unrelated to intake for article 7 (PINS). It should be noted that the unrevised definition of "runaway" in the current part 357 differs from that of the "runaway" definition in Executive Law § 532; thus, the "old" definition of runaway is not analogous to Executive Law § 532. It should be further noted that a specific term is often defined for purposes of a particular article/section of law or regulation, and that the same term could have an entirely different definition elsewhere in law or regulation. Probation practitioners understand that definitions are relative to context and/or application of the rule/regulation or statute.

The Division of Criminal Justice Services believes the revised definitions are necessary to the application of part 357 and does not agree with the suggestion by LAS to keep the current definition of "runaway." The proposed revisions to part 357.1 and 357.6 allow for a greater distinction between runaway and stayaway behavior that will assist probation practitioners with providing necessary PINS diversion services. The proposed "runaway" definition specifies that a youth's whereabouts are unknown and allows probation practitioners to seek a warrant by referring the matter for petition in Family Court. By contrast a "stayaway" youth's location is known; but, the youth is refusing to reside with the parent/legal guardian. These are important practice distinctions that allow more opportunity for a "stayaway" case to remain in PINS diversion services for intervention and to initiate efforts at family reunification. Drawing the distinction between a "stayaway" youth and a "runaway" youth provides an alternative path of system engagement for the latter and supports safe options and improved outcomes for youth and their families.

The Division is grateful that LAS took the time to review and offer a thoughtful suggestion.

Education Department

EMERGENCY RULE MAKING

Addressing the COVID-19 Crisis

I.D. No. EDU-52-20-00018-E

Filing No. 256

Filing Date: 2021-03-15

Effective Date: 2021-03-15

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

Action taken: Amendment of sections 30-3.16, 100.5(a) and 155.17(f) of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 208, 209, 215, 305, 2801-a, 3009, 3012-d, 3204 and 3205

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

Specific reasons underlying the finding of necessity: On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the 2019-2020 school year and 2020 summer school except for extended school year (ESY) services. The Governor of New York announced that schools across the State were permitted to open in the fall and required all school districts to submit re-opening plans to the Department and the Department of Health. In response, the Department adopted emergency regulations at the April, May, June, July, September, October, November, and December 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis and to plan for the reopening of schools. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, it is necessary for the Department to adopt further regulatory amendments related to the following:

- APPR variance timeframes;
- Snow emergency day reporting; and
- Declination of exemptions for graduation assessment requirements.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (nonemergency) adoption, after publication in the State Register and expiration of the 60-day public comment period required in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), is the April 2021 Regents meeting. However, because the COVID-19 crisis is presently affecting the State of New York, emergency action is necessary for the preservation of public health and the general welfare in order to immediately address issues arising from the COVID-19 crisis and to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis and to ensure that the emergency action taken at the December meeting remains continuously in effect.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the April 2021 Regents meeting, which is the first scheduled meeting after the 60-day public comment period prescribed in SAPA for State agency rule making.

Subject: Addressing the COVID-19 crisis.

Purpose: To address issues resulting from the COVID-19 crisis and to provide regulatory flexibility due to the COVID-19 crisis.

Text of emergency rule: 1. Subdivision (d) of section 30-3.16 of the Rules of the Board of Regents is amended by adding a new paragraph (4) to read as follows:

(4) *Notwithstanding the timeframes contained in paragraphs (1) and (2) of this subdivision, upon a finding by the commissioner of extraordinary circumstances, variance applications approved after December 1 of a school year may be implemented in that school year.*

2. Subdivision (f) of section 155.17 of the Regulations of the Commissioner of Education is amended to read as follows:

(f) Reporting. Each superintendent shall notify the commissioner as soon as possible whenever the emergency plan or building-level school safety plan is activated and results in the closing of a school building in

the district, and shall provide such information as the commissioner may require in a manner prescribed by the commissioner. School districts within a supervisory district shall provide such notification through the district superintendent, who shall be responsible for notifying the commissioner. Such information need not be provided for routine snow emergency days. *Provided, however, that for the 2020-21 school year, districts shall provide such notification for snow emergency days, including those days converted to remote instruction under the 2020-21 snow day pilot in accordance with the provisions of this subdivision.*

3. Subparagraph (viii) of paragraph (5) of subdivision (a) of section 100.5 of the Regulations of the Commissioner of Education is amended to read as follows:

(viii)(a) Notwithstanding subparagraph (vii) of this paragraph, no entry shall be recorded on the transcript or permanent record of a student in the event that a parent or person in a parental relation declines the exemption to the graduation assessment requirement(s) in accordance with clause (b) of this subparagraph.

(b) For the 2019-20 school year, at least 10 calendar days *and for the 2020-21 school year, at least 30 calendar days* prior to the date on a which a student shall receive a high school diploma, the superintendent, or school principal of a charter school, or chief administrative officer of a registered nonpublic high school shall send notification by letter and also [be] by email and text, if available, to the parents or persons in parental relation of all students scheduled to graduate in June or August of 2020 *or January, June or August of 2021* who have been exempted from a graduation assessment requirement pursuant to this section or paragraph (10) of subdivision (d) of section 100.6 of this title. Such notification shall be sent in English and translated, when appropriate, into the recipient's native language or mode of communication.

(c) ...

(d) ...

(e) ...

(f) ...

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-52-20-00018-EP, Issue of December 30, 2020. The emergency rule will expire May 13, 2021.

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law § 101 continues existence of Education Department, with Board of Regents as its head, and authorizes Regents to appoint Commissioner of Education as Department's Chief Administrative Officer, which is charged with general management and supervision of all public schools and educational work of State.

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

Education Law § 208 empowers the Regents to confer by diploma honorary degrees as they deem proper, establish examinations and award and confer suitable certificates, diplomas and degrees on persons who meet the prescribed requirements for such.

Education Law § 209 provides that the Regents shall establish, in secondary institutions, examinations in studies furnishing a suitable standard of graduation therefrom and of admission to colleges, and certificates or diplomas shall be conferred by the Regents to students who satisfactorily pass such examinations.

Education Law § 215 empowers the Regents and the Commissioner to visit, examine into and inspect, any institution in the University and any school or institution under the educational supervision of the State and may require reports therefrom giving information as the Regents or the Commissioner prescribe.

Education Law § 305 establishes the general powers and duties of the Commissioner of Education.

Education Law § 2801-a requires the board of education or trustees of every school district, board of cooperative educational services, county vocational education and extension board, and the chancellor of the city school district of the city of New York to adopt and amend a comprehensive district-wide school safety plan and building-level emergency response and management plan.

Education Law § 3009 provides that unqualified teachers shall not be paid from school moneys.

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

Education Law § 3204 provides that a minor required to attend upon instruction may attend at a public school or elsewhere.

Education Law § 3205 provides that each minor from six to sixteen years of age in each school district or on an Indian reservation shall attend upon full time instruction.

2. LEGISLATIVE OBJECTIVES:

The proposed amendments are consistent with the above statutory authority and are necessary to address numerous issues resulting from the interruptions caused by the COVID-19 crisis.

3. NEEDS AND BENEFITS:

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the 2019-2020 school year and 2020 summer school except for extended school year (ESY) services. The Governor of New York announced that schools across the State were permitted to open in the fall and required all school districts to submit reopening plans to the Department and the Department of Health. In response, the Department adopted emergency regulations at the April, May, June, July, September, October, and November 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis and to plan for the reopening of schools. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, the Department is proposing further emergency regulatory amendments as follows:

• APPR Variances

o To provide flexibility for Annual Professional Performance Review (APPR) variance application timeframes, the Department is proposing to amend section 30-3.16 of the Rules of the Board of Regents to provide that upon a finding by the Commissioner of extraordinary circumstances, variance applications approved after December 1st of a school year may be implemented in that school year.

• Snow Day Reporting

o Section 155.17(f) of the Commissioner's regulations requires superintendents to notify the Commissioner as soon as possible whenever a school's emergency plan or building-level school safety plan is activated that results in the closing of a school building in the district, and to provide any information the Commissioner requires. However, this section provides that such information need not be provided for routine snow emergency days. Due to the COVID-19 crisis, the State has shifted to allowing and/or requiring remote instruction by many districts. In light of this, the Department is offering a one-year pilot program to allow school districts to shift to remote instruction for days that a district would have otherwise closed due to a snow emergency. The notification of these remote instruction snow days is necessary for the Department to review and evaluate the snow day pilot program for possible future extension.

• Declination

o At the September 2020 meeting of the Board of Regents, the Department permanently adopted amendments to section 100.5(a)(5) of the Commissioner's regulations to provide that parents and persons in parental relation of students scheduled to graduate in January, June or August of 2020 who were exempted from a graduation assessment requirement be given the opportunity to decline such exemption. With the cancellation of the January 2021 Regents examination the Department is proposing to amend this provision to also provide parents and persons in parental relation of students scheduled to graduate in January, June or August of 2021 who have been exempted from a graduation assessment requirement the opportunity to decline such exemption. Additionally, the proposed amendments extend the time period required by schools to give parents or persons in parental relation notification of the option to decline such exemption from 10 calendar days to 30 calendar days.

4. COSTS:

a. Costs to State government: The amendments do not impose any costs on State government.

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. Cost to the regulatory agency: There are no additional costs to the State Education Department.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendments require that for the 2020-21 school year, school districts must notify the commissioner whenever a school building is closed for snow emergency days. Due to the COVID-19 crisis, the State has shifted to allowing and/or requiring remote instruction by many districts. In light of this, the Department is offering a one-year pilot program to allow school districts to shift to remote instruction for days that a district would have otherwise closed due to a snow emergency for the 2020-21 school year. The notification of these remote instruction snow

days is necessary for the Department to review and evaluate the snow day pilot program for possible future extension.

6. PAPERWORK:

The proposed amendments require that for the 2020-21 school year, school districts must notify the commissioner whenever a school building is closed for snow emergency days. Due to the COVID-19 crisis, the State has shifted to allowing and/or requiring remote instruction by many districts. In light of this, the Department is offering a one-year pilot program to allow school districts to shift to remote instruction for days that a district would have otherwise closed due to a snow emergency for the 2020-21 school year. The notification of these remote instruction snow days is necessary for the Department to review and evaluate the snow day pilot program for possible future extension.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendments are necessary to address issues resulting from the COVID-19 crisis and to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. There are no significant alternatives to the proposed amendments and none were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

If adopted at the December 2020 Regents meeting, the emergency rule will become effective December 15, 2020. It is anticipated that the proposed amendment will be presented to the Board of Regents for adoption at its April 2021 meeting. If adopted at the April 2021 meeting, the proposed amendment will become effective on April 28, 2021. Because the emergency adoption will expire before the April 2021 Regents meeting, it is anticipated that an additional emergency action will be presented for adoption at the February Regents meeting. It is anticipated that regulated parties will be able to comply with the proposed amendment by the effective date.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed rule relates to addressing issues resulting from the COVID-19 crisis and providing flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendments do not impose any adverse economic impact, reporting, recordkeeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendments that they do not affect small businesses, no further measures were needed to ascertain that fact, and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local governments:

1. EFFECT OF RULE:

The purpose of the proposed amendments is to address issues resulting from the COVID-19 crisis and to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendments apply to each of the 695 public school districts in the State.

2. COMPLIANCE REQUIREMENTS:

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the 2019-2020 school year and 2020 summer school except for extended school year (ESY) services. In response, the Department adopted emergency regulations at the April, May, June, July, September, October, and November 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Governor of New York announced that schools across the State are permitted to open in the fall and required all school districts to submit reopening plans to the Department and the Department of Health. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, the Department is proposing further emergency regulatory amendments related to the following:

- APPR variance timeframes;
- Snow emergency day reporting; and
- Declination of exemptions for graduation assessment requirements.

The proposed amendment does require that for the 2020-21 school year, school districts must notify the commissioner whenever a school building is closed for snow emergency days. Due to the COVID-19 crisis, the State has shifted to allowing and/or requiring remote instruction by many districts. In light of this, the Department is offering a one-year pilot program to allow school districts to shift to remote instruction for days that a district would have otherwise closed due to a snow emergency for

the 2020-21 school year. The notification of these remote instruction snow days is necessary for the Department to review and evaluate the snow day pilot program for possible future extension.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

The proposed amendment will not impose any additional costs on local governments beyond those imposed by statute.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

6. MINIMIZING ADVERSE IMPACT:

The proposed amendments are necessary to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. Accordingly, no alternatives were considered.

7. LOCAL GOVERNMENT PARTICIPATION:

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

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed rule applies to each public school district in the 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:

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the 2019-2020 school year and 2020 summer school except for extended school year (ESY) services. In response, the Department adopted emergency regulations at the April, May, June, July, September, October, and November 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Governor of New York announced that schools across the State are permitted to open in the fall and required all school districts to submit reopening plans to the Department and the Department of Health. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, the Department is proposing further emergency regulatory amendments related to the following:

- APPR variance timeframes;
- Snow emergency day reporting; and
- Declination of exemptions for graduation assessment requirements.

The proposed amendment does require that for the 2020-21 school year, school districts must notify the commissioner whenever a school building is closed for snow emergency days. Due to the COVID-19 crisis, the State has shifted to allowing and/or requiring remote instruction by many districts. In light of this, the Department is offering a one-year pilot program to allow school districts to shift to remote instruction for days that a district would have otherwise closed due to a snow emergency for the 2020-21 school year. The notification of these remote instruction snow days is necessary for the Department to review and evaluate the snow day pilot program for possible future extension.

3. COSTS:

The proposed amendment will not impose any additional costs on school districts located in rural areas beyond those imposed by statute.

4. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to address issues resulting from the COVID-19 crisis and to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. Therefore, no alternatives were considered for school districts located in rural areas.

5. RURAL AREA PARTICIPATION:

Comments on the proposed rule were solicited from school districts through the offices of the district superintendents of each supervisory district in the State, from the chief school officers of the five big city school districts and from charter schools, including those in rural areas.

Job Impact Statement

The purpose of the proposed amendments is to address issues resulting from the COVID-19 crisis and to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendment provides flexibility related to the following:

- APPR variance timeframes;

- Snow emergency day reporting; and
 - Declination of exemptions for graduation assessment requirements.
- 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

The agency received no public comment.

EMERGENCY RULE MAKING

Instruction to Prevent Child Sexual Exploitation and Child Sexual Abuse in Grades K-8

I.D. No. EDU-52-20-00023-E

Filing No. 255

Filing Date: 2021-03-15

Effective Date: 2021-03-15

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

Action taken: Amendment of section 100.2(c) of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305, 308, 803-b, as added by L. 2019, ch. 187

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

Specific reasons underlying the finding of necessity: The proposed amendment to section 100.2(c) of the Regulations of the Commissioner of Education is necessary to implement Chapter 187 of the Laws of 2019 ("Chapter 187" or "Erin's Law"), which amended the Education Law, effective July 1, 2020. Erin's Law requires that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse. Such program of instruction must be designed to educate students, parents and school personnel about the prevention of child sexual exploitation and child sexual abuse.

The proposed amendment to section 100.2(c) of the Regulations of the Commissioner of Education implements Erin's Law by adding a new paragraph (12) to such section requiring that all public school students in kindergarten through grade 8 receive instruction designated to educate students, parents, teachers, and other school personnel about the prevention of child sexual exploitation and child sexual abuse. The proposed amendment provides that such instruction may be included as part of a school's health education program and should be developed in consultation with school counselors, school social workers, parents, and community members. Additionally, the proposed amendment provides that such instruction shall be designed to: (1) assist children, parents, teachers, and other school personnel in identifying child sexual abuse and child sexual exploitation; (2) provide awareness, assistance, referral, and resource information for children and families who are victims of child sexual abuse and/or child sexual exploitation; and (3) be aligned to the grade band objectives prescribed by the Commissioner in guidance.

The proposed amendment was presented to the P-12 Education Committee for recommendation and to the Full Board for adoption as an emergency action at the December 2020 meeting of the Board of Regents. 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 201(1) and (5), would be the April 2021 Regents meeting. Furthermore, pursuant to SAPA 203(1), the earliest effective date of the proposed rule, if adopted at the April meeting would be April 28, 2021, the date the Notice of Adoption would be published in the State Register. However, the December emergency rule will expire on March 14, 2021. If the rule were to lapse, it would impede the ability of the Department to timely implement the provisions of Chapter 187.

Therefore, a second emergency action is necessary at the February 2021 meeting, effective March 15, 2021, for the preservation of the public health and general welfare in order to immediately conform the Regulations of the Commissioner of Education to Chapter 187, which requires that all students in grades kindergarten through 8, receive instruction designated to educate students, parents, teachers, and other school personnel about the prevention of child sexual exploitation and child sexual abuse and to ensure that the emergency action taken at the December meeting remains in effect until the rule can be permanently adopted.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the April 2021 Regents meeting, which is the first scheduled meeting after the 60-day public comment period prescribed in SAPA for State agency rule making.

Subject: Instruction to prevent child sexual exploitation and child sexual abuse in grades K-8.

Purpose: To implement L. 2019, ch. 187.

Text of emergency rule: 1. Subdivision (c) of section 100.2 of the Regulations of the Commissioner of Education is amended by adding a new paragraph (12) to read as follows:

(12) *For all public school students in grades kindergarten through 8, instruction designed to educate students, parents, teachers, and other school personnel about the prevention of child sexual exploitation and child sexual abuse in accordance with section 803-b of the Education Law. Such instruction may be included as part of a school's health education program pursuant to section 135.3 of this Title. Curriculum addressing this topic should be developed in consultation with school counselors, school social workers, parents and community members and shall be designed to:*

(i) *assist children, parents, teachers, and other school personnel in identifying child sexual abuse and child sexual exploitation;*

(ii) *provide awareness, assistance, referral, and resource information for children and families who are victims of child sexual abuse and/or child sexual exploitation; and*

(iii) *be aligned to grade band objectives prescribed by the commissioner in guidance.*

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-52-20-00023-EP, Issue of December 30, 2020. The emergency rule will expire May 13, 2021.

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Section 101 of the Education Law continues the existence of the Education Department, with the Board of Regents as its head, and authorizes the Regents to appoint the Commissioner as chief administrative officer of the Department, which is charged with the general management and supervision of public schools and the educational work of the State.

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.

Education Law section 305(1) and (2) provide the Commissioner, as chief executive officer of the State's education system, with general supervision over all schools and institutions subject to the Education Law, or any statute relating to education, and responsibility for executing all educational policies of the Regents.

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

Education Law section 803-b, as added by Chapter 187 of the Laws of 2019, requires that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse. Such program of instruction must be designed to educate students, parents, and school personnel about the prevention of child sexual exploitation and child sexual abuse.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to implement Chapter 187 of the Laws of 2019 (Chapter 187) which requires that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse.

3. NEEDS AND BENEFITS:

Chapter 187 added Education Law § 803-b to require that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse. Such program of instruction must be designed to educate students, parents, and school personnel about the prevention of child sexual exploitation and child sexual abuse.

The Department has worked with key partners over the past year to develop guidance and resources to support this law. The New York State Education Department has created an Erin's Law website (<http://www.nysed.gov/curriculum-instruction/erins-law>) with curriculum resources to support this endeavor and to provide assistance to schools, families, and educators. The website and resources have been developed with the input, review, and help of partners such as the New York State Department of Health, the NYS Office of Children and Family Services (OCFS), and the New York State Center for School Health. These tools and resources can be used in schools to ensure students in kindergarten through grade 8 have the instruction, support, and knowledge needed to protect themselves, as well as how to seek help when needed.

The New York State Education Department recommends that educators create their own Erin's Law curriculum to best fit within their school and programs, in accordance with the existing NYS standards for Health Education, to fully comply with the intent of Erin's Law. Although curriculum remains a local decision in New York State, the resources provided on the website can serve as a foundation in local curriculum development and instruction. As more resources are available, the Department will review and share them on the Erin's Law website. NYSED's Erin's Law website includes the following:

- Background on Erin's Law and school district responsibilities;
- Grade band (K-2; 3-4; 5-6; and 6-8) curriculum benchmark guidance; and
- Links to resources or programs that could be used to support local curriculum decisions and instruction.

NYSED also encourages local school districts to partner with families and communities to make decisions about sexual abuse education that are developmentally appropriate and consistent with community values.

The proposed amendment to section 100.2(c) of the Commissioner's regulations implements the provisions of Erin's Law by adding the requirement that all public school students in kindergarten through grade 8 receive instruction designated to educate students, parents, teachers, and other school personnel about the prevention of child sexual exploitation and child sexual abuse. The proposed amendment provides that such instruction may be included as part of a school's health education program and should be developed in consultation with school counselors, school social workers, parents, and community members. Additionally, the proposed amendments provide that such instruction shall be designed to: (1) assist children, parents, teachers, and other school personnel in identifying child sexual abuse and child sexual exploitation; (2) provide awareness, assistance, referral, and resource information for children and families who are victims of child sexual abuse and/or child sexual exploitation; and (3) be aligned to the grade band objectives prescribed by the Commissioner in guidance.

4. COSTS:

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

(b) Costs to local government: The proposed amendment will not impose any significant costs beyond those imposed by statute. Any costs associated with providing the instruction required by Education Law § 803-b are expected to be minimal and capable of being absorbed by using existing district staff and resources.

(c) Cost to private regulated parties: The proposed amendment does not impose any additional costs on regulated parties.

(d) Cost to the regulatory agency: The proposed amendment will not impose any additional costs on the Department.

5. LOCAL GOVERNMENT MANDATES:

As required by Education Law § 803-b the proposed amendment requires that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse. Additionally, such program of instruction must be designed to educate students, parents, and school personnel about the prevention of child sexual exploitation and child sexual abuse. The proposed amendment does not impose any additional program, service, duty or responsibility upon school districts beyond those imposed by statute.

6. PAPERWORK:

The proposed rule does not require any additional paperwork, and is necessary to implement Education Law § 803-b as added by Chapter 187 of the Laws of 2019.

7. DUPLICATION:

The proposed amendment does not duplicate any other existing State or Federal requirements and is necessary to implement Education Law § 803-b as added by Chapter 187 of the Laws of 2019.

8. ALTERNATIVES:

The proposed rule is necessary to implement Education Law Education Law § 803-b as added by Chapter 187 of the Laws of 2019. There were no significant alternatives considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

If adopted at the December 2020 Regents meeting, the emergency rule will become effective December 15, 2020. It is anticipated that the proposed rule will be presented to the Board of Regents for permanent adoption at the April 2021 Regents meeting, after publication of the proposed amendment in the State Register and expiration of the 60-day public comment period required under the State Administrative Procedure Act. It is anticipated that regulated parties can achieve compliance with the proposed rule by its effective date.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed rule is necessary to implement Education Law § 803-b,

as added by Chapter 187 of the Laws of 2019, which requires that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse. Such program of instruction must be designed to educate students, parents, and school personnel about the prevention of child sexual exploitation and child sexual abuse. The proposed rule does not impose any economic impact, or other compliance requirements on small businesses. Because it is evident from the nature of the proposed rule that it does not affect small businesses, no further measures were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local governments:

1. EFFECT OF RULE:

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

2. COMPLIANCE REQUIREMENTS:

The proposed rule is necessary to implement Education Law § 803-b, as added by Chapter 187 of the Laws of 2019, which requires that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse. Such program of instruction must be designed to educate students, parents, and school personnel about the prevention of child sexual exploitation and child sexual abuse.

The Department has worked with key partners over the past year to develop guidance and resources to support this law. The New York State Education Department has created an Erin's Law website (<http://www.nysed.gov/curriculum-instruction/erins-law>) with curriculum resources to support this endeavor and to provide assistance to schools, families, and educators. The website and resources have been developed with the input, review, and help of partners such as the New York State Department of Health, the NYS Office of Children and Family Services (OCFS), and the New York State Center for School Health. These tools and resources can be used in schools to ensure students in kindergarten through grade 8 have the instruction, support, and knowledge needed to protect themselves, as well as how to seek help when needed.

The New York State Education Department recommends that educators create their own Erin's Law curriculum to best fit within their school and programs, in accordance with the existing NYS standards for Health Education, to fully comply with the intent of Erin's Law. Although curriculum remains a local decision in New York State, the resources provided on the website can serve as a foundation in local curriculum development and instruction. As more resources are available, the Department will review and share them on the Erin's Law website. NYSED's Erin's Law website includes the following:

- Background on Erin's Law and school district responsibilities;
- Grade band (K-2; 3-4; 5-6; and 6-8) curriculum benchmark guidance; and
- Links to resources or programs that could be used to support local curriculum decisions and instruction.

NYSED also encourages local school districts to partner with families and communities to make decisions about sexual abuse education that are developmentally appropriate and consistent with community values.

The proposed amendment to section 100.2(c) of the Commissioner's regulations implements the provisions of Erin's Law by adding the requirement that all public school students in kindergarten through grade 8 receive instruction designated to educate students, parents, teachers, and other school personnel about the prevention of child sexual exploitation and child sexual abuse. The proposed amendment provides that such instruction may be included as part of a school's health education program and should be developed in consultation with school counselors, school social workers, parents, and community members. Additionally, the proposed amendments provide that such instruction shall be designed to: (1) assist children, parents, teachers, and other school personnel in identifying child sexual abuse and child sexual exploitation; (2) provide awareness, assistance, referral, and resource information for children and families who are victims of child sexual abuse and/or child sexual exploitation; and (3) be aligned to the grade band objectives prescribed by the Commissioner in guidance.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

The proposed amendment will not impose any significant costs beyond those imposed by statute. Any costs associated with providing the instruction required by Education Law § 803-b are expected to be minimal and capable of being absorbed by using existing district staff and resources.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed rule does not impose any additional technological requirements on local governments. Economic feasibility is discussed above in the Compliance Costs section.

6. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to implement Education Law § 803-b, as added by Chapter 187 of the Laws of 2019. There were no significant alternatives considered.

7. LOCAL GOVERNMENT PARTICIPATION:

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

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed rule applies to each public school district in the 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 rule is necessary to implement Education Law § 803-b, as added by Chapter 187 of the Laws of 2019, which requires that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse. Such program of instruction must be designed to educate students, parents, and school personnel about the prevention of child sexual exploitation and child sexual abuse.

The Department has worked with key partners over the past year to develop guidance and resources to support this law. The New York State Education Department has created an Erin's Law website (<http://www.nysed.gov/curriculum-instruction/erins-law>) with curriculum resources to support this endeavor and to provide assistance to schools, families, and educators. The website and resources have been developed with the input, review, and help of partners such as the New York State Department of Health, the NYS Office of Children and Family Services (OCFS), and the New York State Center for School Health. These tools and resources can be used in schools to ensure students in kindergarten through grade 8 have the instruction, support, and knowledge needed to protect themselves, as well as how to seek help when needed.

The New York State Education Department recommends that educators create their own Erin's Law curriculum to best fit within their school and programs, in accordance with the existing NYS standards for Health Education, to fully comply with the intent of Erin's Law. Although curriculum remains a local decision in New York State, the resources provided on the website can serve as a foundation in local curriculum development and instruction. As more resources are available, the Department will review and share them on the Erin's Law website. NYSED's Erin's Law website includes the following:

- Background on Erin's Law and school district responsibilities;
- Grade band (K-2; 3-4; 5-6; and 6-8) curriculum benchmark guidance; and
- Links to resources or programs that could be used to support local curriculum decisions and instruction.

NYSED also encourages local school districts to partner with families and communities to make decisions about sexual abuse education that are developmentally appropriate and consistent with community values.

The proposed amendment to section 100.2(c) of the Commissioner's regulations implements the provisions of Erin's Law by adding the requirement that all public school students in kindergarten through grade 8 receive instruction designated to educate students, parents, teachers, and other school personnel about the prevention of child sexual exploitation and child sexual abuse. The proposed amendment provides that such instruction may be included as part of a school's health education program and should be developed in consultation with school counselors, school social workers, parents, and community members. Additionally, the proposed amendments provide that such instruction shall be designed to: (1) assist children, parents, teachers, and other school personnel in identifying child sexual abuse and child sexual exploitation; (2) provide awareness, assistance, referral, and resource information for children and families who are victims of child sexual abuse and/or child sexual exploitation; and (3) be aligned to the grade band objectives prescribed by the Commissioner in guidance.

3. COSTS:

The proposed amendment will not impose any significant costs beyond those imposed by statute. Any costs associated with providing the instruction required by Education Law § 803-b are expected to be minimal and capable of being absorbed by using existing district staff and resources.

4. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to implement Education Law § 803-b, as added by Chapter 187 of the Laws of 2018. Therefore, no alternatives were considered for school districts located in rural areas.

5. RURAL AREA PARTICIPATION:

Comments on the proposed rule were solicited from school districts through the offices of the district superintendents of each supervisory

district in the State, from the chief school officers of the five big city school districts and from charter schools, including those in rural areas.

Job Impact Statement

The proposed rule is necessary to implement Education Law § 803-b, as added by Chapter 187 of the Laws of 2019, which requires that all students in kindergarten through grade 8 receive instruction designed to prevent child sexual exploitation and child sexual abuse. Such program of instruction must be designed to educate students, parents, and school personnel about the prevention of child sexual exploitation and child sexual abuse. Because it is evident from the nature of the proposed rule that it will have no impact on the number of jobs or employment opportunities in New York State, no further steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

EMERGENCY RULE MAKING

Addressing the COVID-19 Crisis and Planning for the Reopening of Schools

I.D. No. EDU-01-21-00002-E

Filing No. 264

Filing Date: 2021-03-16

Effective Date: 2021-03-17

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

Action taken: Amendment of sections 30-3.2, 52.21, 125.1 and 135.4 of Title 9 NYCRR.

Statutory authority: Education Law, sections 101, 207, 210, 215, 305, 803, 911, 3001, 3004, 3009 and 3012-d

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

Specific reasons underlying the finding of necessity: On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the 2019-2020 school year and 2020 summer school except for extended school year (ESY) services. In response, the Department adopted emergency regulations at the April, May, June, July, and September 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Governor of New York announced that schools across the State are permitted to open in the fall and required all school districts to submit reopening plans to the Department and the Department of Health. Therefore, to address additional issues resulting from the interruptions caused by the COVID-19 crisis and to prepare for the reopening of schools, it is necessary for the Department to adopt further regulatory amendments. The proposed amendments provide flexibility related to the following:

- Registration of voluntarily registered nursery schools and kindergartens;
- School Building Leader (SBL) programs;
- Annual professional performance reviews (APPR); and
- Coaching evaluations.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (nonemergency) adoption, after publication in the State Register and expiration of the 60-day public comment period required in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), is the April 2021 Regents meeting. However, because the COVID-19 crisis is presently affecting the State of New York, emergency action is necessary for the preservation of public health and the general welfare in order to immediately provide flexibility for certain regulatory requirements in response to the COVID-19 crisis and to ensure that the emergency action taken at the October meeting remains continuously in effect.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the April 2021 Regents meeting, which is the first scheduled meeting after the 60-day public comment period prescribed in SAPA for State agency rule makings.

Subject: Addressing the COVID-19 crisis and planning for the reopening of schools.

Purpose: To provide regulatory flexibility due to the COVID-19 crisis and to plan for the reopening of schools.

Text of emergency rule: 1. Section 125.1 of the Regulations of the Commissioner of Education is amended by adding a new subdivision (e) to read as follows:

(e) *Notwithstanding subdivision (b) of this section, any voluntarily registered school whose registration expires in the 2019-2020 or 2020-2021 school year, and does not receive a required on-site visit from Department staff due to the COVID-19 crisis pursuant to subdivision (d) of this section, shall have such registration extended, subject to revocation for cause, and such registration shall be up for renewal in the 2021-2022 school year.*

2. Item (ii) of subclause (4) of clause (c) of subparagraph (i) of paragraph (7) of subdivision (c) of section 135.4 of the Regulations of the Commissioner of Education is amended to read as follows:

(ii) a professional coaching certificate shall be valid for a three year period, provided that such certificate may be renewed for additional three year periods upon the submission of a fee of \$50 together with a renewal application for each successive renewal period, in a form prescribed by the commissioner, which satisfactorily establishes that:

(A) ...

(B) the candidate has received a satisfactory evaluation by the principal or athletic director for each of the preceding three years that the candidate coached in the specific sport for which a professional coaching certificate is sought, provided, however that a candidate who held a temporary coaching certificate for the winter 2019-2020 [and/or], spring 2020, fall 2020, winter 2020-2021, and/or spring 2021 sports seasons shall not be required to have received an evaluation by the principal or athletic director [for the winter 2019-2020 and/or spring 2020] during the applicable sport [seasons] season(s) for the professional coaching certificate due to [school closures pursuant to] the State of emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis;

3. Clauses (a) and (b) of subparagraph (vi) of paragraph (2) of subdivision (c) of section 52.21 of the Regulations of the Commissioner of Education is amended to read as follows:

(a) Prior to [December] September 1, [2020] 2022, programs shall require candidates to complete studies sufficient to demonstrate, upon program completion, the knowledge and skills necessary to perform the following:

(b) On or after [December] September 1, [2020] 2022, programs shall require candidates to complete studies sufficient to demonstrate, upon program completion, the knowledge and skills necessary to:

4. The opening paragraphs of paragraphs (1) and (2) of subdivision (1) of section 30-3.2 of the Rules of the Board of Regents is amended to read as follows:

(1) for annual professional performance reviews conducted prior to the [2022-23] 2024-2025 school year, the Educational Leadership Policy Standards: ISLLC 2008 as adopted by the National Policy Board for Educational Administration (Council of Chief State School Officers, Washington DC, One Massachusetts Avenue, NW, Suite 700, Washington, DC 20001-1431; available at the Office of Counsel, State Education Department, State Education Building, Room 148, 89 Washington Avenue, Albany, NY 12234). The Leadership Standards provide that an education leader promotes the success of every student by:

(2) for annual professional performance reviews conducted commencing in the [2022-23] 2024-2025 school year, the Professional Standards for Educational Leaders: PSEL 2015 as adopted by the National Policy Board for Educational Administration (1904 Association Drive, Reston, VA 20191 -- available at the Office of Counsel, State Education Department, State Education Building, Room 148, 89 Washington Avenue, Albany, NY 12234), as modified by the Board of Regents. The New York State Leadership Standards provide that an education leader shall:

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-01-21-00002-EP, Issue of January 6, 2021. The emergency rule will expire May 14, 2021.

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law § 101 continues existence of Education Department, with Board of Regents as its head, and authorizes Regents to appoint Commissioner of Education as Department's Chief Administrative Officer, which is charged with general management and supervision of all public schools and educational work of State.

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

Education Law § 210 conferred by the Regents to students who satisfactorily pass such examinations.

Education Law § 215 empowers the Regents and the Commissioner to visit, examine into and inspect, any institution in the University and any school or institution under the educational supervision of the State and may require reports therefrom giving information as the Regents or the Commissioner prescribe.

Education Law § 305 establishes the general powers and duties of the Commissioner of Education.

Education Law § 803 requires instruction in physical education in all elementary and secondary schools for all pupils above the age of eight.

Education Law § 911 requires the Commissioner to enforce the provisions of law relating to medical and health services to be provided by schools.

Education Law § 3001 prescribes the qualifications of teachers.

Education Law § 3004 directs the Commissioner of Education to prescribe regulations governing the examination and certification of teachers employed in all public schools of the State.

Education Law § 3009 provides that unqualified teachers shall not be paid from school moneys.

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

2. LEGISLATIVE OBJECTIVES:

The proposed amendments are consistent with the above statutory authority and are necessary to address numerous issues resulting from the interruptions caused by the COVID-19 crisis and to prepare for the reopening of schools. The purpose of the proposed amendment is to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis and to prepare for the reopening of schools.

3. NEEDS AND BENEFITS:

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the 2019-2020 school year and 2020 summer school except for extended school year (ESY) services. In response, the Department adopted emergency regulations at the April, May, June, July, and September 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Governor of New York announced that schools across the State are permitted to open in the fall and required all school districts to submit reopening plans to the Department and the Department of Health. Therefore, to address additional issues resulting from the interruptions caused by the COVID-19 crisis, and to plan for the reopening of schools, the Department is proposing further emergency regulatory amendments as follows:

• Early Learning

o Section 125.1 is amended to provide that any voluntarily registered school whose registration expires in the 2019-2020 or 2020-2021 school year, and does not receive a required on-site visit from Department staff due to the COVID-19 crisis shall have their registration extended, subject to revocation for cause, and such registration shall be up for renewal in the 2021-2022 school year.

• Higher Education

o Coaching Evaluations

■ Section 135.4(c) of the Commissioner's regulations is amended to provide additional flexibility for temporary coaching candidates of extracurricular interscholastic sports. These candidates are required to receive a satisfactory evaluation by the principal or athletic director for each of the preceding three years that they coached in the sport for which a professional coaching certificate is sought. The Department permanently adopted amendments to such section at the September 2020 Regents meeting, which provided that such candidates who held a temporary coaching certificate for the winter 2019-2020 and/or spring 2020 sports season did not have to have receive an evaluation by the principal or athletic director for such sports seasons for professional coaching certification due to the COVID-19 crisis. The Department is now proposing to expand the time period during which such candidates are not required to receive an evaluation for professional coaching certification to also include the fall 2020, winter 2020-2021, and/or spring 2021 sports seasons.

o School Building Leader Programs and Annual Professional Performance Reviews (APPR)

■ At its December 2017 meeting, the Board of Regents approved requiring school building leader (SBL) programs, that are registered or seek registration on or after December 1, 2020, to be aligned with the

Professional Standards for Educational Leaders (PSELs), with some modifications. Programs have been aligned with the Interstate School Leaders Licensure Consortium (ISLLC) Standards. The Department is proposing to amend section 52.21(c) of the Commissioner's regulations to extend the date by which SBL programs must be aligned with the new PSELs until September 1, 2022 to provide SBL programs additional time to conform with the new standards due to the COVID-19 crisis.

■ Additionally, the Department is proposing to make a corresponding amendment to section 30-3.2(l) of the Commissioner's regulations to provide that the definition of "Leadership standards" for purposes of APPR reviews shall mean the new PSELs for reviews conducted on and after the 2024-2025 school year. This amendment aligns the date by which SBL programs must adopt such standards with the date such standards will be used in conducting APPR reviews.

4. COSTS:

a. Costs to State government: The amendments do not impose any costs on State government.

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. Cost 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 additional program, service, duty or responsibility upon any local government.

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendments are necessary to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis and to plan for the reopening of schools. There are no significant alternatives to the proposed amendment and none were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated that regulated parties will be able to comply with the proposed amendment by the effective date.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed rule relates to providing flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendments do not impose any adverse economic impact, reporting, recordkeeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendments that they do not affect small businesses, no further measures were needed to ascertain that fact, and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local governments:

1. EFFECT OF RULE:

The purpose of the proposed amendments is to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendments apply to each of the 695 public school districts in the State.

2. COMPLIANCE REQUIREMENTS:

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the 2019-2020 school year and 2020 summer school except for extended school year (ESY) services. In response, the Department adopted emergency regulations at the April, May, June, July, and September 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Governor of New York announced that schools across the State are permitted to open in the fall and required all school districts to submit reopening plans to the Department and the Department of Health. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, the Department is proposing further emergency regulatory amendments providing flexibility related to the following:

- Registration of voluntarily registered nursery schools and kindergartens;
- School Building Leader (SBL) programs;

- Annual professional performance reviews (APPR); and
- Coaching evaluations.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

The proposed amendment will not impose any additional program, service, duty, responsibility or costs beyond those imposed by statute.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

6. MINIMIZING ADVERSE IMPACT:

The proposed amendments are necessary to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. Accordingly, no alternatives were considered.

7. LOCAL GOVERNMENT PARTICIPATION:

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

Rural Area Flexibility Analysis

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the 2019-2020 school year and 2020 summer school except for extended school year (ESY) services. In response, the Department adopted emergency regulations at the April, May, June, July, and September 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Governor of New York announced that schools across the State are permitted to open in the fall and required all school districts to submit reopening plans to the Department and the Department of Health. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, the Department is proposing further emergency regulatory amendments providing flexibility related to the following:

- Registration of voluntarily registered nursery schools and kindergartens;
- School Building Leader (SBL) programs;
- Annual professional performance reviews (APPR); and
- Coaching evaluations.

The proposed amendment provides flexibility for certain regulatory requirements during the COVID-19 crisis and plans for the reopening of schools. Thus, the proposed amendment does not adversely 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 flexibility analysis is not required and one has not been prepared.

Job Impact Statement

The purpose of the proposed amendments is to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis and to plan for the reopening of schools. The proposed amendment provides flexibility related to the following:

- Registration of voluntarily registered nursery schools and kindergartens;
- School Building Leader (SBL) programs;
- Annual professional performance reviews (APPR); and
- Coaching evaluations.

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.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Licensure Requirements for Land Surveyors

I.D. No. EDU-13-21-00011-EP

Filing No. 263

Filing Date: 2021-03-16

Effective Date: 2021-04-03

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

Proposed Action: Addition of section 52.49; amendment of sections 68.4 and 68.6 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6507, 7203, 7204, 7204, 7206-a; L. 2019, ch. 322

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

Specific reasons underlying the finding of necessity: The proposed rule is necessary to implement Chapter 322 of the Laws of 2019 (Chapter 322), which is effective April 3, 2021. This amendment amends section 7206-a of the Education Law to, inter alia, update the education and experience requirements for licensure as a land surveyor to conform with national standards. Historically, the majority of land surveyors were licensed through an all experience pathway, instead of through an education and experience combination pathway. However, over time, the national land surveying licensure examinations have been updated to test at a bachelor's degree level of knowledge. Only seven of the 51 United States jurisdictions, including New York State, currently report having an all experience pathway for the licensure of land surveyors.

Nationally, it has been found that individuals who take the all experience pathway to land surveyor licensure are more likely to fail the national licensing examinations multiples times versus individuals who take the combination of education and experience pathway to licensure.

While this was a common practice for many years in numerous states, including New York State, the all experience pathway to licensure is being repealed in a number of jurisdictions for some or all of the aforementioned reasons. Chapter 322 phases out the all experience pathway to land surveyor licensure, in eight years, in order to provide individuals who are currently gaining experience to be licensed under this pathway the opportunity to complete it.

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for adoption, after expiration of the required 60-day public comment period provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the July 12-13, 2021 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the July meeting, would be July 28, 2021, the date the Notice of Adoption would be published in the State Register. However, Chapter 322 becomes effective April 3, 2021.

Therefore, emergency action is necessary at the March 2021 meeting for the preservation of the public health and the general welfare in order to enable the State Education Department to immediately establish requirements to timely implement Chapter 322, so that the land surveyor licensure requirements are updated to conform with national standards by the April 3, 2021 effective date of Chapter 322.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the July 12-13, 2021 Regents meeting, which is the first scheduled meeting after expiration of the 60-day public comment period prescribed in SAPA for State agency rule makings.

Subject: Licensure requirements for Land Surveyors.

Purpose: Adding and amending licensure requirements for Land Surveyors.

Text of emergency/proposed rule: 1. The Regulations of the Commissioner of Education is amended by adding a new section 52.49, to read as follows:

Section 52.49 Land Surveyor

In addition to meeting all the applicable provisions of this Part, to be registered as a program recognized as leading to licensure as a land surveyor, which meets the requirements of section 68.4 of this Title, the program shall be:

(a) *an approved course of study in land surveying or a substantially equivalent program as determined by the department, which leads to a bachelor's degree or higher; or*

(b) *an approved course of study in land surveying which leads to an associate's degree; or*

(c) *an approved course of study which leads to an associate's degree or higher in engineering, math, or a related science or their substantial equivalent and includes a minimum of 15 semester hours that must include one course or its substantial equivalent in each of the following four (4) subject areas:*

- (1) *survey I;*
- (2) *survey II;*
- (3) *boundary/survey law 1; and*
- (4) *boundary/survey law 2.*

(d) *Notwithstanding subdivision (c) of this section, if after completion of all four courses or their substantial equivalent set forth in paragraphs (1)-(4) of subdivision (c) of this section, the minimum 15 semester hours are not gained, any additional courses or their substantial equivalent from any of the following seven subject areas shall satisfy the 15 semester hour requirements of this subdivision:*

- (i) *cadastral;*
- (ii) *geodesy;*
- (iii) *measurement/analysis;*
- (iv) *remote sensing;*
- (v) *digital surveying methods;*
- (vi) *route surveying; or*
- (vii) *photogrammetry and aerial photo interpretations.*

2. Section 68.4 of the Regulations of the Commissioner of Education is amended, to read as follows:

Section 68.4. Professional study of land surveying

(a) [To meet the professional study requirement for licensure, the applicant shall present evidence of:

(1) possession of a bachelor's degree in land surveying or the equivalent from a program approved by the department for professional licensure purposes and four years of land surveying experience acceptable to the State Board; or

(2) completion of an approved secondary course of study; and

(i) for those applying prior to September 1, 1987, the equivalent of six years of land surveying experience acceptable to the board, provided that each complete year of study in a land surveying program approved by the department for professional licensure purposes may be accepted in lieu of one year of such experience to a maximum of two years; and

(ii) for those applying on or after September 1, 1987, the equivalent of eight years of land surveying experience acceptable to the board, provided that each complete year of study in a land surveying program approved by the department for professional licensure purposes may be accepted in lieu of one year of such experience to a maximum of four years.] *As used in this section, acceptable accrediting agency shall mean an organization accepted by the department as a reliable authority for the purpose of accrediting land surveying, engineering or other math and science programs as having reasonable accreditation standards and as an organization that applies its criteria for granting accreditation of programs in a fair, consistent, and nondiscriminatory manner.*

(b) To meet the professional study requirement for [certification as an intern land surveyor] licensure, the applicant shall present evidence of:

(1) [possession] *completion of a bachelor's degree or higher in land surveying or the equivalent from a program approved by the department for professional licensure purposes and three years of land surveying experience acceptable to the department as recommended by the State Board;* or

(2) [completion of an approved secondary course of study; and

(i) for those applying prior to September 1, 1987, the equivalent of six years of land surveying experience acceptable to the board, provided that each complete year of study in a land surveying program approved by the department for professional licensure purposes may be accepted in lieu of one year of such experience, to a maximum of two years; and

(ii) for those applying on or after September 1, 1987, the equivalent of eight years of land surveying experience acceptable to the board, provided that each complete year of study in a land surveying program approved by the department for professional licensure purposes may be accepted in lieu of one year of such experience, to a maximum of four years.] *completion of a bachelor's degree or higher in engineering, math, or related science with 15 credits of surveying course work acceptable to the department as recommended by the State Board as set forth in section 52.49 of this Title and four years of land surveying experience acceptable to the department as recommended by the State Board; or*

(3) *completion of an associate's degree in land surveying and five-and-a-half years of land surveying experience acceptable to the department as recommended by the State Board; or*

(4) *completion of an associate's degree in engineering, math, or related science with 15 credits of land surveying course work acceptable to the department as recommended by the State Board as set forth in section 52.49 of this Title and six years of land surveying experience acceptable to the department as recommended by the State Board; or*

(5) *completion of an approved secondary course of study; and*

(i) for those applying for licensure on or after September 1, 1987, the equivalent of eight years of land surveying experience acceptable to the department as recommended by the State Board, provided that all experience is completed prior to April 3, 2029 and provided that each full year of college study in engineering or land surveying in a program approved by the department for professional licensure purposes or a substantially equivalent program, as determined by the department upon the recommendation of the State Board, may be accepted in lieu of one year of such experience to a maximum of four years.

3. Section 68.6 of the Regulations of the Commissioner of Education is amended, to read as follows:

Section 68.6. Licensing examinations for land surveying

(a) An applicant for admission to the *fundamentals of surveying* [licensure] examination [in land surveying] shall: [have satisfied the professional study requirements set forth in section 68.4 of this Part, except

that an applicant for certification as an intern land surveyor may be admitted to Part 1 of the examination when such applicant is within 20 semester hours of completion of the requirements for a bachelor's degree in land surveying or the equivalent approved by the department for professional licensure purposes.]

(1) *be within 20 credits of graduation from a bachelor's degree program registered as leading to licensure in land surveying pursuant to section 52.49 of this Title, or accredited by an acceptable accrediting agency, or a bachelor's degree program that is substantially equivalent to such a registered or accredited program as determined by department as recommended by the State Board; or*

(2) *hold a bachelor's degree in engineering, math, or a related science or their substantial equivalent with 15 credits of surveying as set forth in section 52.49 of this Title and have completed one year of experience acceptable to the department as recommended by the State Board; or*

(3) *hold an associate's degree in surveying accredited by an acceptable accrediting agency, or an associate's degree program that is substantially equivalent to such accredited program as determined by the department and have completed two and a half years of experience acceptable to the department as recommended by the State Board; or*

(4) *hold an associate's degree in engineering, math, or related science or their substantial equivalent with 15 credits of surveying as set forth in section 52.49 of this Title and have completed three years of experience acceptable to the department as recommended by the State Board; and*

(b) *An applicant for admission to the principles and practice of surveying and the New York State jurisdictional surveying examinations shall:*

(1) have completed the education and experience requirements set forth in section 68.4 of this Title.

[(b)](c) Content. The examination shall consist of:

(1) Part 1 - Fundamentals of [Land] Surveying: mathematics, physics, English, surveying, property surveys and descriptions, vertical curves, state plane coordinate calculations, economic analysis; and

(2) Part 2 - Principles and Practice of [Land] Surveying: principles of profession (legal, technical, standards of professional conduct), property surveys, written instruments, monumentations, real property, field survey procedures, property survey descriptions, subdivision planning and design, deed descriptions and conveyancing, surveying law, geodetic surveying, hydrographic surveying; and

(3) Part 3 - Jurisdictional Examination, Surveying in New York State: examination in the practical and legal aspects of land surveying pertinent to New York State, the scope and content of which shall be determined by the State Board.

[(c)](d) After February 14, 1975, Fundamentals of Land Surveying, Part 1, replaces Fundamentals of Land Surveying, Mathematics; Principles and Practice of Land Surveying, Part 2, replaces Principles and Practice of Land Surveying, Surveying.

(1) Candidates who have established credit prior to February 14, 1975 for the mathematics part of the examination shall be examined in Part 2 and Part 3.

(2) Candidates who have established credit prior to February 14, 1975 for the surveying part of the examination shall be examined in Part 1 and Part 3.

(3) The grade retention provisions of section 59.5(f) of this Title shall not be applicable to land surveying examinations.

[(d)](e) Passing grade. The passing grade for each of the parts of the surveying examination taken prior to October 1, 1984 is 75.0; for parts taken on or after October 1, 1984, the passing grade shall be 70.0. Except for the Jurisdictional Examination, scores for the licensing examinations shall be reported on a pass/fail basis.

[(e)](f) Review and rescoring of examinations shall be conducted in accordance with section 59.5(g) of this Title.

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 June 13, 2021.

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

Data, views or arguments may be submitted to: Sarah S. Benson, 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 6504 of the Education Law authorizes the Board of Regents to supervise the admission to and regulation of the practice of the professions.

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

Section 7203 of the Education Law defines the practice of land surveying.

Section 7204 of the Education Law establishes protection of the title "land surveyor."

Subdivision (1) of section 7206-a of the Education Law, as amended by Chapter 322 of the Laws of 2019, establishes the education, experience, examination, age and moral character requirements for applicants seeking licensure as a land surveyor, as well as establishes the fees required for both an initial license and subsequent triennial registrations.

Subdivision (2) of section 7206-a of the Education Law, as amended by Chapter 322 of the Laws of 2019, provides that an associate's degree in land surveying, or an associate's degree or higher in engineering, math, or related science with credits in land surveying acceptable to the State Education Department (Department) in lieu of the education requirements as otherwise specified in paragraph (2) of subdivision (1) of section 7206-a of the Education Law.

Subdivision (2-a) of Education Law 7206-a of the Education Law, as amended by Chapter 322 of the Laws of 2019, provides that for admittance to the fundamentals of surveying examination, the applicant shall fulfill the education, experience, and examination requirements in accordance with the Regulations of the Commissioner of Education (Commissioner's regulations). Subdivision (2-a) of Education Law 7206-a of the Education Law, as amended by Chapter 322 of the Laws of 2019, further provides that, upon the successful completion of the examination, an identification card as an "intern land surveyor" shall be issued by the Department and that the fee for examination qualification and identification card as an "intern land surveyor" shall be seventy dollars.

Subdivision (2-b) of section 7206-a of the Education Law, as added by Chapter 322 of the Laws of 2019, which expires and is deemed repealed as of April 3, 2029) provides that, in lieu of the degree and experience requirements specified in paragraphs (2) and (3) of subdivision (1) of section 7206-a, eight years of practical experience in work satisfactory to the Department may be accepted, provided that each full year of college study in engineering or land surveying satisfactory to the Department may at the discretion of the Department be accepted in lieu of one year of the required eight years of experience.

2. LEGISLATIVE OBJECTIVES:

The proposed rule is consistent with the above statutory authority and is necessary to conform Commissioner's regulations to Chapter 322 of the Laws of 2019 (Chapter 322), which amends section 7206-a of the Education Law, effective April 3, 2021, by, inter alia, updating the education and experience requirements for licensure as a land surveyor to conform with national standards.

The proposed rule implements Chapter 322 by:

- establishing the program registration requirements for land surveyor education programs, which include registration and curriculum requirements for licensure qualifying New York State land surveyor education programs;
- amending the land surveyor education requirements for licensure to conform with national standards; and
- amending the admission requirements for the fundamentals of surveying, principles and practice of surveying, and the New York State jurisdictional examinations.

3. NEEDS AND BENEFITS:

The proposed rule is necessary to conform the Commissioner's regulations to Chapter 322. Historically, the majority of land surveyors were licensed through an all experience pathway, instead of through an education and experience combination pathway. However, over time, the national land surveying licensure examinations have been updated to test at a bachelor's degree level of knowledge. Presently, there are six educational programs with land surveying programs/courses located throughout New York State.

While the all experience pathway to licensure was a common practice for many years in numerous states, including New York State, it is being repealed in a number of jurisdictions. Including New York State, there remain only seven of the 51 United States jurisdictions which currently report having an all experience pathway for the licensure of land surveyors. Nationally, it has been found that individuals who take the all experience pathway to land surveyor licensure are more likely to fail the national licensing examinations multiple times versus individuals who take the combination of education and experience pathway to licensure.

The proposed rule implements Chapter 322 by, inter alia, phasing out the all experience pathway to land surveyor licensure, in eight years, in order to provide individuals who are currently gaining experience to be licensed under this pathway the opportunity to complete it.

The purpose of the proposed rule is to update the education and experience requirements for land surveyor licensure to conform with national standards in order to protect the public by providing for a minimum standard level of competency.

4. COSTS:

(a) Costs to State government. The proposed rule implements statutory requirements and establishes standards as directed by statute, and will not impose any additional costs on State government beyond those imposed by the statutory requirements.

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

(c) Costs to private regulated parties. The proposed rule does not impose any additional costs to regulated parties beyond those imposed by statute. As required by Education Law § 7206-a(1)(8), applicants for licensure as land surveyors must pay a fee to the Department of \$135 for their initial license and a fee of \$210 for each triennial registration fee. Additionally, as required by Education Law § 7206-a(2-a), applicants for licensure seeking an identification card as an "intern land surveyor" must pay a fee of \$70 to the Department for the examination and identification card as an "intern geologist" and a \$70 fee for each reexamination. Higher education institutions that seek to register land surveyor education programs with the Department, including those in rural areas, may incur costs related to the development and maintenance of such education programs and their registration. It is anticipated such costs will be minimal because several higher education institutions are already offering courses that would or could, with adjustments, meet the registration requirements for a land surveying education program, and higher education institutions should be able to use their existing staffs and resources to revise their courses and curricula to meet the land surveyor education requirements.

(d) Cost to the regulatory agency. The proposed rule does not impose any additional costs on the Department beyond those imposed by statute. Any associated costs to the Department will be offset by the fees charged to applicants and no significant cost will result to the Department.

5. LOCAL GOVERNMENT MANDATES:

The proposed rule implements Chapter 322, which amended section 7206-a of the Education Law, by updating the standards for individuals to be licensed to practice as land surveyors and establishing standards for professional land surveying education programs provided by institutions of higher education to ensure that only those properly educated and prepared to be land surveyors hold themselves out as such. The proposed rule does not impose any program, service, duty, or responsibility upon local governments.

6. PAPERWORK:

The proposed rule imposes no new reporting or other paperwork requirements beyond those imposed by the statute.

7. DUPLICATION:

The proposed rule is necessary to implement Chapter 322. There are no other state or federal requirements on the subject matter of the proposed rule. Therefore, the proposed rule does not duplicate other existing New York State or federal requirements.

8. ALTERNATIVES:

The proposed rule is necessary to conform the Commissioner's regulations to Chapter 322. There are no significant alternatives to the proposed rule available and none were considered.

9. FEDERAL STANDARDS:

Since there are no applicable federal standards, the proposed rule does not exceed any minimum federal standards for the same or similar subject areas.

10. COMPLIANCE SCHEDULE:

The proposed rule is necessary to conform the Commissioner's regulations Chapter 322. If adopted at the March 2021 Regents meeting by emergency action, the proposed amendment will become effective on April 3, 2021, which is the effective date of the statute. It is anticipated that regulated parties will be able to comply with the proposed rule by the effective date.

Regulatory Flexibility Analysis

1. EFFECT OF RULE:

The purpose of the proposed rule is to implement Chapter 322 of the Laws of 2019 (Chapter 322), which amends the Education Law, effective April 3, 2021, to, inter alia, update the education and experience requirements for licensure as a land surveyor to conform with national standards.

Chapter 322 also phases out the all experience pathway to land surveyor licensure, in eight years, in order to provide individuals who are currently gaining experience to be licensed under this pathway the opportunity to complete it. Although this pathway will expire on April 3, 2029, the licenses issued under it will not. The number of individuals who may be able to be licensed in New York State under the all experience pathway of the law, on or before April 3, 2029, is not available and is unknown. The number of these individuals who may be employed by a small business or local governments is also unknown.

2. COMPLIANCE REQUIREMENTS:

The proposed rule implements Chapter 322, which, inter alia, updates the education and experience requirements for licensure as a land surveyor to conform with national standards. These requirements include, but are not limited to, professional education, experience and examination requirements. Individuals seeking licensure to practice in New York State will be required to submit an application with the State Education Department (Department) and meet all the requirements for licensure, which include, but are not limited to, the professional education, experience, and examination requirements specified in the proposed rule.

3. PROFESSIONAL SERVICES:

It is not anticipated that small businesses or local governments will need professional services to comply with the proposed rule.

4. COMPLIANCE COSTS:

The proposed rule does not impose any direct costs on small businesses or local governments. As required by Education Law § 7206-a(1)(8), applicants for licensure as land surveyors must pay a fee to the Department of \$135 for their initial license and a fee of \$210 for each triennial registration fee. Additionally, as required by Education Law § 7206-a(2-a), applicants for licensure seeking an identification card as an "intern land surveyor" must pay a fee of \$70 to the Department for the examination and identification card as an "intern land surveyor."

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed rule will not impose any new technological requirements on regulated parties, including those that are classified as small businesses or local governments, and the proposed rule is economically feasible. See above "Compliance Costs" for the economic impact of the regulation.

6. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to implement the provisions of Chapter 322, which, inter alia, updates the education and experience requirements for licensure as a land surveyor to conform with national standards. These requirements include, but are not limited to, professional education, experience, and examination requirements. Chapter 322 authorizes the Department to define, in regulation, the standards to be met for licensure as a land surveyor. Individuals seeking licensure to practice in New York State will be required to submit an application to the Department and meet all the requirements for licensure, which include, but are not limited to, the professional education, experience and examination requirements specified in the proposed rule. The proposed fee structure was determined by the legislature to be the minimum needed to support additional costs. It is on par with fee structures in other professions. It was determined that the licensure of land surveyors who meet the minimum requirements established in the proposed rule best ensures the protection of the health and safety of the public.

7. SMALL BUSINESS AND LOCAL GOVERNMENT PARTICIPATION:

Statewide organizations representing all parties having an interest in the practice of and surveying, including the State Board for Engineering, Land Surveying and Geology, who have members that practice land surveying in a variety of geographic regions and who are members of various professional associations and groups, which include members who have experience in small business environments, and state and federal employees, were consulted and provided input into the development of the proposed rule and their comments were considered in its development.

8. INITIAL REVIEW OF RULE (SAPA § 207):

Pursuant to State Administrative Procedure Act section 207(1)(b), the State Education Department proposes that the initial review of this rule shall occur in the fifth calendar year after the year in which the rule is adopted, instead of in the third calendar year. The justification for a five year review period is that the proposed rule is necessary to implement statutory requirements in Chapter 322 and, therefore, the substantive provisions of the proposed rule cannot be repealed or modified unless there is a further statutory change. Accordingly, there is no need for a shorter review period. The Department invites public comment on the proposed five-year review period for this rule. Comments should be sent to the agency contact listed in item 10 of the Notice of Proposed Rule Making published herewith and must be received within 45 days of the State Register publication date of the Notice.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed rule will apply to all individuals seeking licensure as a land surveyor and to higher education institutions seeking to register land surveying education programs with the State Education Department (Department), including those located in the 44 counties with less than 200,000 inhabitants and the 71 towns in urban counties with a population density of 150 per square miles or less.

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

As required by Chapter 322 of the Laws of 2019 (Chapter 322), which becomes effective April 3, 2021, the proposed rule updates the education

and experience requirements for licensure as a land surveyor to conform with national standards.

Chapter 322 also phases out the all experience pathway to land surveyor licensure, in eight years, in order to provide individuals who are currently gaining experience to be licensed under this pathway the opportunity to complete it.

In addition to updating the education and experience requirements for land surveyor licensure and gradually phasing out the all experience pathway to licensure, Chapter 322 makes conforming changes that allow practical experience satisfactory to the Department to be used to meet the experience requirements and modifies the fees for initial licensure and the triennial registration periods to reflect the fact that the examination is no longer administered by the Department. Additionally, Chapter 322 allows applicants with an associate's degree in land surveying, or an associate's degree or higher in engineering, math or a related science with credits in land surveying acceptable to the Department to apply for licensure without having to meet the education requirements currently specified in the Education Law if they obtain additional experience; and requires applicants to fulfill the education, experience, and examination requirements in accordance with the Regulations of the Commissioner of Education (Commissioner's regulations). Chapter 322 further provides that after passing the licensure examination, an intern land surveyor identification card will be issued by the Department to applicants.

The proposed addition of section 52.49 to the Commissioner's regulations establishes the program registration requirements for land surveyor education programs in accordance with the State statute. These requirements include registration and curriculum requirements for programs offered in New York State that lead to licensure as a land surveyor. The proposed amendment requires land surveying education programs to be: (1) an approved course of study in land surveying or a substantially equivalent program as determined by the Department, which leads to a bachelor's degree or higher; or (2) an approved course of study in land surveying which leads to an associate's degree; or (3) an approved course of study which leads to an associate's degree or higher in engineering, math, or a related science or their substantial equivalent and includes a minimum of 15 semester hours in the following four specified subject areas: (a) survey I; (b) survey II; (c) boundary/survey law 1; and (d) boundary/survey law 2, and if 15 semester hours are not gained in any of the four specified subject areas, any additional courses or their substantial equivalent from any of the following seven specified subject areas: (a) cadastral; (b) geodesy; (c) measurement/analysis; (d) remote sensing; (e) digital surveying methods; (f) route surveying; or (g) photogrammetry and aerial photo interpretations.

The proposed amendment to section 68.4 of the Commissioner's regulations amends the land surveyor education requirements for licensure by requiring: (1) completion of a bachelor's degree or higher in land surveying or the equivalent from a program approved by the Department as recommended by the State Board for professional licensure purposes and three years of land surveying experience acceptable to the Department as recommended by the State Board for Engineering, Land Surveying and Geology (State Board); (2) completion of a bachelor's degree or higher in engineering, math, or related science with 15 credits of surveying course work acceptable to the Department as recommended by the State Board as set forth in section 52.49 of the Commissioner's regulations and four years of land surveying experience acceptable to the Department as recommended by the State Board; (3) completion of an associate's degree in land surveying and five-and-a-half years of land surveying experience acceptable to the Department as recommended by the State Board; (4) completion of an associate's degree in engineering, math, or related science with 15 credits of land surveying course work acceptable to the Department as recommended by the State Board as set forth in section 52.49 of the Commissioner's regulations and six years of land surveying experience acceptable to the Department as recommended by the State Board; or (5) completion of an approved secondary course of study; and for those applying for licensure on or after September 1, 1987, the equivalent of eight years of land surveying experience acceptable to the Department as recommended by the State Board, provided that all experience is completed prior to April 3, 2029 and provided that each full year of college study in engineering or land surveying program approved by the department for professional licensure purposes may be accepted in lieu of one year of such experience to a maximum of four years.

The proposed amendment to section 68.6 of the Commissioner's regulations amends, among other things, the admission requirements for the fundamentals of surveying examination by requiring an applicant to: (1) be within 20 credits of graduation from a bachelor's degree program in surveying registered as leading to licensure pursuant to section 52.49 of the Commissioner's regulations, or accredited by an acceptable accrediting agency, or a bachelor's degree program that is substantially equivalent to such a registered or accredited program as determined by Department as recommended by the State Board; (2) hold a bachelor's degree in

engineering, math, or a related science with 15 credits of surveying as set forth in section 52.49 of the Commissioner's regulations and have completed one year of experience acceptable to the Department as recommended by the State Board; (3) hold an associate's degree in surveying accredited by an acceptable accrediting agency, or an associate's degree program that is substantially equivalent to such a registered or accredited program as determined by the Department and have completed two and a half years of experience acceptable to the Department as recommended by the State Board; or (4) hold an associate's degree in engineering, math, or related science with 15 credits of surveying as set forth in section 52.49 of the Commissioner's regulations and have completed three years of experience acceptable to the Department as recommended by the State Board.

Additionally, the proposed amendment to section 68.6 of the Commissioner's regulations requires an applicant for admission to the principles and practice of surveying and the New York State jurisdictional surveying examinations to have completed the education and experience requirements set forth in section 68.4 of the Commissioner's regulations.

The proposed rule will not require any higher education institution to offer an education program that leads to licensure as a land surveyor. The proposed rule will not impose any reporting, recordkeeping or other compliance requirements on higher education institutions in rural areas, unless they seek to register a land surveyor education program with the Department. Such higher education institutions will have reporting and record keeping obligations related to the development and maintenance of their land surveyor education programs, as well as the registration of such programs with the Department.

Individuals seeking licensure to practice in New York State will be required to submit an application to the Department and meet all the requirements for licensure, which include but are not limited to, the professional education, experience and examination requirements specified in the proposed rule.

The proposed rule will not impose any additional professional service requirements on entities in rural areas.

3. COSTS:

With respect to individuals seeking licensure as a land surveyor from the Department, including those in rural areas, the proposed rule does not impose any additional costs beyond those required by statute. As required by Education Law § 7206-a(1)(8), applicants for licensure as land surveyors must pay a fee to the Department of \$135 for their initial license and a fee of \$210 for each triennial registration fee. Additionally, as required by Education Law § 7206-a(2-a), applicants for licensure seeking an identification card as an "intern land surveyor" must pay a fee of \$70 to the Department for the examination and identification card as an "intern land surveyor."

Moreover, after the expiration of the all experience pathway to licensure on April 3, 2021, applicants for licensure as a professional geologist will incur the cost of an associate's degree-level or higher degree-level education.

The proposed rule will not require higher education institutions to offer education programs that prepare individuals for licensure as a land surveyor. However, higher education institutions that seek to register land surveyor education programs with the Department, including those in rural areas, may incur costs related to the development and maintenance of such education programs and their registration. It is anticipated that such costs will be minimal because several higher education institutions are already offering courses that would or could, with adjustments, meet the registration requirements for a land surveyor education program, and that higher education institutions should be able to use their existing staffs and resources to revise their courses and curricula to meet the land surveyor education requirements.

4. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to implement the provisions of Chapter 322, which, inter alia, updates the education and experience requirements for licensure as a land surveyor to conform with national standards. Nor do they make exceptions for higher education institutions located in rural areas. Thus, the Department has determined that the proposed rule's requirements should apply to all individuals seeking licensure as a land surveyor and all higher education institutions seeking to register licensure qualifying land surveying education programs with the Department, regardless of the geographic location, to help insure continuing competency across the State. The Department has also determined that uniform standards for the Department's review of prospective licensure qualifying land surveyor education programs are necessary to ensure quality land surveying education in all parts of the State. Because of the nature of the proposed rule, alternative approaches for rural areas were not considered.

5. RURAL AREAS OF PARTICIPATION:

Comments on the proposed rule were solicited from statewide organization representing parties having an interest in the practice of land surveying. These organizations included the State Board for Engineering, Land Surveying and Geology, who have member that practice land survey-

ing in a variety of geographic regions and who are members of various professional associations and groups, as well as representatives from academia. These groups have members who live or work or provide land surveying services in rural areas.

6. INITIAL REVIEW OF RULE (SAPA § 207):

Pursuant to State Administrative Procedure Act section 207(1)(b), the State Education Department proposes that the initial review of this rule shall occur in the fifth calendar year after the year in which the rule is adopted, instead of in the third calendar year. The justification for a five year review period is that the proposed rule is necessary to implement statutory requirements in Chapter 322 and, therefore, the substantive provisions of the proposed rule cannot be repealed or modified unless there is a further statutory change. Accordingly, there is no need for a shorter review period. The Department invites public comment on the proposed five-year review period for this rule. Comments should be sent to the agency contact listed in item 10 of the Notice of Proposed Rule Making published herewith and must be received within 45 days of the State Register publication date of the Notice.

Job Impact Statement

The proposed rule is necessary to conform the Regulations of the Commissioner of Education (Commissioner's regulations) to Chapter 322 of the Laws of 2019 (Chapter 322). The proposed rule implements Chapter 322, which amends section 7206-a of the Education Law, effective April 3, 2021, to, inter alia, update the education and experience requirements for licensure as a land surveyor to conform with national standards. Chapter 322 phases out the all experience pathway to land surveyor licensure, in eight years, in order to provide individuals who are currently gaining experience to be licensed under this pathway the opportunity to complete it.

The proposed addition of section 52.49 to the Commissioner's regulations establishes the program registration requirements for land surveyor education programs in accordance with the State statute. These requirements include registration and curriculum requirements for programs offered in New York State that lead to licensure as a land surveyor. The proposed amendment requires land surveyor education programs to be: (1) an approved course of study in land surveying or a substantially equivalent program as determined by the Department, which leads to a bachelor's degree or higher; or (2) an approved course of study in land surveying which leads to an associate's degree; or (3) an approved course of study which leads to an associate's degree or higher in engineering, math, or a related science or their substantial equivalent and includes a minimum of 15 semester hours in the following four specified subject areas: (a) survey I; (b) survey II; (c) boundary/survey law 1; and (d) boundary/survey law 2, and if 15 semester hours are not gained in any of the four specified subject areas, any additional courses or their substantial equivalent from any of the following seven specified subject areas: (a) cadastral; (b) geodesy; (c) measurement/analysis; (d) remote sensing; (e) digital surveying methods; (f) route surveying; or (g) photogrammetry and aerial photo interpretations.

The proposed amendment to section 68.4 of the Commissioner's regulations amends the land surveyor education requirements for licensure by requiring: (1) completion of a bachelor's degree or higher in land surveying or the equivalent from a program approved by the Department as recommended by the State Board for professional licensure purposes and three years of land surveying experience acceptable to the Department as recommended by the State Board for Engineering, Land Surveying and Geology (State Board); (2) completion of a bachelor's degree or higher in engineering, math, or related science with 15 credits of surveying course work acceptable to the Department as recommended by the State Board as set forth in section 52.49 of the Commissioner's Regulations and four years of land surveying experience acceptable to the Department as recommended by the State Board; (3) completion of an associate's degree in land surveying and five-and-a-half years of land surveying experience acceptable to the Department as recommended by the State Board; (4) completion of an associate's degree in engineering, math, or related science with 15 credits of land surveying course work acceptable to the Department as recommended by the State Board as set forth in section 52.49 of the Commissioner's regulations and six years of land surveying experience acceptable to the Department as recommended by the State Board; or (5) completion of an approved secondary course of study; and for those applying for licensure on or after September 1, 1987, the equivalent of eight years of land surveying experience acceptable to the Department as recommended by the State Board, provided that all experience is completed prior to April 3, 2029 and provided that each full year of college study in engineering or land surveying program approved by the department for professional licensure purposes may be accepted in lieu of one year of such experience to a maximum of four years.

The proposed amendment to section 68.6 of the Commissioner's regulations amends, among other things, the admission requirements for the fundamentals of surveying examination by requiring an applicant to: (1)

be within 20 credits of graduation from a bachelor's degree program in surveying registered as leading to licensure pursuant to section 52.49 of the Commissioner's regulations, or accredited by an acceptable accrediting agency, or a bachelor's degree program that is substantially equivalent to such a registered or accredited program as determined by Department as recommended by the State Board; (2) hold a bachelor's degree in engineering, math, or a related science with 15 credits of surveying as set forth in section 52.49 of the Commissioner's regulations and have completed one year of experience acceptable to the Department as recommended by the State Board; (3) hold an associate's degree in surveying accredited by an acceptable accrediting agency, or an associate's degree program that is substantially equivalent to such a registered or accredited program as determined by the Department and have completed two and a half years of experience acceptable to the Department as recommended by the State Board; or (4) hold an associate's degree in engineering, math, or related science with 15 credits of surveying as set forth in section 52.49 of the Commissioner's Regulations and have completed three years of experience acceptable to the Department as recommended by the State Board.

Additionally, the proposed amendment to section 68.6 of the Commissioner's regulations requires an applicant for admission to the principles and practice of surveying and the New York State jurisdictional surveying examinations to have completed the education and experience requirements set forth in section 68.4 of the Commissioner's regulations.

It is not anticipated that the proposed rule will increase or decrease the number of jobs to be filled because, among other things, Chapter 322 phases out the all experience pathway to licensure, in eight years, in order to provide individuals who are currently gaining experience to be licensed under this pathway the opportunity to complete it. Although this pathway will expire on April 3, 2029, the licenses issued under it will not. Therefore, the proposed rule will not have a substantial adverse impact on jobs and employment opportunities. Because it is evident from the nature of the proposed rule that it will not affect job and employment opportunities, no affirmative 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.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Addressing the COVID-19 Crisis

I.D. No. EDU-13-21-00014-EP

Filing No. 266

Filing Date: 2021-03-16

Effective Date: 2021-03-16

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

Proposed Action: Amendment of sections 100.4, 100.10 and 175.5 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 208, 209, 305, 1704, 3204, 3205, 3210, 3212, 3602 and 3604

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

Specific reasons underlying the finding of necessity: On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. In response, the Department presented, and the Board of Regents adopted, numerous emergency regulations to address issues resulting from interruptions caused by the COVID-19 crisis and to provide regulatory flexibility during the crisis. To address additional issues resulting from the interruptions caused by the COVID-19 crisis and to provide additional regulatory flexibility, the Department is proposing further emergency regulatory amendments as follows:

- Annual Home Instruction Assessment

- The Department proposes to amend section 100.10(h)(2-a) of the Commissioner's regulations to extend the 2019-2020 home instruction annual assessment and alternative evaluation requirements exemption to the 2020-2021 school year to provide additional flexibility during the COVID-19 crisis and to provide parity to students receiving home instruction.

- Annual Instructional Hour Waiver

- The Department proposes to amend section 175.5(n) of the Commissioner's regulations to remove the requirement that, in order to receive the

annual instructional hour waiver described in such section, school districts must provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district. Additionally, the Department proposes to make a technical correction to such section to replace the reference to Education Law § 3604(8) with a reference to Education Law § 3604(7).

• **Grade 8 acceleration for diploma credit**

■ Due to the COVID-19 crisis, the Department has adopted emergency regulations amending section 100.5 of the Commissioner's regulations providing for an exemption for the diploma requirements associated with Regents examinations and other assessments. Additionally, the Department has adopted emergency regulations amending section 100.4 of the Commissioner's regulations providing that for the 2019-2020 school year, 2020 summer school session, 2020-2021 school year and 2021 summer school session, where a principal, in consultation with relevant faculty, determines that a student has met the standards assessed in the provided coursework leading to the checkpoint A locally developed world language test, the district may choose to waive the test requirement and grant such student one unit of credit. Therefore, the Department proposes to amend section 100.4(d) of the Commissioner's regulations to provide that credit for an accelerated course in grade 8 may be awarded where a student passes the course and has been exempted from the associated Regents examination and/or checkpoint A locally developed world language test. Additionally, section 100.4(d) is amended to remove outdated assessment references (Attachment A #3).

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendments could be presented for regular (nonemergency) adoption, after publication in the State Register and expiration of the 60-day public comment period required in sections 201(1) and (5) of the State Administrative Procedure Act (SAPA) is the July 2021 Regents meeting. Furthermore, pursuant to SAPA 203(1), the earliest effective date of the proposed rule, if adopted at the July meeting, would be July 28, 2021, the date the Notice of Adoption would be published in the State Register.

Therefore, because the COVID-19 crisis is presently affecting the State of New York, emergency action is necessary at the March 2021 meeting for the preservation of the public health and general welfare in order to immediately provide flexibility for certain regulatory requirements in response to the COVID-19 crisis.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the July 2021 Regents meeting, which is the first scheduled meeting after the 60-day public comment period prescribed in SAPA for State agency rule making. Because the emergency action will expire before the June 2021 Regents meeting, it is anticipated that an additional emergency action will be presented for adoption at the June 2021 Regents meeting.

Subject: Addressing the COVID-19 Crisis.

Purpose: To provide regulatory flexibility in response to the COVID-19 crisis.

Text of emergency/proposed rule: 1. Paragraph (2-a) of subdivision (h) of section 100.10 of the Regulations of the Commissioner of Education is amended to read as follows:

(2-a) Due to the State of emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis, students shall be exempt from the annual assessment and alternative evaluation requirements of this subdivision for the 2019-20 and 2020-21 school [year] years where a student otherwise achieves the learning outcomes in accordance with their IHIP.

2. Paragraph (2) of subdivision (n) of section 175.5 of the Regulations of the Commissioner of Education is amended to read as follows:

(2) For the 2019-20 and 2020-21 school years, notwithstanding any other provision of this section to the contrary, any school district may be eligible for a waiver from the annual instructional hour requirement set forth in subdivision (c) of this section if the district is unable to meet such requirement as a result of an Executive Order(s) of the Governor pursuant to the State of emergency declared for the COVID-19 crisis, or pursuant to Education Law § [3604(8)] 3604(7), as amended by Chapter 107 of the Laws of 2020, or reopening procedures implemented as a result of the COVID-19 crisis, provided that such district meets the requirements outlined in subparagraphs (i)[, and (iii)[, and (iv)] of paragraph (1) of subdivision (m) of this section.

3. Subdivision (d) of section 100.4 of the Regulations of the Commissioner of Education is amended to read as follows:

(d) Grade 8 acceleration for diploma credit.

(1) Public school students in grade 8 shall have the opportunity to take high school courses in mathematics and in at least one of the following areas: English, social studies, languages other than English, art, music, career and technical education subjects or science courses.

(2) Credit may be awarded for an accelerated course only when at least one of the following conditions has been met:

(i) accelerated students attend classes in a high school with high school students and pass the course on the same basis as the high school students. Credit is awarded by the high school; or

(ii) the student passes the course and the associated [State proficiency examination] *checkpoint A locally developed world language test* or Regents examination, when available, *provided, however that a student shall be awarded credit for an accelerated course where such student passes the course and has been exempted from the associated Regents examination pursuant to paragraph (iv) of subdivision (a) of section 100.5 of this Part or from the associated checkpoint A locally developed world language test pursuant to paragraph (5) of subdivision (d) of section 100.2 of this Part due to the COVID-19 crisis.* The credit must be accepted as a transfer credit by all registered New York State high schools; or

(iii) in cases where no appropriate state assessment is available, the student passes a course in the middle, junior high or intermediate school that has been approved for high school credit by the public school district superintendent(s), or his or her designee(s), or the district(s) where the middle, junior high or intermediate school and the high school are located.

(3) Such opportunity shall be provided subject to the following conditions:

(i) The superintendent, or his or her designee, shall determine whether a student has demonstrated readiness in each subject in which he or she asks to begin high school courses in the eighth grade leading to a diploma.

(ii) A student shall be awarded high school credit for such courses only if such student passes a Regents examination, a [second language proficiency examination when available] *checkpoint A locally developed test*, [or a career and technical education proficiency examination,] or, if no such examinations are available, a locally developed examination that establishes student performance at a high school level as determined by the principal, *provided, however, that a student need not pass such an examination where the student has been exempted from a Regents examination pursuant to paragraph (iv) of subdivision (a) of section 100.5 of this Part or from a checkpoint A locally developed world language test pursuant to paragraph (5) of subdivision (d) of section 100.2 of this Part due to the COVID-19 crisis.*

(4) Courses taken pursuant to this subdivision may be substituted for the appropriate requirements set forth in subdivision (c) of this section.

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 June 13, 2021.

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

Data, views or arguments may be submitted to: Julia Patane, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 148EB, Albany, NY 12234, (518) 474-6400, email: REGCOMMENTS@nysed.gov

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law § 101 continues existence of Education Department, with Board of Regents as its head, and authorizes Regents to appoint Commissioner of Education as Department's Chief Administrative Officer, which is charged with general management and supervision of all public schools and educational work of State.

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

Education Law § 208 empowers the Regents to confer by diploma honorary degrees as they deem proper, establish examinations and award and confer suitable certificates, diplomas and degrees on persons who meet the prescribed requirements for such.

Education Law § 209 provides that the Regents shall establish, in secondary institutions, examinations in studies furnishing a suitable standard of graduation therefrom and of admission to colleges, and certificates or diplomas shall be conferred by the Regents to students who satisfactorily pass such examinations.

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

Education Law § 1704(2) provides that no board of education shall provide for a school year consisting of fewer than one hundred eighty days of school.

Education Law § 3204 provides that a minor required to attend upon instruction may attend at a public school or elsewhere.

Education Law § 3205 provides that each minor from six to sixteen years of age in each school district or on an Indian reservation shall attend upon full time instruction.

Education Law § 3210 prescribes the amount and character of required attendance.

Education Law § 3212 defines persons in parental relation and their duties and duties of certain other persons.

Education Law § 3602 provides for the apportionment of public moneys to school districts employing eight or more teachers.

Education Law § 3604 enumerates conditions under which districts are entitled to the apportionment of state funds.

2. LEGISLATIVE OBJECTIVES:

The proposed amendments are consistent with the above statutory authority and are necessary to address numerous issues resulting from the interruptions caused by the COVID-19 crisis.

3. NEEDS AND BENEFITS:

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. In response, the Department presented, and the Board of Regents voted to adopt, numerous emergency regulations to address issues resulting from interruptions caused by the COVID-19 crisis and to provide regulatory flexibility during the crisis. To address additional issues resulting from the interruptions caused by the COVID-19 crisis and to provide additional regulatory flexibility, the Department is proposing further emergency regulatory amendments as follows:

• Annual Home Instruction Assessment

o At its May 2020 meeting the Board adopted, as an emergency measure, amendments to the Commissioner's regulations providing an exemption to state assessment diploma requirements where students meet certain criteria due to the COVID-19 crisis. In order to provide flexibility during the COVID-19 crisis and to provide parity for students who receive home instruction, the Board adopted, as an emergency measure at its June 2020 meeting and as a permanent rule at its February 2021 meeting, amendments to section 100.10(h) of the Commissioner's regulations providing that for the 2019-20 school year, students who receive home instruction are exempted from the annual assessment and alternative evaluation requirements where they otherwise achieve the learning outcomes in accordance with their individualized home instruction plan (IHIP).

o At the March 2021 meeting, the Regents will vote to adopt proposed regulatory amendments to extend the state assessment diploma requirements exemptions through the 2020-21 school year due to the ongoing COVID-19 crisis. Therefore, the Department proposes to amend section 100.10(h)(2-a) of the Commissioner's regulations to extend the 2019-20 home instruction annual assessment and alternative evaluation requirements exemption to the 2020-21 school year to provide additional flexibility during the COVID-19 crisis and to provide parity to students receiving home instruction.

• Annual Instructional Hour Waiver

o At its February meeting, the Board of Regents voted to permanently adopt amendments to section 175.5 of the Commissioner's regulations to provide that for the 2019-2020 and 2020-2021 school years, school districts may be eligible for a waiver of the annual instructional hour requirement if the school district is unable to meet such requirement due to an Executive Order(s) of the Governor pursuant to the State of emergency declared for the COVID-19 crisis, or pursuant to Education Law § 3604(8), or due to reopening procedures implemented as a result of the COVID-19 crisis, provided that the district meets certain prescribed requirements.

o The Department now proposes to amend section 175.5(n) of the Commissioner's regulations to remove the requirement that, in order to receive the waiver described above, school districts must provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district. Additionally, the Department proposes to make a technical correction to such section to replace the reference to Education Law § 3604(8) with a reference to Education Law § 3604(7).

• Grade 8 acceleration for diploma credit

o Due to the COVID-19 crisis, the Department has adopted emergency regulations amending section 100.5 of the Commissioner's regulations providing for an exemption for the diploma requirements associated with Regents examinations and other assessments. Additionally, the Department has adopted emergency regulations amending section 100.4 of the Commissioner's regulations providing that for the 2019-2020 school year, 2020 summer school session, 2020-2021 school year and 2021 summer school session, where a principal, in consultation with relevant faculty, determines that a student has met the standards assessed in the provided coursework leading to the checkpoint A locally developed world language test, the district may choose to waive the test requirement and grant such

student one unit of credit. Therefore, the Department proposes to amend section 100.4(d) of the Commissioner's regulations to provide that credit for an accelerated course in grade 8 may be awarded where a student passes the course and has been exempted from the associated Regents examination and/or checkpoint A locally developed world language test. Additionally, section 100.4(d) is amended to remove outdated assessment references.

4. COSTS:

a. Costs to State government: The amendments do not impose any costs on State government.

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. Cost 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 additional program, service, duty or responsibility upon any local government.

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendments are necessary to address issues resulting from the COVID-19 crisis and to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. There are no significant alternatives to the proposed amendments and none were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

If adopted as an emergency rule at the March 2021 Regents meeting, the proposed amendment will become effective as an emergency rule on March 16, 2021. It is anticipated that the proposed amendment will be presented for permanent adoption at the July 2021 Regents meeting, after publication of the proposed amendment in the State Register and expiration of the 60-day public comment period required under the State Administrative Procedure Act. If adopted at the July 2021 meeting, the proposed amendment will become effective as a permanent rule on July 28, 2021. It is anticipated that regulated parties will be able to comply with the proposed amendment by the effective date.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed rule relates to addressing issues resulting from the COVID-19 crisis and providing flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendments do not impose any adverse economic impact, reporting, recordkeeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendments that they do not affect small businesses, no further measures were needed to ascertain that fact, and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local governments:

1. EFFECT OF RULE:

The purpose of the proposed amendments is to address issues resulting from the COVID-19 crisis and to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendments apply to each of the 695 public school districts in the State.

2. COMPLIANCE REQUIREMENTS:

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. In response, the Department presented, and the Board of Regents voted to adopt, numerous emergency regulations to address issues resulting from interruptions caused by the COVID-19 crisis and to provide regulatory flexibility during the crisis. To address additional issues resulting from the interruptions caused by the COVID-19 crisis and to provide additional regulatory flexibility, the Department is proposing further emergency regulatory amendments as follows:

• Annual Home Instruction Assessment

o At its May 2020 meeting the Board adopted, as an emergency measure, amendments to the Commissioner's regulations providing an exemption to state assessment diploma requirements where students meet certain criteria due to the COVID-19 crisis. In order to provide flexibility during the COVID-19 crisis and to provide parity for students who receive home instruction, the Board adopted, as an emergency measure at its June 2020 meeting and as a permanent rule at its February 2021 meeting, amend-

ments to section 100.10(h) of the Commissioner's regulations providing that for the 2019-20 school year, students who receive home instruction are exempted from the annual assessment and alternative evaluation requirements where they otherwise achieve the learning outcomes in accordance with their individualized home instruction plan (IHIP).

o At the March 2021 meeting, the Regents will vote to adopt proposed regulatory amendments to extend the state assessment diploma requirements exemptions through the 2020-21 school year due to the ongoing COVID-19 crisis. Therefore, the Department proposes to amend section 100.10(h)(2-a) of the Commissioner's regulations to extend the 2019-20 home instruction annual assessment and alternative evaluation requirements exemption to the 2020-21 school year to provide additional flexibility during the COVID-19 crisis and to provide parity to students receiving home instruction.

- **Annual Instructional Hour Waiver**

o At its February meeting, the Board of Regents voted to permanently adopt amendments to section 175.5 of the Commissioner's regulations to provide that for the 2019-2020 and 2020-2021 school years, school districts may be eligible for a waiver of the annual instructional hour requirement if the school district is unable to meet such requirement due to an Executive Order(s) of the Governor pursuant to the State of emergency declared for the COVID-19 crisis, or pursuant to Education Law § 3604(8), or due to reopening procedures implemented as a result of the COVID-19 crisis, provided that the district meets certain prescribed requirements.

o The Department now proposes to amend section 175.5(n) of the Commissioner's regulations to remove the requirement that, in order to receive the waiver described above, school districts must provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district. Additionally, the Department proposes to make a technical correction to such section to replace the reference to Education Law § 3604(8) with a reference to Education Law § 3604(7).

- **Grade 8 acceleration for diploma credit**

o Due to the COVID-19 crisis, the Department has adopted emergency regulations amending section 100.5 of the Commissioner's regulations providing for an exemption for the diploma requirements associated with Regents examinations and other assessments. Additionally, the Department has adopted emergency regulations amending section 100.4 of the Commissioner's regulations providing that for the 2019-2020 school year, 2020 summer school session, 2020-2021 school year and 2021 summer school session, where a principal, in consultation with relevant faculty, determines that a student has met the standards assessed in the provided coursework leading to the checkpoint A locally developed world language test, the district may choose to waive the test requirement and grant such student one unit of credit. Therefore, the Department proposes to amend section 100.4(d) of the Commissioner's regulations to provide that credit for an accelerated course in grade 8 may be awarded where a student passes the course and has been exempted from the associated Regents examination and/or checkpoint A locally developed world language test. Additionally, section 100.4(d) is amended to remove outdated assessment references.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

The proposed amendment will not impose any additional costs on local governments beyond those imposed by statute.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

6. MINIMIZING ADVERSE IMPACT:

The proposed amendments are necessary to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. Accordingly, no alternatives were considered.

7. LOCAL GOVERNMENT PARTICIPATION:

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

Rural Area Flexibility Analysis

The purpose of the proposed amendments to the Regulations of the Commissioner of Education is to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. In response, the Department presented, and the Board of Regents adopted, numerous emergency regulations to address issues resulting from

interruptions caused by the COVID-19 crisis and to provide regulatory flexibility during the crisis. To address additional issues resulting from the interruptions caused by the COVID-19 crisis and to provide additional regulatory flexibility, the Department is proposing further emergency regulatory amendments as follows:

- **Annual Home Instruction Assessment**

o The Department proposes to amend section 100.10(h)(2-a) of the Commissioner's regulations to extend the 2019-20 home instruction annual assessment and alternative evaluation requirements exemption to the 2020-21 school year to provide additional flexibility during the COVID-19 crisis and to provide parity to students receiving home instruction.

- **Annual Instructional Hour Waiver**

o The Department proposes to amend section 175.5(n) of the Commissioner's regulations to remove the requirement that, in order to receive the annual instructional hour waiver described in such section, school districts must provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district. Additionally, the Department proposes to make a technical correction to such section to replace the reference to Education Law § 3604(8) with a reference to Education Law § 3604(7).

- **Grade 8 acceleration for diploma credit**

o The Department proposes to amend section 100.4(d) of the Commissioner's regulations to provide that credit for an accelerated course in grade 8 may be awarded where a student passes the course and has been exempted from the associated Regents examination and/or checkpoint A locally developed world language test. Additionally, section 100.4(d) is amended to remove outdated assessment references.

The proposed amendment provides flexibility for certain regulatory requirements during the COVID-19 crisis. Thus, the proposed amendment does not adversely 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 flexibility analysis is not required and one has not been prepared.

Job Impact Statement

The purpose of the proposed amendments is to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendment provides flexibility related to the following:

- **Annual Home Instruction Assessment**

o The Department proposes to amend section 100.10(h)(2-a) of the Commissioner's regulations to extend the 2019-20 home instruction annual assessment and alternative evaluation requirements exemption to the 2020-21 school year to provide additional flexibility during the COVID-19 crisis and to provide parity to students receiving home instruction.

- **Annual Instructional Hour Waiver**

o The Department proposes to amend section 175.5(n) of the Commissioner's regulations to remove the requirement that, in order to receive the annual instructional hour waiver described in such section, school districts must provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district. Additionally, the Department proposes to make a technical correction to such section to replace the reference to Education Law § 3604(8) with a reference to Education Law § 3604(7).

- **Grade 8 acceleration for diploma credit**

o The Department proposes to amend section 100.4(d) of the Commissioner's regulations to provide that credit for an accelerated course in grade 8 may be awarded where a student passes the course and has been exempted from the associated Regents examination and/or checkpoint A locally developed world language test. Additionally, section 100.4(d) is amended to remove outdated assessment references.

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.

NOTICE OF EMERGENCY

ADOPTION

AND REVISED RULE MAKING NO HEARING(S) SCHEDULED

Addressing the COVID-19 Crisis

I.D. No. EDU-20-20-00008-ERP

Filing No. 265

Filing Date: 2021-03-16

Effective Date: 2021-03-16

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

Action Taken: Addition of section 80-5.27; amendment of sections 52.21, 60.6, 61.9, 80-1.2, 80-3.7, 100.1, 100.2, 100.4, 100.5, 100.6, 100.7, 100.19 and 151-1.3 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 209, 210, 211-f, 214, 215, 305, 3001, 3004, 3009, 3204, 3205, 3602, 3602-3, 3602-ee, 6525, 6611; Every Student Succeeds Act of 2015, sections 1111(b)(3), (c)(4), (d)(2); U.S.C., sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802)

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

Specific reasons underlying the finding of necessity: On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools and directing nonessential work personnel to work from home. In response, the Department adopted emergency regulations to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Department first presented these proposed amendments to the Full Board for adoption as an emergency action at the May 2020 Regents meeting, effective May 5, 2020. At the June, July, September, October, and December 2020 Board of Regents meetings, the Department revised the proposed amendments to provide clarification and additional regulatory flexibility. The Department is now proposing additional revisions to the proposed amendment to: (1) provide an exemption for the diploma, credential, and endorsement requirements related to the passing of certain state assessments for the 2020-2021 school year due to the COVID-19 crisis and make clarifications for such exemptions as applied to students in grade 8; (2) extend the exemption for the career development and occupational studies commencement credential through the 2020-2021 school year; and (3) clarify requirements for the 1,200 minutes of science laboratory experience during the COVID-19 crisis. The proposed amendments provide flexibility related to the following:

- Renewal of limited permits in medicine;
- In-person CPR course certification requirements for dentists and dental hygienists;
- The takeover and restructuring of struggling and persistently struggling schools;
- Teacher certification through the Individual Evaluation pathway;
- Expiration dates of the Initial certificate, Initial Reissuance, Provisional certificate, Provisional Renewal, and Conditional Initial certificate for teacher candidates;
- Emergency COVID-19 teaching certificates;
- School district leader and school district business leader assessments;
- Annual monitoring and tracking of prekindergarten program effectiveness and the annual report of the percentage of prekindergarten children making significant gains;
- Application deadline for alternative high school equivalency preparation programs;
- Unit of study requirements;
- Regents examinations, pathway assessments, alternative assessments, technical assessments, work-readiness assessments, and locally developed test requirements for a diploma;
- NYS career and development and occupational studies commencement credential; and
- General comprehensive examination requirements for a high school equivalency diploma.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendments could be presented for regular (nonemergency) adoption, after publication in the State Register and expiration of the 45-day public comment period required in the State Administrative Procedure Act (SAPA) section 201(4-a), is the June 2021 Regents meeting. However, because the COVID-19 crisis is presently affecting the State of New York, emergency action is necessary for the preservation of public health and the general welfare in order to immediately provide flexibility for certain regulatory requirements in response to the COVID-19 crisis, and to ensure that the emergency action taken at the February meeting remains continuously in effect.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the June 2021 Regents meeting, which is the first scheduled meeting after the 45-day public comment period prescribed in SAPA for State agency rule making. Because the emergency rule will expire before the June Regents meeting, it is anticipated that an additional emergency action will be presented for adoption at the May 2021 Regents meeting.

Subject: Addressing the COVID-19 Crisis.

Purpose: To provide flexibility for certain regulatory requirements in response to the COVID-19 crisis.

Substance of emergency/revised rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/full-text-indices>): On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools and directing nonessential work personnel to work from home. In response, the Department has adopted emergency regulations to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, the Department is proposing further emergency regulatory amendments as follows:

- Professions
 - o Section 60.6 is amended to permit the Department, at its discretion, to renew limited permits in medicine for one additional 24-month period.
 - o Section 61.19(b) is amended to permit the Department to accept alternative means to be used by dentists and dental hygienists to obtain and/or maintain the required certification in cardiopulmonary resuscitation other than through an in-person course during the COVID-19 crisis.
- Receivership
 - o Section 100.19 is amended to provide that: (1) the Commissioner shall not use 2019-20 school year results to newly identify any schools as struggling, place any schools under independent receivership, or remove the designation of any schools as struggling or persistently struggling; (2) all schools identified as persistently struggling or struggling schools for the 2019-20 school year shall remain so identified for the 2020-21 school year and all schools that operated under a school district superintendent receiver in the 2019-20 school year shall continue to operate under a school district superintendent receiver in the 2020-21 school year; and (3) the Commissioner may, upon a finding of good cause, modify for the 2019-20 through 2021-22 school years any timelines pertaining to notifications, plans, reports, or implementation of activities required by such section, except for any timelines prescribed by law.
- Higher Education
 - o Section 80-3.7 is amended to allow any undergraduate or graduate level course completed during the spring, summer, or fall 2020 terms with a passing grade, or its equivalent, to count toward the content core or pedagogical core semester hour requirements for certification through the Individual Evaluation pathway. The passing grade, or its equivalent, must be in accordance with the pass/fail grading policy, or its equivalent, at the institution of higher education (e.g., credit/no credit, pass/fail, satisfactory/unsatisfactory policy).
 - o Section 80-1.2(b) is amended to extend the expiration date of the Initial certificate, Initial Reissuance, Provisional certificate, Provisional Renewal, and the extensions of the initial and Provisional certificates from August 31, 2020 to January 31, 2021 to provide candidates with the time needed to work in schools and complete the requirements for the Professional or Permanent certificate. Additionally, such section is amended to extend the expiration date of the Conditional Initial certificate from August 31, 2020 to August 31, 2021 to provide candidates with the time needed to complete the edTPA, which requires working with students. An additional year gives candidates the time to establish a relationship with students, teach lessons and assess student learning, and prepare the edTPA submission once classroom routines are more consistent after the COVID-19 crisis.
 - o Section 80-5.27 is added to create an Emergency COVID-19 certificate for candidates seeking certain certificates, extensions, and annotations because there is limited test center availability and schools have been closed pursuant to Executive Order(s) of the Governor due to the COVID-19 crisis. This certificate would be valid for one year and could be renewed one time for an additional year with letter(s) of recommendation from school, district, and/or BOCES administrators. Candidates must apply for the certificate, extension, or annotation on or before September 1, 2021. They must also apply for the Emergency COVID-19 certificate, in the same certificate title as the certificate, extension, or annotation applied for, on or before September 1, 2021.
 - o Section 52.21(c) is amended to exempt school district leader (SDL) and school business leader (SDBL) candidates from taking and passing the SDL and SDBL assessment, respectively, for program completion and for the institutional recommendation for the Professional certificate, if they completed all program requirements except the assessment requirement in the 2019-2020 or 2020-2021 academic year. The exemption enables these candidates to complete their program while there is limited test center availability due to the COVID-19 crisis and receive institutional recommendation for Professional certification, which would be needed to pursue the proposed Emergency COVID-19 certificate. The candidates would need to take and pass the SDL and SDBL assessment to earn Professional SDL and SDBL certification, respectively.

o Section 52.21(c) is also amended to exempt candidates admitted to Transitional D programs leading to school district leader certification from taking and passing the SDL assessment for the institutional recommendation for the Transitional D certificate, if they completed all requirements for admitted candidates except the assessment requirement on or before September 1, 2021. The exemption enables Transitional D candidates to receive institutional recommendation for Transitional D certification while there is limited test center availability due to the COVID-19 crisis, which would be needed to pursue the proposed Emergency COVID-19 certificate. The candidates would need to take and pass the SDL assessment to earn Transitional D certification.

- Early Learning

o Section 151-1.3(b) is amended to waive the requirement that school districts must annually monitor and track prekindergarten program effectiveness for the 2019-2020 school year and to waive the annual report of the percentage of prekindergarten children making significant gains for the 2019-2020 school year.

- Alternative High School Equivalency Program ("AHSEP")

o Section 100.7 is amended to provide an extension to the June 30 application deadline for alternative high school equivalency preparation programs to be operated during the 2020-2021 school year.

- Curriculum and Instruction

o Section 100.1 is amended to provide that a unit of credit may be earned where a student has not completed a unit of study due to the COVID-19 crisis but has otherwise achieved the standards assessed in the provided coursework;

o Sections 100.2 and 100.5 are amended to provide an exemption to the diploma, credential, and endorsement requirements associated with the Regents examination, pathway assessment, alternative assessment, technical assessment, and locally developed test during the 2019-20 and 2020-21 school years due to the COVID-19 crisis so that students are still able to meet their diploma requirements;

o Section 100.4 is amended to make a technical citation correction;

o Section 100.5 is amended to provide that the 1,200 minutes of laboratory experience is not required for a student to qualify to take a Regents examination where such student is unable to meet the 1,200 minute requirement due to the COVID-19 crisis, and to provide that 1,200 minutes of lab experience is not required for a student to be exempted from a Regents examination;

o Section 100.6 is amended to exempt students from the requirements for the career development and occupational studies commencement credential ("CDOS"), including the work readiness assessment, provided that the student is otherwise eligible to exit from high school and has otherwise demonstrated knowledge and skills relating to the CDOS learning standards; and

o Section 100.7 is amended to provide an exemption from the sub-tests of the general comprehensive examination requirements for a high school equivalency diploma where students meet certain criteria.

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 May 20, 2020, I.D. No. EDU-20-20-00008-EP. The emergency rule will expire May 14, 2021.

Revised rule making(s) were previously published in the State Register on December 30, 2020.

Emergency rule compared with proposed rule: Substantial revisions were made in sections 52.21(c)(4), 100.2(d)(5), 100.5(a)(5), (b)(7), (d)(6) and 100.6(b).

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

Data, views or arguments may be submitted to: Julia Patane, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 148EB, Albany, NY 12234, (518) 474-6400, email: REGCOMMENTS@nysed.gov

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

Revised Regulatory Impact Statement

Since the publication of a Notice of Emergency Adoption in the State Register on February 24, 2021, substantial revisions were made to sections 52.21, 100.2, 100.5, and 100.6 of the Commissioner's regulations to: (1) provide an exemption for the diploma, credential, and endorsement requirements related to the passing of certain State assessments for the 2020-2021 school year due to the COVID-19 crisis and make clarifications for such exemptions as applied to students in grade 8; (2) extend the exemption for the career development and occupational studies commencement credential through the 2020-2021 school year; (3) clarify requirements for the 1,200 minutes of science laboratory experience dur-

ing the COVID-19 crisis; and (4) change references to "languages other than English" to "world languages" and "a world language other than English" to align with the Departments proposed regulatory change renaming the Languages Other than English (LOTE) learning standards.

These substantial revisions do not require any changes to the previously published Regulatory Impact Statement.

Revised Regulatory Flexibility Analysis

Since the publication of a Notice of Emergency Adoption in the State Register on February 24, 2021, substantial revisions were made to sections 52.21, 100.2, 100.5, and 100.6 of the Commissioner's regulations to: (1) provide an exemption for the diploma, credential, and endorsement requirements related to the passing of certain State assessments for the 2020-2021 school year due to the COVID-19 crisis and make clarifications for such exemptions as applied to students in grade 8; (2) extend the exemption for the career development and occupational studies commencement credential through the 2020-2021 school year; (3) clarify requirements for the 1,200 minutes of science laboratory experience during the COVID-19 crisis; and (4) change references to "languages other than English" to "world languages" and "a world language other than English" to align with the Departments proposed regulatory change renaming the Languages Other than English (LOTE) learning standards.

These substantial revisions do not require any changes to the previously published Regulatory Flexibility Analysis for Small Businesses and Local Government.

Revised Rural Area Flexibility Analysis

The purpose of the proposed amendments to the Regulations of the Commissioner of Education is to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools and directing nonessential work personnel to work from home. In response, the Department has adopted emergency regulations to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, the Department is proposing further emergency regulatory amendments providing flexibility related to the following:

- Renewal of limited permits in medicine;
- In-person CPR course certification requirements for dentists and dental hygienists;
- The takeover and restructuring of struggling and persistently struggling schools;
- Teacher certification through the Individual Evaluation pathway;
- Expiration dates of the Initial certificate, Initial Reissuance, Provisional certificate, Provisional Renewal, and Conditional Initial certificate for teacher candidates;
- Emergency COVID-19 teaching certificates;
- School district leader and school district business leader assessments;
- Annual monitoring and tracking of prekindergarten program effectiveness and the annual report of the percentage of prekindergarten children making significant gains;
- Application deadline for alternative high school equivalency preparation programs;
- Unit of study requirements;
- Regents examinations, pathway assessments, alternative assessments, technical assessments, and locally developed test requirements for a diploma;
- NYS career and development and occupational studies commencement credential; and
- General comprehensive examination requirements for a high school equivalency diploma.

The proposed amendment provides flexibility for certain regulatory requirements during the COVID-19 crisis. Thus, the proposed amendment does not adversely 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 flexibility analysis is not required and one has not been prepared.

Revised Job Impact Statement

The purpose of the proposed amendments is to provide flexibility for certain regulatory requirements in response to the COVID-19 crisis. The proposed amendment provides flexibility related to the following:

- Renewal of limited permits in medicine;
- In-person CPR course certification requirements for dentists and dental hygienists;
- The takeover and restructuring of struggling and persistently struggling schools;

- Teacher certification through the Individual Evaluation pathway;
- Expiration dates of the Initial certificate, Initial Reissuance, Provisional certificate, Provisional Renewal, and Conditional Initial certificate for teacher candidates;
- Emergency COVID-19 teaching certificates;
- School district leader and school business leader assessments;
- Annual monitoring and tracking of prekindergarten program effectiveness and the annual report of the percentage of prekindergarten children making significant gains;
- Application deadline for alternative high school equivalency preparation programs;
- Unit of study requirements;
- Regents examinations, pathway assessments, alternative assessments, technical assessments, and locally developed test requirements for a diploma;
- NYS career and development and occupational studies commencement credential; and
- General comprehensive examination requirements for a high school equivalency diploma.

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

The agency received no public comment.

NOTICE OF ADOPTION

Special Education Impartial Hearing Officers and the Special Education Due Process System Procedures

I.D. No. EDU-11-20-00013-A

Filing No. 260

Filing Date: 2021-03-16

Effective Date: 2021-03-31

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

Action taken: Amendment of sections 200.1 and 200.5 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305, 3214, 4403, 4404 and 4410

Subject: Special Education Impartial Hearing Officers and the Special Education Due Process System Procedures.

Purpose: To address volume of special education due process complaints in the New York City due process system.

Text or summary was published in the March 18, 2020 issue of the Register, I.D. No. EDU-11-20-00013-P.

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

Revised rule making(s) were previously published in the State Register on July 29, 2020 and January 6, 2021.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Ave., Room 112EB, 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 2024, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

Allowing Impartial Hearing Officer (IHO) to Conduct the Impartial Hearing by Video Conference or Teleconference with Consent of the Parent

1. COMMENT:

One comment was received in support of the proposed amendment allowing special education impartial hearings to continue remotely, and to give parents the decision-making power to choose that these hearings be remote. The commenter indicated that it's important to support families undergoing multiple stresses and to prioritize the needs of the child in that context. These needs are best met by reducing the costs and delays associated with in-person hearings, and that this will maximize the welfare of the child while reducing costs to the city and to families.

DEPARTMENT RESPONSE:

Comment is supportive; therefore, no response needed.

2. COMMENT:

Numerous commenters indicated the proposed rule to allow hearing officers to conduct hearings remotely, with the consent of the parent, did not

go far enough to protect the interest of parents and their witnesses indicating that:

- Prior to conversion to remote hearings due to pandemic, certain hearing officers categorically refused to permit remote testimony under any circumstances. To prevent return to that practice once the pandemic restrictions are relaxed, rule should be amended to give parents the unilateral right to present testimony remotely for reasons of convenience.

- In-person hearings are fraught with delays due to inadequate facilities or scheduling difficulties. It is not uncommon for parents and their witnesses to wait for hours at the hearing office until a conference room or hearing officer is available or to be told that they must return another day.

- Educators and clinicians who usually only testify for 30-45 minutes must typically leave their students and patients for entire morning or afternoon. The additional time required to testify in person also increases the cost of paying an outside expert to testify (such as doctors or clinicians who evaluate or treat their child) – disproportionately impacting low-income parents.

- Given the positive experience with remote hearings reported by participants in hearings, it should be evident that affording parents the flexibility to present remote testimony for reasons of convenience will prejudice no one and instead lead to greater efficiency for all.

DEPARTMENT RESPONSE:

The Department acknowledges the importance of parent choice in the manner in which an impartial hearing is conducted, as well as the commenters' justifiable concerns regarding hearing delays due to inadequate facilities or scheduling difficulties, the need to reschedule due to delays, and the additional time and expense of testifying in person and the burden on low-income families. The Department has also received accounts of positive experiences regarding remote hearings. Nevertheless, the Department declines to change the proposed regulations. Consistent with the United States Department of Education's Office of Special Education Programs' Letter to Anonymous (23 LRP 3438), IHOs have substantial discretion as to how they conduct hearings. IHOs may justifiably decline to conduct a hearing by telephone or videoconference after determining, for example, that it is necessary to personally observe a witness to judge his or her credibility. If a party feels that an IHO made an inappropriate decision with respect to witness testimony via telephone or videoconference, the party may challenge that decision on appeal.

The Department also acknowledges that a small number of IHOs initially refused to allow hearings by videoconference following the April 2020 emergency regulations allowing IHOs to conduct special education due process hearings by videoconference during the COVID-19 crisis. The Department quickly worked with those IHOs to ensure they were providing parents with access to telephone and/or videoconferencing and will continue to provide guidance to IHOs to encourage them to do so, as appropriate. Additionally, after conducting hearings by video conference as afforded by these emergency regulations, many IHOs indicated support of the option of videoconferencing. Finally, if an individual believes that an IHO unreasonably refuses to allow remote testimony, he or she may file a complaint consistent with section 200.21 of the Regulations of the Commissioner of Education.

NOTICE OF ADOPTION

Creating a Safety Net for the School Building Leader Assessment

I.D. No. EDU-30-20-00005-A

Filing No. 261

Filing Date: 2021-03-16

Effective Date: 2021-03-31

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

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

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

Subject: Creating a Safety Net for the School Building Leader Assessment.

Purpose: To create a safety net for the School Building Leader Assessment.

Text or summary was published in the July 29, 2020 issue of the Register, I.D. No. EDU-30-20-00005-P.

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

Revised rule making(s) were previously published in the State Register on January 6, 2021.

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 112EB, 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 2024, 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**Regional Bibliographic Data Bases and Interlibrary Resources Sharing Program**

I.D. No. EDU-48-20-00003-A

Filing No. 262

Filing Date: 2021-03-16

Effective Date: 2021-03-31

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

Action taken: Amendment of section 90.19 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 208, 215, 253-268, 271-273, 273-a, 282, 283, 284 and 285

Subject: Regional Bibliographic Data Bases and Interlibrary Resources Sharing Program.

Purpose: Update and clarify certain terminology related to the use of technology in libraries and to reflect new technologies.

Text or summary was published in the December 2, 2020 issue of the Register, I.D. No. EDU-48-20-00003-P.

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

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, 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 2024, 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****Renaming the Languages Other Than English (LOTE) Learning Standards to "World Languages"**

I.D. No. EDU-13-21-00012-P

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

Proposed Action: Amendment of Parts 30 and 80, sections 52.21, 100.1, 100.2, 100.4, 100.5, 100.7, 151-2.2, 154-2.2, 154-2.3 and 154-2.10 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 208, 209, 210, 212, 215, 305, 815, 3204, 3205, 3001, 3004 and 3009

Subject: Renaming the Languages Other Than English (LOTE) learning standards to "World Languages".

Purpose: To rename the LOTE learning standards to "World Languages" and corresponding changes to the certificate title and tenure titles.

Substance of proposed rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/full-text-indices>): The revised New York State Learning Standards in Languages Other Than English (LOTE) are being proposed to the Board of Regents for approval at its March 2021 meeting. One aspect of this revision is the renaming of the standards to "New York State Standards for World Languages," which requires revisions to current regulations.

Therefore, in order to implement the name change of the LOTE standards to Standards for World Languages, the proposed rule amends the Commissioner's regulations to replace the term "languages other than English" with "world languages" in reference to the learning standards, pathway assessment, and course credit. Additionally, to provide consistency, the Department also proposes to rename teaching certificate titles, as well as certification and teacher preparation program coursework

requirements from "language(s) other than English" to "world language(s) other than English," and the tenure title of "Foreign Languages" to "World Languages." Additionally, the Department proposes to amend references to the term "foreign languages" throughout the Commissioner's regulations to read "world languages" or "world languages other than English," as applicable.

Under the proposed amendment, teachers currently in the foreign languages tenure area would now be in the world languages tenure area, and any prior service in the foreign languages tenure area would be included toward service in the renamed world languages tenure area.

Text of proposed rule and any required statements and analyses may be obtained from: Elisa Alvarez, Associate Commissioner, NYS Education Department, Room 594, 55 Hanson Place, Brooklyn, NY 12217, (718) 722-2445, email: REGCOMMENTS@nysed.gov

Data, views or arguments may be submitted to: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 112EB, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

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

Regulatory Impact Statement**STATUTORY AUTHORITY:**

Education Law § 101 continues existence of Education Department, with Board of Regents as its head, and authorizes Regents to appoint Commissioner of Education as Department's Chief Administrative Officer, which is charged with general management and supervision of all public schools and educational work of State.

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

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

Education Law § 209 provides that the Regents shall establish, in secondary institutions, examinations in studies furnishing a suitable standard of graduation therefrom and of admission to colleges, and certificates or diplomas shall be conferred by the Regents to students who satisfactorily pass such examinations.

Education Law § 210 empowers the Regents to register domestic and foreign institutions in terms of New York standards, and fix the value of degrees, diplomas and certificates issued by institutions of other states or countries and presented to entrance to schools, colleges and the professions in New York.

Education Law § 215 authorizes the Board of Regents and the Commissioner of Education to require school districts to prepare and submit reports containing such information as they may prescribe.

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

Education Law § 815 establishes the New York State Seal of Biliteracy program to recognize high school graduates who have attained a "high level of proficiency in listening, speaking, reading, and writing in one or more languages, in addition to English." Subdivision (2)(b) of section 815 directs the Board of Regents to promulgate regulations as may be necessary to establish the criteria that students must achieve to earn a State Seal of Biliteracy.

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

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

Education Law § 3009 prohibits school districts from paying the salary of an unqualified teacher.

Education Law § 3204(2) and (2-a) provide for instructional programs for pupils with limited English proficiency to be conducted in accordance with regulations of the Commissioner. Education Law section 3204(3) authorizes the Commissioner to establish standards for the instruction of children with limited English proficiency, and section 3204(6) requires the Commissioner to establish such standards by regulation.

Education Law § 3205 provides that each minor from six to sixteen years of age in each school district or on an Indian reservation shall attend upon full time instruction.

LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the authority conferred by the above statutes and is necessary to align the Commissioner's regula-

tions and the Rules of the Board of Regents with the revised New York State Learning Standards in Languages Other Than English (LOTE) which have been renamed the New York State Learning Standards for World Languages.

NEEDS AND BENEFITS:

The revised New York State Learning Standards in Languages Other Than English (LOTE) are being proposed to the Board of Regents for approval at its March 2021 meeting. One aspect of this revision is the renaming of the standards to "New York State Standards for World Languages," which requires revisions to current regulations.

The revised standards, including information on the name-change, were published to solicit broad stakeholder feedback from December 16, 2019 to February 1, 2020. NYSED received 1,120 individual survey responses, with many leaving specific comments for various questions. The majority of responses were provided by K-12 educators and administrators; feedback was also received from higher education faculty, parents, students, school counselors, school board members, college students, and business and community members. Of the responses received, 94 percent of respondents indicated that they either moderately or strongly supported the revised standards overall, with 93 percent specifically supporting the name change.

Therefore, in order to implement the name change of the LOTE standards to Standards for World Languages, the proposed rule amends the Commissioner's regulations to replace the term "languages other than English" with "world languages" in reference to the learning standards, pathway assessments, graduation requirements, and course credit. Additionally, to provide consistency, the Department also proposes to rename teaching certificate titles, as well as certification and teacher preparation program coursework requirements from "language(s) other than English" to "world language(s) other than English," and the tenure area of "Foreign Languages" to "World Languages." Additionally, the Department proposes to amend references to the term "foreign languages" throughout the Commissioner's regulations to read "world languages" or "world languages other than English," as applicable.

Under the proposed amendment, teachers currently in the foreign languages tenure area would now be in the world languages tenure area, and any prior service in the foreign languages tenure area would be included toward service in the renamed world languages tenure area.

COSTS:

(a) Costs to State government: none.

(b) Cost to local government: none.

(c) Cost to private regulated parties: none.

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

LOCAL GOVERNMENT MANDATES:

The proposed rule merely conforms the Commissioner's regulations and the Rules of the Board of Regents with the renaming of the LOTE standards by replace the term "languages other than English" with "world languages" in reference to the learning standards, pathway assessments, graduation requirements, and course credit. Additionally, to provide consistency, the proposed rule renames the teaching certificate titles, as well as certification and teacher preparation program coursework requirements from "language(s) other than English" to "world language(s) other than English," and the tenure area of "Foreign Languages" to "World Languages." Additionally, references to the term "foreign languages" throughout the Commissioner's regulations are amended to read "world languages" or "world languages other than English," as applicable. Thus, the proposed rule does not impose any additional program, service, duty or responsibility upon local governments.

PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

DUPLICATION:

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

ALTERNATIVES:

The proposed amendment is necessary to conform the Commissioner's regulations and the Rules of the Board of Regents with the change in name of the LOTE standards to Standards for World Languages and to remove additional references to LOTE and "foreign languages" and replace such with the terms "world language(s)" or "world language(s) other than English," as applicable, with respect to pathway assessments, graduation requirements, course credit, teaching certificate titles, certification and teacher preparation coursework requirements, and tenure area to provide consistency. There are no significant alternatives to the proposed amendment, and none were considered.

FEDERAL STANDARDS:

There are no applicable Federal standards.

COMPLIANCE SCHEDULE:

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

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed rule merely conforms the Commissioner's regulations and the Rules of the Board of Regents with the renaming of the LOTE standards by replace the term "languages other than English" with "world languages" in reference to the learning standards, pathway assessments, graduation requirements, and course credit. To provide consistency, the proposed rule renames the teaching certificate titles, as well as certification and teacher preparation program coursework requirements from "language(s) other than English" to "world language(s) other than English," and the tenure area of "Foreign Languages" to "World Languages." Additionally, references to the term "foreign languages" throughout the Commissioner's regulations are amended to read "world languages" or "world languages other than English," as applicable. The proposed amendments do not impose any adverse economic impact, reporting, recordkeeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendments that they do not affect small businesses, no further measures were needed to ascertain that fact, and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local governments:

1. EFFECT OF RULE:

The purpose of the proposed rule is to align the Commissioner's regulations and the Rules of the Board of Regents with the revised New York State Learning Standards in Languages Other Than English (LOTE) which have been renamed the New York State Learning Standards for World Languages. Additionally, references to LOTE and "foreign languages" throughout the Commissioner's regulations and Rules of the Board of Regents are replaced with the terms "world language(s)" or "world language(s) other than English," as applicable, with respect to learning standards, pathway assessments, graduation requirements, course credit, teaching certificate titles, certification and teacher preparation coursework requirements, and tenure area to provide consistency.

2. COMPLIANCE REQUIREMENTS:

The proposed rule merely conforms the Commissioner's regulations and the Rules of the Board of Regents with the renaming of the LOTE standards by replace the terms "languages other than English" with "world languages" in reference to the learning standards, pathway assessments, graduation requirements, and course credit. To provide consistency, the proposed rule renames the teaching certificate titles, as well as certification and teacher preparation program coursework requirements from "language(s) other than English" to "world language(s) other than English," and the tenure area of "Foreign Languages" to "World Languages." Additionally, references to the term "foreign languages" throughout the Commissioner's regulations are amended to read "world languages" or "world languages other than English," as applicable. Thus, the proposed rule does not impose any additional program, service, duty or responsibility upon local governments.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

The proposed amendment will not impose any additional costs on local governments beyond.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

6. MINIMIZING ADVERSE IMPACT:

The proposed amendments are necessary to conform the Commissioner's regulations and the Rules of the Board of Regents with the change in name of the LOTE standards to Standards for World Languages and to remove additional references to LOTE and "foreign languages" and replace such with the terms "world language(s)" or "world language(s) other than English" with respect to learning standards, pathway assessments, graduation requirements, course credit, teaching certificate titles, certification and teacher preparation coursework requirements, and tenure area to provide consistency. Accordingly, no alternatives were considered.

7. LOCAL GOVERNMENT PARTICIPATION:

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

Rural Area Flexibility Analysis

The purpose of the proposed rule is to align the Commissioner's regulations and the Rules of the Board of Regents with the revised New York State Learning Standards in Languages Other Than English (LOTE) which have been renamed the New York State Learning Standards for World Languages. Additionally, references to LOTE and "foreign languages" throughout the Commissioner's regulations and Rules of the Board of Regents are replaced with the terms "world language(s)" or "world lan-

guage(s) other than English”, as applicable, with respect to learning standards, pathway assessments, graduation requirements, course credit, teaching certificate titles, certification and teacher preparation coursework requirements, and tenure title to provide consistency.

The proposed amendment merely removes references to the terms “languages other than English” and “foreign languages” and replaces such with “world language(s)” or “world language(s) other than English”. Thus, the proposed amendment does not adversely 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 flexibility analysis is not required and one has not been prepared.

Job Impact Statement

The purpose of the proposed rule is to align the Commissioner’s regulations and the Rules of the Board of Regents with the revised New York State Learning Standards in Languages Other Than English (LOTE) which have been renamed the New York State Learning Standards for World Languages. Additionally, references to LOTE and “foreign languages” throughout the Commissioner’s regulations and Rules of the Board of Regents are replaced with the terms “world language(s)” or “world language(s) other than English”, as applicable, with respect to learning standards, pathway assessments, graduation requirements, course credit, teaching certificate titles, certification and teacher preparation coursework requirements, and tenure area to provide consistency.

The proposed amendment merely removes references to the terms “languages other than English” and “foreign languages” and replaces such with “world language(s)” or “world language(s) other than English”. 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

Eligibility of School Psychology Candidates for the Internship Certificate

I.D. No. EDU-13-21-00013-P

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

Proposed Action: Amendment of section 80-5.9(a) of Title 8 NYCRR.

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

Subject: Eligibility of School Psychology Candidates for the Internship Certificate.

Purpose: To allow candidates enrolled in registered school psychology programs to be eligible for the Internship certificate.

Text of proposed rule: 1. Subdivision (a) of section 80-5.9 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(a) A candidate in a registered or approved graduate program of teacher education, school leadership[or], school counseling, or school psychology which includes an internship experience(s) and who has completed at least one-half of the semester hour requirement for the program may, at the request of the institution, be issued an internship certificate for a fee of \$50.

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 975EBA, 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 § 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 grants general rule-making authority to the Regents to carry into effect State educational laws and policies.

Education Law § 210 authorizes the Regents to register domestic and foreign institutions in terms of New York standards.

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

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

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

Education Law § 3009 prohibits school districts from paying the salary of an unqualified teacher.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendment to section 80-5.9 of the Regulations of the Commissioner of Education relating to the eligibility of School Psychology Candidates for the Internship Certificate rule, is to allow candidates who are enrolled in a registered school psychology program that includes an internship experience and who have completed at least one-half of the semester hour requirements for the program, to become eligible for the Internship certificate. To earn the certificate, they must receive an institutional recommendation for the certificate from their program and complete the fingerprint clearance.

3. NEEDS AND BENEFITS:

Currently, candidates who are enrolled in a registered teacher, school leadership, or school counseling preparation program that includes an internship experience and have completed at least one-half of the semester-hour requirements for the program are eligible for the Internship certificate. To earn the certificate, they must receive an institutional recommendation for the certificate from their program and complete the fingerprint clearance.

The Internship certificate enables candidates to work in a New York State public school in the area of the certificate title for their internship experience. Candidates who are enrolled in a registered school psychology program are not eligible for the Internship certificate. There is interest from the field for the Internship certificate to be available for this group of candidates.

The Department is proposing to allow candidates who are enrolled in a registered school psychology program that includes an internship experience and have completed at least one-half of the semester-hour requirements for the program to be eligible for the Internship certificate. The proposed amendment would allow these candidates to be employed by a school district or BOCES as school psychologists for their internship experience if they apply for and receive the Internship certificate.

4. COSTS:

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

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

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

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

Because the proposed amendment is necessary to allow candidates who are enrolled in a registered school psychology program that includes an internship experience and have completed at least one-half of the semester-hour requirements for the program to be eligible for the Internship certificate, no alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

A Notice of Proposed Rule Making will be published in the State Register on March 31, 2021. 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 July 2021 meeting. If adopted at the July 2021 meeting, the proposed amendment will become effective on July 28, 2021.

Regulatory Flexibility Analysis

The proposed amendment applies to all higher education institutions 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.

The purpose of the proposed amendment to section 80-5.9 of the Regulations of the Commissioner of Education relating to the eligibility of School Psychology Candidates for the Internship Certificate, is to allow candidates who are enrolled in a registered school psychology program that includes an internship experience and who have completed at least one-half of the semester hour requirements for the program, to become eligible for the Internship certificate. To earn the certificate, they must receive an institutional recommendation for the certificate from their program and complete the fingerprint clearance. The proposal would allow these candidates to be employed by a school district or BOCES as school psychologists for their internship experience if they apply for and receive the Internship certificate.

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 technical 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 and local governments 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 higher education institutions 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:

Currently, candidates who are enrolled in a registered teacher, school leadership, or school counseling preparation program that includes an internship experience and have completed at least one-half of the semester-hour requirements for the program are eligible for the Internship certificate. To earn the certificate, they must receive an institutional recommendation for the certificate from their program and complete the fingerprint clearance.

The Internship certificate enables candidates to work in a New York State public school in the area of the certificate title for their internship experience. Candidates who are enrolled in a registered school psychology program are not eligible for the Internship certificate. There is interest from the field for the Internship certificate to be available for this group of candidates.

The Department is proposing to allow candidates who are enrolled in a registered school psychology program that includes an internship experience and have completed at least one-half of the semester-hour requirements for the program to be eligible for the Internship certificate. The proposal would allow these candidates to be employed by a school district or BOCES as school psychologists for their internship experience if they apply for and receive the Internship certificate.

3. COSTS:

The proposed amendment does not impose any costs on institutional candidates and/or New York State school districts or BOCES.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment will enable candidates to have increased opportunities to fulfill their internship experiences while working in the New York State public school system. No alternatives were considered for those institutions located in rural areas of the State.

5. RURAL AREA PARTICIPATION:

Copies of the proposed amendments have been provided to the New York Association of Colleges for Teacher Education for review and comment.

Job Impact Statement

The purpose of the proposed amendment to section 80-5.9 of the Regulations of the Commissioner of Education relating to the eligibility of School Psychology Candidates for the Internship Certificate rule, is to allow candidates who are enrolled in a registered school psychology program that includes an internship experience and who have completed at least one-half of the semester hour requirements for the program, to become eligible for the Internship certificate. To earn the certificate, they must receive an institutional recommendation for the certificate from their program and complete the fingerprint clearance. The proposed amendment would allow these candidates to be employed by a school district or BOCES as school psychologists for their internship experience if they apply for and receive the Internship certificate.

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

State Board of Elections

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Implementation of Cyber Security Requirements for Local Boards of Elections

I.D. No. SBE-13-21-00015-P

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

Proposed Action: Addition of Part 6220 to Title 9 NYCRR.

Statutory authority: Election Law, sections 3-103(1), 5-614(1) and 3-102(17)

Subject: Implementation of Cyber Security Requirements for Local Boards of Elections.

Purpose: Requires that every county board of elections adhere to a minimum level of cyber-security standards.

Substance of proposed rule (Full text is posted at the following State website: https://www.elections.ny.gov/NYSBOE/download/law/Part6220_ElectionsCyberReg.pdf):

The New York State Board of Elections (State Board) has been closely monitoring the ever-growing threat posed to information and elections systems by nation-states, terrorist organizations and independent criminal actors. In order to preserve and protect the local and statewide election system, the Information Technology Unit of the State Board has determined that counties must adhere to a minimum level of security standards. Such standards have been reduced to proposed rules. Notably, these rules do not apply to voting systems, which already have security standards under 9 NYCRR 6210.11; rather, these standards apply to the other data assets and information system maintained by the boards.

The proposed rules require that each county board of elections establish a cyber security program that includes certain elements to ensure data assets and information systems are protected from cyber threats or attacks. The elements the cyber security program must have include plans, methods, and standards to deal with: data classification; asset inventory; patch management; vulnerability scanning; backups of election data; restoration of data; network segmentation; multi-factor authentication; credential management; remote access; incident response; continuity of operations; email/web protections; third party risk management; removable media; and security awareness training. County boards of elections must also maintain membership in the Center for Internet Security's Elections Infrastructure Information Sharing and Analysis Center.

Text of proposed rule and any required statements and analyses may be obtained from: Nicholas Cartagena, Esq., State Board of Elections, 40 North Pearl Street, Ste. 5, Albany, NY 12207-2729, (518) 474-2063, email: nicholas.cartagena@elections.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.

Regulatory Impact Statement

1. Statutory authority: Election Law §§ 3-103(1) and 5-614(1) of NYS Election Law provides that the State Board shall set security standards for the county and state's elections systems. Election Law § 3-102(17) authorizes the State Board of Elections to "perform such other acts as may be necessary to carry out the purposes of this chapter."

2. Legislative objectives: The legislative objective furthered by the proposed regulation is to ensure local and statewide election systems have adequate protection against cyber theft or attacks.

3. Needs and benefits: Election Law 3-103(1) provides that: "(t)he state board of elections shall promulgate rules and regulations setting minimum standards for computerized record keeping systems maintained by county boards of elections." Experience from the past four years have revealed that this country's election infrastructure is under constant threat from cyberattacks from outside groups and countries. One of the biggest challenges faced by local boards of elections is to focus limited resources to obtain the greatest return related to risk reduction efforts. After a detailed survey related to cyber security from each county board of elections, including input and remediation plans from such county boards, the state board of elections determined that regulations were required to ensure that local county boards focus their limited resources to better protect New York's election infrastructure, consistent with section 3-103 of the Election Law. The proposed rules ensure that each county board of elections

implement a cyber security program that will maintain standards that are necessary to protect New York's election infrastructure from cyber threats or attacks. These standards are considered best industry standards by leading cyber security experts.

4. Costs: As stated above, a detailed survey from each county board of elections related to cyber security was conducted, which included input and remediation plans from county boards of elections, which assisted the State Board in estimating costs of these rules. Costs may vary based on the data assets and information systems maintained by the county boards of elections. Much of the requirements under these rules are IT industry standards, such as patch management; vulnerability scanning; asset inventory; and multi-factor authentications. Costs to counties will depend upon the salaries of the employees responsible for maintaining the counties information technology infrastructure. To mitigate these costs, counties have, and will continue to receive, federal and state funds dedicated to combat cyber threats against New York's election systems. Once the program is implemented, the cost of maintaining the program would be nominal, as activities required are considered standard IT industry practices.

5. Local government mandates: The proposed rules requires county boards of elections to implement a cyber security program to ensure that adequate standards are being applied in the protection of New York's election system against cyber threats or attacks.

6. Paperwork: This proposed rule requires county boards of elections to certify that it has complied with the requirements outlined in the proposed rule.

7. Duplication: There is no jurisdictional duplication created by this rulemaking.

8. Alternatives: The alternative is to have no standards in relation to cyber security for local boards of elections; however, that could lead to vulnerabilities in New York's election system. Notably, much of the county board's election system is integrated with the statewide system; meaning, if one county is vulnerable, then the entire state is vulnerable. If a cyber-attack occurred on a county board's election system, or even, at a minimum, a board's website, it could lead to a decrease in the confidence of New York's election system, compromising the very underpinnings of our democracy.

9. Federal standards: Not applicable.

10. Compliance schedule: The rule provides that a county board of elections must certify compliance with cyber security standards annually, no later than August 1st of each year.

Regulatory Flexibility Analysis

1. Effect of rule: There is no impact on small businesses due to this rule. This rule will have an impact on local governments. The proposed rules requires county boards of elections to implement a cyber security program to ensure that adequate standards are being applied in the protection of New York's election system against cyber threats or attacks. There are 58 local county boards of elections, with New York City having a board of elections comprising all of New York City; and each remainder county having its own county board of elections.

2. Compliance requirements: This proposed rule requires county boards of elections to certify that it has complied with the requirements outlined in the proposed rule. The proposed rules require that each county board of elections establish a cyber security program that includes certain elements to ensure data assets and information systems are protected from cyber threats or attacks. The elements the cyber security program must have include plans, methods, and standards to deal with: data classification; asset inventory; patch management; vulnerability scanning; backups of election data; restoration of data; network segmentation; multi-factor authentication; credential management; remote access; incident response; continuity of operations; email/web protections; third party risk management; removable media; and security awareness training. County boards of elections must also maintain membership in the Center for Internet Security's Elections Infrastructure Information Sharing and Analysis Center. This rule has no impact on small businesses.

3. Professional services: In a recent cyber security assessment, some counties have indicated, via their Remediation Plans, the need to utilize professional services to implement some requirements; however, these counties are eligible for reimbursement (up to their limits) via the Remediation Grant.

4. Compliance costs: As stated in the Regulatory Impact Statement, a detailed survey from each county board of elections related to cyber security was conducted, which included input and remediation plans from county boards of elections, which assisted the State Board in estimating costs of these rules. Costs may vary based on the data assets and information system maintained by the county boards of elections. Much of the requirements under these rules are IT industry standards, such as patch management; vulnerability scanning; asset inventory; and multi-factor authentications. Costs to counties will depend upon the salaries of the employees responsible for maintaining the counties information technology infrastructure. To mitigate these costs, in some circumstances, some coun-

ties may have access to cybersecurity remediation funds. Once the program is implemented, the cost of maintaining the program would be nominal, as activities required are considered standard IT industry practices.

5. Economic and technological feasibility: Our assessment of the economic and technological feasibility of compliance is that certain counties will, at some point, require an upgrade in software or information system hardware; however, much of these costs will be mitigated by state and federal funding.

6. Minimizing adverse impact: To mitigate these costs, in some circumstances, some counties may have access to cybersecurity remediation funds.

7. Small business and local government participation: The State Board of Elections has advised and worked with affected counties regarding these requirements. The State Board will continue to work with counties, and seek their input, during the rule making process.

8. For rules that either establish or modify a violation or penalties associated with a violation: Not applicable.

9. Initial review of the rule, pursuant to SAPA § 207: Initial review of this regulation shall occur no later than the third calendar year in which it is adopted.

Rural Area Flexibility Analysis

Effect on Rural Areas:

Rural areas are defined as counties with a population less than 200,000 and, for counties with a population greater than 200,000, includes towns with population densities of 150 persons or less per square mile. The following 44 counties have a population less than 200,000:

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 9 counties have certain townships with population densities of 150 persons or less per square mile:

Albany County	Monroe County	Orange County
Broome County	Niagara County	Saratoga County
Dutchess County	Oneida County	Suffolk County
Erie County	Onondaga County	

Reporting, Recordkeeping and other Compliance Requirements; and Professional Services:

This proposed rule requires county boards of elections to certify that it has complied with the requirements outlined in the proposed rule. The proposed rules require that each county board of elections establish a cyber security program that includes certain elements to ensure data assets and information systems are protected from cyber threats or attacks. The elements the cyber security program must have include plans, methods, and standards to deal with: data classification; asset inventory; patch management; vulnerability scanning; backups of election data; restoration of data; network segmentation; multi-factor authentication; credential management; remote access; incident response; continuity of operations; email/web protections; third party risk management; removable media; and security awareness training. County boards of elections must also maintain membership in the Center for Internet Security's Elections Infrastructure Information Sharing and Analysis Center.

Costs:

Costs may vary based on the data assets and information system maintained by the county boards of elections. Much of the requirements under these rules are IT industry standards, such as patch management; vulnerability scanning; asset inventory; and multi-factor authentications. Costs to counties will depend upon the salaries of the employees responsible for maintaining the counties information technology infrastructure.

Minimizing Adverse Impact:

To mitigate these costs, counties have, and will continue to receive, federal and state funds dedicated to combat cyber threats against New York's election systems.

Rural Area Participation:

The State Board of Elections has advised and worked with affected counties regarding these requirements. The State Board will continue to work with counties, and seek their input, during the rule making process.

Job Impact Statement

1. Nature of impact: This rule should have minimal or no impact on jobs as the rule relates to implementing cyber security protocols which should be able to be performed by existing county staff.
2. Categories and numbers affected: This rule will impact local county boards of elections. This rule will not create employment opportunities.
3. Regions of adverse impact: This rule has a statewide applicability, and has no disproportionate adverse impact on jobs or employment opportunities in any region.
4. Minimizing adverse impact: The State Board of Elections has not taken any measures to minimize adverse impact on existing jobs or promote the development of new employment opportunities because the State Board of Elections has determined this rule would not have an adverse impact on jobs.
5. Self-employment opportunities: Not applicable.
6. Initial review of the rule, pursuant to SAPA § 207: Not applicable.

Department of Environmental Conservation

NOTICE OF ADOPTION

Repeal of Section 485.1

I.D. No. ENV-33-20-00005-A

Filing No. 253

Filing Date: 2021-03-12

Effective Date: 2021-03-31

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

Action taken: Repeal of section 485.1; addition of new section 485.1 to Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, section 72-0602

Subject: Repeal of section 485.1.

Purpose: To remove outdated and redundant references in the Department's regulations.

Text of final rule: Title 6 of the New York Codes, Rules, and Regulations (NYCRR) is amended as follows:

Part 485, "SPDES Program Fees"

Section 485.1 is amended to read as follows:

Each person required to obtain a permit or certificate pursuant to the SPDES program must annually submit to the department a SPDES program fee. *The SPDES program fees are identified in section 72-0602 of the ECL.*

(a) \$100 for any P/C/I facilities having a permit to discharge or discharging at an average daily rate of less than 100,000 gallons;

(b) \$200 for P/C/I facilities having a permit to discharge or discharging at an average daily rate of 100,000 gallons or more;

(c) \$375 for industrial facilities having a permit to discharge or discharging at an average daily rate of less than 10,000 gallons;

(d) \$1,250 for industrial facilities having a permit to discharge or discharging at an average daily rate of between 10,000 gallons and 99,999 gallons;

(e) \$3,750 for industrial facilities having a permit to discharge or discharging at an average daily rate of between 100,000 gallons and 499,999 gallons;

(f) \$12,500 for industrial facilities having a permit to discharge or discharging at an average daily rate of between 500,000 and 999,999 gallons;

(g) \$18,750 for industrial facilities having a permit to discharge or discharging at an average daily rate of between 1,000,000 and 9,999,999 gallons;

(h) \$37,500 for industrial facilities having a permit to discharge or discharging at an average daily rate of 10,000,000 gallons or more;

(i) \$40,000 for any power plant;

(j) \$375 for municipal facilities having a permit to discharge or discharging at an average daily rate of less than 200,000 gallons;

(k) \$1,875 for municipal facilities having a permit to discharge or discharging at an average daily rate of between 200,000 and 999,999 gallons;

(l) \$7,500 for municipal facilities having a permit to discharge or discharging at an average daily rate of between 1,000,000 and 4,999,999 gallons;

(m) \$15,000 for municipal facilities having a permit to discharge or discharging at an average daily rate of between 5,000,000 and 39,999,999 gallons;

(n) \$37,500 for municipal facilities having a permit to discharge or discharging at an average daily rate of 40,000,000 gallons or more;

(o) \$100 for any facility having a permit to discharge or discharging ballast no more than 1,000,000 gallons in any 24-hour period;

(p) \$500 for any facility having a permit to discharge or discharging ballast in excess of 1,000,000 gallons in any 24-hour period;

(q) \$50 for general permits issued pursuant to subdivision 7 of ECL 70-0117.]

Final rule as compared with last published rule: Nonsubstantial changes were made in section 485.1.

Text of rule and any required statements and analyses may be obtained from: Michelle Tompkins, Department of Environmental Conservation, 625 Broadway, 4th Floor, Albany, NY 12233-3500, (518) 402-8221, email: Water.Regis@dec.ny.gov

Additional matter required by statute: Pursuant to Art. 8 of the Environmental Conservation Law, the State Environmental Quality Review Act, and 6 NYCRR sections 617.5(c)(25),(26),(33) the Department has determined that this rule making is a Type II action and no further review is required.

Revised Job Impact Statement

A Job Impact Statement is not required for this rule making because the proposed rule making will not have a substantial adverse impact on jobs and employment opportunities. The purpose of this rule making is to repeal 6 NYCRR § 485.1 because the information is outdated and no longer accurate.

This rule making would repeal 6 NYCRR § 485.1 – "Who must pay and how much." New York State Environmental Conservation Law (ECL) Article 72 and 6 NYCRR Part 481 provide that all persons who need a permit, certificate, or approval pursuant to a state environmental regulatory program, or who are subject to regulation under a state environmental regulatory program, are required to submit an annual fee to this Department. Specifically, State Pollutant Discharge Elimination System (SPDES) program fees are articulated in ECL § 72-0602 and 6 NYCRR § 485.1.

In the last 17 years, the Legislature has amended ECL § 72-0602 statute four times – in 2003, 2004, 2009, and 2015. However, the last time the Department updated 6 NYCRR § 485.1 was in 1991 after ECL § 72-0602 was updated in the 1989-1990 state budget. Section 485.1 has been outdated and in contradiction of the statute for nearly two decades. The Department has included an update to the SPDES program fees on its Regulatory Agenda for the last ten years. This proposed rule making only removes the SPDES program fees from the regulations, the fees are still required pursuant to the ECL. As such, operators are required to comply with the statute and any future fee changes passed by the Legislature. The proposed repeal is necessary to prevent confusing the public with outdated references and to alleviate the need to update the regulations in the future when the ECL is amended.

This rule making will not result in the loss of any jobs in New York State. Therefore, the Department has determined that a Job Impact Statement is not required.

Assessment of Public Comment

One comment was received from Assemblymembers Englebright and Quart. They suggested that language should be added to 6 NYCRR 485.1 to direct the public to ECL Section 72-0602 where the annual SPDES program fees are listed.

Response to Comment: The Department agrees with the suggestion and

has amended the language in 485.1 to direct the public to ECL Section 72-0602 where the annual SPDES program fees are listed.

Department of Financial Services

EMERGENCY RULE MAKING

Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards of Full and Fair Disclosure

I.D. No. DFS-13-21-00024-E

Filing No. 268

Filing Date: 2021-03-16

Effective Date: 2021-03-16

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

Action taken: Addition of section 52.76(b) (Regulation 62) to Title 11 NYCRR.

Statutory authority: Executive Law, section 29-A; Executive Order 202.82, dated December 13, 2020, promulgated thereunder, which was extended by Executive Order 202.96, dated February 26, 2021, and extended further by L. 2021, ch. 71; Financial Services Law, sections 202, 302; Insurance Law, sections 301, 3216, 3217, 3221 and 4303

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

Specific reasons underlying the finding of necessity: The coronavirus disease 2019 ("COVID-19") has spread to millions of people worldwide, with approximately 1,750,000 confirmed cases in New York State, of which approximately 48,000 have resulted in death. COVID-19 has devastated communities and taken a huge economic toll on New York State. On March 7, 2020, Governor Andrew M. Cuomo issued Executive Order Number 202 declaring a disaster emergency in the State of New York in response to the COVID-19 pandemic and that declaration has been extended. COVID-19 immunizations have been developed that are approximately at least 90% effective against COVID-19, and experts estimate that at least 70% of Americans must receive the COVID-19 immunization in order to achieve herd immunity and stop the spread of this deadly disease. As a result, it is essential that New Yorkers have coverage for COVID-19 immunizations and the administration thereof, including any visits necessary to obtain the immunization, so that there are no barriers for New Yorkers expeditiously obtaining the immunizations. To address this need, the Governor issued Executive Order 202.82 on December 13, 2020, which he extended by Executive Order 202.96 on February 26, 2021 and which is extended further by Chapter 71 of the Laws of 2021, to temporarily modify Insurance Law Sections 3216(i)(17)(E), 3221(l)(8)(E) and (F), and 4303(j)(3) to apply to grandfathered health plans with respect to COVID-19 immunizations.

This amendment requires authorized insurers and health maintenance organizations that issue a policy or contract that provides hospital, surgical, or medical care coverage, including a grandfathered health plan, to provide coverage, with no cost-sharing, of COVID-19 immunizations and the administration thereof immediately upon the earliest of the date on which: (1) the Centers for Disease Control and Prevention's Advisory Committee on Immunization Practices issues a recommendation for the COVID-19 immunization; (2) the United States Preventive Services Taskforce issues a recommendation with an "A" or "B" rating for the COVID-19 immunization; or (3) the Superintendent of Financial Services ("Superintendent") determines, in consultation with the Commissioner of Health, that a policy or contract must cover the COVID-19 immunization.

Given the public health implications of COVID-19, it is essential that there are no barriers to New Yorkers accessing COVID-19 immunizations. Failure to ensure coverage of COVID-19 immunizations and the administration thereof could jeopardize the health and safety of the people of New York.

To ensure that there are no barriers to New Yorkers accessing COVID-19 immunizations without cost-sharing, it is imperative that this amendment be promulgated on an emergency basis for the preservation of the public health.

Subject: Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards of Full and Fair Disclosure.

Purpose: To require immediate coverage, without cost-sharing, for COVID-19 immunizations and the administration thereof.

Text of emergency rule: A new section 52.76(b) is added as follows:

(b)(1) Except as provided in paragraph (2) of this subdivision, a policy that provides hospital, surgical, or medical care coverage, including a grandfathered health plan, shall cover coronavirus disease 2019 (COVID-19) immunizations, and the administration thereof, immediately upon the earliest of the date on which: (i) the advisory committee on immunization practices of the federal centers for disease control issues a recommendation for the COVID-19 immunization; (ii) the United States preventive services task force issues a recommendation with an "A" or "B" rating for the COVID-19 immunization; or (iii) the superintendent determines, in consultation with the commissioner of health, that a policy shall cover the COVID-19 immunization. COVID-19 immunizations, and administration thereof, including any visits necessary to obtain the immunizations, administered at a provider's office, facility, pharmacy, or other setting, including any provider or location authorized by this State or the federal government to administer or host the administration of the immunization, shall not be subject to annual deductibles, coinsurance, copayments, or any other out-of-pocket cost.

(2) The coverage required under paragraph (1) of this subdivision shall not be limited to COVID-19 immunizations, and the administration thereof, administered by participating providers and shall apply to such immunizations, and the administration thereof, administered by non-participating providers until the expiration of the federally declared public health emergency and the disaster emergency declared by the governor of this State pursuant to Executive Order 202, as extended, unless first rescinded by a concurrent resolution passed by the Legislature pursuant to Ch. 171 of L. 2021.

This notice is intended to serve only as an emergency adoption, to be valid for 90 days or less. This rule expires April 6, 2021.

Text of rule and any required statements and analyses may be obtained from: Colleen Rumsey, Department of Financial Services, One Commerce Plaza, Albany, NY 12257, (518) 474-0154, email: Colleen.Rumsey@dfs.ny.gov

Regulatory Impact Statement

1. Statutory authority: Financial Services Law ("FSL") Sections 202 and 302 and Insurance Law ("IL") Sections 301, 3216, 3217, 3221, and 4303.

Executive Law Section 29-a grants the Governor of New York the authority to temporarily suspend or modify any statute, local law, ordinance, order, rule, or regulation, or parts thereof, of any agency during a State disaster emergency, if compliance with such statute, local law, ordinance, order, rule, or regulation would prevent, hinder, or delay action necessary to cope with the disaster emergency or if necessary to assist with or aid in coping with such disaster.

Executive Order ("EO") 202.82 issued on December 13, 2020 and subsequently extended, among other things, temporarily modifies IL Sections 3216(i)(17)(E), 3221(l)(8)(E) and (F), and 4303(j)(3) to apply to grandfathered health plans with regard to COVID-19 immunizations.

FSL Section 202 establishes the office of the Superintendent of Financial Services ("Superintendent").

FSL Section 302 and IL Section 301 authorize the Superintendent to prescribe regulations interpreting the IL and to effectuate any power granted to the Superintendent in the IL, FSL, or any other law.

IL Sections 3216, 3221, and 4303 set forth the standard provisions in individual, small group, large group, and blanket accident and health insurance policies and contracts. Specifically, Insurance Law Sections 3216(i)(17)(B)(ii) and (iii), 3221(l)(8)(B)(ii) and (iii), and 4303(j)(2)(B) and (C) require individual, group, and blanket policies or contracts that provide medical, major medical, or similar comprehensive-type coverage to cover an immunization, at no cost-sharing, for children who are 19 years old or younger if determined to be a necessary immunization by the Superintendent, in consultation with the Commissioner of Health. Insurance Law Sections 3216(i)(17)(E), 3221(l)(8)(E) and (F), and 4303(j)(3) further require individual, group, and blanket policies or contracts that provide hospital, surgical, or medical care coverage, except for a grandfathered health plan, to cover, at no cost-sharing, preventive care and screenings that have in effect a rating of "A" or "B" in the current recommendations of the United States Preventive Services Taskforce ("USPSTF") and immunizations that have in effect a recommendation from the Centers for Disease Control and Prevention's ("CDC's") Advisory Committee on Immunization Practices ("ACIP") regardless of the age of the recipient.

IL Section 3217(a) authorizes the Superintendent to issue regulations to establish minimum standards for the form, content and sale of accident and health insurance policies and subscriber contracts of corporations organized under IL Articles 32 and 43 and Public Health Law Article 44.

2. Legislative objectives: The Legislature granted the Governor broad powers to take necessary action in cases of emergency that threaten the health, safety, and general welfare of New Yorkers. Specifically, Executive Law Section 29-a authorizes the Governor to temporarily suspend or

modify statutes, rules and regulations, or parts thereof, during a State disaster emergency. Governor Andrew M. Cuomo modified the IL when issuing EO 202.82 on December 13, 2020, as extended, in relation to coverage for COVID-19 immunizations by grandfathered health plans.

The statutory sections cited above establish the minimum standards for the form, content, and sale of accident and health insurance, including coverage for certain immunizations with no cost-sharing. This amendment implements EO 202.82, as extended, and accords with the public policy objectives that the Legislature sought to advance in the foregoing sections of the IL by requiring coverage for coronavirus disease 2019 ("COVID-19") immunizations and the administration thereof immediately upon the earliest of the date on which: (1) the ACIP issues a recommendation for the COVID-19 immunization; (2) the USPSTF issues a recommendation with an "A" or "B" rating for the COVID-19 immunization; or (3) the Superintendent determines, in consultation with the Commissioner of Health, that a policy or contract must cover the COVID-19 immunization. This amendment also prohibits copayments, coinsurance, annual deductibles, and any other out-of-pocket costs for such immunizations and the administration thereof.

3. Needs and benefits: COVID-19 has spread to millions of people worldwide, with approximately 1,750,000 confirmed cases in New York State, of which approximately 48,000 have resulted in death.

COVID-19 has devastated communities and has taken a huge economic toll on New York State. COVID-19 immunizations have been developed that are approximately at least 90% effective against COVID-19, and experts estimate that at least 70% of Americans must receive the COVID-19 immunization in order to achieve herd immunity and stop the spread of this deadly disease. As a result, it is essential that New Yorkers have coverage for COVID-19 immunizations and the administration thereof, including any visits necessary to obtain the immunization, so that there are no barriers to New Yorkers expeditiously obtaining the immunizations.

This amendment requires authorized insurers and health maintenance organizations (collectively, "health care plans") that issue a policy or contract that provides hospital, surgical, or medical care coverage, including a grandfathered health plan in accordance with Executive Order 202.82, as extended, to provide coverage of COVID-19 immunizations and the administration thereof immediately upon the earliest of the date on which: (1) the ACIP issues a recommendation for the COVID-19 immunization; (2) the USPSTF issues a recommendation with an "A" or "B" rating for the COVID-19 immunization; or (3) the Superintendent determines, in consultation with the Commissioner of Health, that a policy or contract must cover the COVID-19 immunization. Coverage for COVID-19 immunizations, and the administration thereof, and any visits necessary to obtain the immunizations at a provider's office, facility, pharmacy, or other setting, including any provider or location authorized by New York State or the federal government to administer or host the administration of the immunization, will not be subject to annual deductibles, coinsurance, copayments, or any other out-of-pocket cost. There will be coverage for COVID-19 immunizations administered by non-participating providers until the expiration of the federally declared public health emergency or the disaster emergency declared by the New York State Governor pursuant to Executive Order 202, as extended, unless earlier rescinded by a concurrent resolution of the Legislature as provided in Ch. 171 of L. 2021.

The federal Departments of Health and Human Services, Treasury, and Labor ("federal Departments") have issued Interim Final Rule 85 Fed. Reg. 71142 (November 6, 2020) ("federal rules") that address coverage for COVID-19 immunizations and their administration. The federal rules require COVID-19 immunizations and their administration to be covered when provided by out-of-network providers for the duration of the federal public health emergency for COVID-19. The federal rules state that reimbursement for out-of-network providers must be made in an amount that is reasonable, as determined by comparison to prevailing market rates for such services. The preamble to the federal rules indicates that the federal Departments will consider the amount of payment to be reasonable if the health care plan pays the provider the amount that would be paid under Medicare for the service, although the federal Departments are seeking comments on this approach. The Department of Financial Services ("Department") may address out-of-network provider reimbursement for COVID-19 immunizations and their administration in future rulemaking if the federal rules are finalized.

4. Costs: Health care plans may incur additional costs to comply with the amendment because they may need to file new policy and contract forms and rates. However, any costs should be minimal because health care plans submit policy and contract forms and rates as a part of the normal course of business.

This amendment does not impose any costs on providers.

This amendment may impose compliance costs on the Department because the Department will need to review amended policy and contract

forms and rates. However, any additional costs incurred by the Department should be minimal, and the Department should be able to absorb the costs in its ordinary budget.

The amendment will not impose compliance costs on any local governments.

5. Local government mandates: The amendment does not impose any program, service, duty or responsibility on any county, city, town, village, school district, fire district or other special district.

6. Paperwork: Health care plans may need to file new policy and contract forms and rates with the Superintendent.

Providers and local governments should not incur any additional paperwork to comply with this amendment.

7. Duplication: The federal Departments have issued federal rules interpreting the immunization requirements of the Coronavirus Aid, Relief, and Economic Security Act ("CARES Act"), codified at 15 U.S.C. Section 9001 et seq. The federal rules require issuers to cover COVID-19 immunizations and their administration with no cost-sharing under all non-grandfathered group and individual comprehensive health insurance policies and contracts when administered by providers enrolled in the CDC COVID-19 Vaccination Program.

The federal rules also require COVID-19 immunizations and their administration to be covered when provided by out-of-network providers for the duration of the federally declared public health emergency for COVID-19. The federal requirement for out-of-network coverage ends when the federally declared public health emergency is terminated.

Furthermore, the CARES Act requires coverage of any COVID-19 immunizations and their administration within 15 business days after the immunization has been recommended by ACIP.

8. Alternatives: There are no significant alternatives to consider.

9. Federal standards: The amendment exceeds the minimum standards of the federal government for this subject area. This amendment requires: (1) grandfathered health plans to provide the coverage; (2) coverage for COVID-19 immunizations and the administration thereof at a provider's office, facility, pharmacy, or other setting, including any provider or location authorized by New York State or the federal government to administer or host the administration of the immunization; (3) coverage immediately upon certain triggering events; and (4) coverage for COVID-19 immunizations administered by non-participating providers until the expiration of the federally declared public health emergency or the disaster emergency declared by the New York State Governor pursuant to Executive Order 202, as extended, unless earlier rescinded by a concurrent resolution of the Legislature as provided in Ch. 171 of L. 2021.

10. Compliance schedule: The rule will take effect immediately upon the filing of the Notice of Emergency Adoption with the Secretary of State.

Regulatory Flexibility Analysis

1. Effect of rule: This rule affects authorized insurers and health maintenance organizations (collectively, "health care plans") and providers. This amendment requires a policy or contract that provides hospital, surgical, or medical care coverage, including a grandfathered health plan, to provide immediate coverage, without cost sharing, of COVID-19 immunizations and the administration thereof at a provider's office, facility, pharmacy, or other setting, including any provider or location authorized by New York State or the federal government to administer or host the administration of the immunization.

Industry has asserted that certain health care plans subject to the amendment are small businesses. Providers also may be small businesses. As a result, certain health care plans and providers that are small businesses will be affected by this amendment.

This amendment does not affect local governments.

2. Compliance requirements: No local government will have to undertake any reporting, recordkeeping, or other affirmative acts to comply with this amendment because the amendment does not apply to any local government.

A health care plan that is a small business may be subject to reporting, recordkeeping, or other compliance requirements as the health care plan may need to file new policy or contract forms and rates with the Superintendent of Financial Services.

A provider that is a small business should not be subject to reporting, recordkeeping, or other compliance requirements.

3. Professional services: No local government will need professional services to comply with this amendment because the amendment does not apply to any local government. No health care plan or provider that is a small business should need to retain professional services, such as lawyers or auditors, to comply with this amendment.

4. Compliance costs: No local government will incur any costs to comply with this amendment because the amendment does not apply to any local government.

A health care plan that is a small business may incur costs to comply with this amendment because it may need to file new policy or contract forms and rates. However, any costs should be minimal because health

care plans submit policy and contract forms and rates as a part of the normal course of business.

This amendment does not impose any additional costs on a provider that is a small business.

5. Economic and technological feasibility: This amendment does not apply to any local government; therefore, no local government should experience any economic or technological impact as a result of the amendment. A health care plan and a provider that is a small business should not incur any economic or technological impact as a result of the amendment.

6. Minimizing adverse impact: There will not be an adverse impact on any local government because the amendment does not apply to any local government. This amendment should not have an adverse impact on a health care plan or provider that is a small business because the amendment uniformly affects all health care plans and providers.

7. Small business and local government participation: The Department of Financial Services ("Department") notified trade associations representing health care plans that are small businesses that it intended to promulgate this amendment. Health care plans and providers that are small businesses also will have an opportunity to participate in the rulemaking process when the amendment is published in the State Register and posted on the Department's website.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas: Authorized insurers and health maintenance organizations (collectively, "health care plans") and providers affected by this amendment operate in every county in New York State, including rural areas as defined by State Administrative Procedure Act section 102(10).

2. Reporting, recordkeeping, and other compliance requirements; and professional services: A health care plan, including a health care plan in a rural area, may be subject to additional reporting, recordkeeping, or other compliance requirements because the health care plan may need to file new policy or contract forms and rates with the Department of Financial Services ("Department").

A provider, including a provider in a rural area, should not be subject to reporting, recordkeeping, or other compliance requirements.

A health care plan and provider, including those in a rural area, should not need to retain professional services, such as lawyers or auditors, to comply with this amendment.

3. Costs: Health care plans, including those in rural areas, may incur additional costs to comply with the amendment because they may need to file new policy and contract forms and rates with the Department. However, any costs should be minimal because health care plans submit policy and contract forms and rates as a part of the normal course of business.

Providers, including those in rural areas, should not incur additional costs to comply with the amendment.

4. Minimizing adverse impact: This amendment uniformly affects health care plans and providers that are located in both rural and non-rural areas of New York State. The amendment should not have an adverse impact on rural areas.

5. Rural area participation: The Department notified trade associations representing health care plans that are in rural areas that it intended to promulgate this amendment. Health care plans and providers in rural areas will also have an opportunity to participate in the rulemaking process when the amendment is published in the State Register and posted on the Department's website.

Job Impact Statement

This amendment should not adversely impact jobs or employment opportunities in New York State. The amendment requires a policy or contract that provides hospital, surgical, or medical care coverage, including a grandfathered health plan, to provide immediate coverage, without cost sharing, of COVID-19 immunizations and the administration thereof at a provider's office, facility, pharmacy, or other setting, including any provider or location authorized by New York State or the federal government to administer or host the administration of the immunization. As a result, there should be no impact on jobs or employment opportunities.

NOTICE OF ADOPTION

Principle-Based Reserving

I.D. No. DFS-43-19-00017-A

Filing No. 250

Filing Date: 2021-03-11

Effective Date: 2021-03-31

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 202, 302; Insurance Law, sections 301, 308, 4217 and 4517

Subject: Principle-Based Reserving.

Purpose: To prescribe minimum principle-based valuation standards.

Text or summary was published in the October 23, 2019 issue of the Register, I.D. No. DFS-43-19-00017-P.

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

Text of rule and any required statements and analyses may be obtained from: Amanda Fenwick, Department of Financial Services, One Commerce Plaza, Albany, New York 12257, (518) 474-7929, email: Amanda.Fenwick@dfs.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2024, 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 public comments from an association of life insurers ("association").

Comment: The association requested that DFS apprise insurers on how to make a filing pursuant to section 103.5(c)(1) of the regulation, which allows insurers to apply the same maximum valuation interest rate applicable to the base contract to value the payment stream if the insurer obtains prior approval from the Superintendent of Financial Services.

Response: DFS will work with insurers who wish to make a filing pursuant to section 103.5(c)(1). DFS did not make any changes in response to this comment because this comment seeks advice rather than an amendment to the regulation.

Comment: The association requested that DFS commit to continue to work with its members on future amendments to relieve administrative burdens and improve upon consistency with the National Association of Insurance Commissioners' valuation manual.

Response: DFS is committed to continuing to work with the association and its members on future amendments. This comment does not address any specific changes to the regulation. Therefore, DFS did not make any changes in response to this comment.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Enterprise Risk Management and Own Risk and Solvency Assessment

I.D. No. DFS-13-21-00001-P

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

Proposed Action: Amendment of Part 82 (Regulation 203) of Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; Insurance Law, sections 301, 1501, 1503(b), 1604(b), 1702(f) and 1717(b)

Subject: Enterprise Risk Management and Own Risk and Solvency Assessment

Purpose: To require an entity subject to the rule to describe its ERM function in its enterprise risk report, among other things.

Text of proposed rule: Subdivisions (c) through (k) of section 82.1 are relettered as subdivisions (d) through (l) and a new subdivision (c) is added as follows:

(c) *Domestic insurer means an insurer domiciled in this State, including a United States branch of an alien insurer entered through this State.*

Section 82.2(a)(9) is amended as follows:

(9) address all reasonably foreseeable and relevant material risks including, as applicable, insurance, cybersecurity, climate change, epidemic, pandemic, underwriting, asset-liability matching, credit, market, operational, reputational, liquidity, and any other significant risks;

Section 82.2(b)(2) is amended as follows:

(2) The report required to be filed by paragraph (1) of this subdivision shall describe the entity's or domestic insurer's enterprise risk management function, including its risk culture and governance; risk identification and prioritization; risk appetite, tolerances, and limits; risk management and controls; and risk reporting and communication. The report also shall provide information regarding the following areas that could produce enterprise risk, provided that the information has not already been disclosed in a registration statement filed pursuant to Insurance Law sections 1503(a), 1604(a), or 1717(a) during the prior 12 months:

Section 82.5(e) is amended as follows:

(e) If the superintendent [denies] *approves* an entity or a domestic insurer's request for an exemption from the electronic filing or submission requirement, then the entity or domestic insurer shall make a physical filing in a form acceptable to the superintendent.

Text of proposed rule and any required statements and analyses may be obtained from: Joana Lucashuk, Department of Financial Services, One State Street, 20th Floor, New York, NY 10004, (212) 480-2125, email: Joana.Lucashuk@dfs.ny.gov

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

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

Regulatory Impact Statement

1. Statutory authority: Financial Services Law §§ 202 and 302 and Insurance Law §§ 301, 1501, 1503(b), 1604(b), 1702(f), and 1717(b).

Financial Services Law § 202 establishes the office of the Superintendent of Financial Services ("Superintendent"). Financial Services Law § 302 and Insurance Law § 301, in material part, authorize the Superintendent to effectuate any power accorded to the Superintendent by the Financial Services Law, Insurance Law, or any other law, and to prescribe regulations interpreting the Insurance Law.

Insurance Law § 1501 sets forth definitions relating to holding companies, including the definition of "enterprise risk," while Insurance Law § 1503(b) requires a holding company that directly or indirectly controls an insurer to adopt a formal enterprise risk management ("ERM") function and to file an enterprise risk report with the Superintendent annually.

Insurance Law §§ 1604(b) and 1702(f) define "enterprise risk." Insurance Law §§ 1604(b) and 1717(b) require an authorized domestic insurer or a parent corporation to register with the Superintendent, adopt a formal ERM function, and file an enterprise risk report with the Superintendent annually.

2. Legislative objectives: Insurance Law Article 15 sets forth standards for the regulation of holding company systems, while Insurance Law Articles 16 and 17 set forth standards for the regulation of domestic insurers that have subsidiaries. The Legislature enacted the three articles in 1969 as the result of an extensive study conducted by the Superintendent of Insurance. The study found that "[w]hen a non-insurance holding company system includes an insurance company within it, its potential for specific harm becomes greater since tempting reservoirs of liquid assets become accessible to persons without any appreciation of the security needs of the insurance enterprise, and the interests of the policyholders thus become vulnerable."

Chapter 238 of the Laws of 2013 amended Insurance Law Articles 15, 16, and 17 to require an Article 15 ultimate holding company, authorized domestic insurer subject to Insurance Law Article 16, and a parent corporation subject to Insurance Law Article 17 (collectively, "entities"), to adopt a formal ERM function and file an annual enterprise risk report with the Superintendent. In 2014, the Department of Financial Services ("DFS") promulgated 11 NYCRR 82 (Insurance Regulation 203), which sets forth the minimum requirements for an ERM function, including that the ERM function address all reasonably foreseeable and material risks, and specifies the information that an entity must include in its enterprise risk report. It also applies these requirements to certain domestic insurers that are not part of an Insurance Law Article 15, 16, or 17 system.

This rule accords with the public policy objectives that the Legislature sought to advance in Insurance Law Articles 15, 16, and 17 by making explicit that cybersecurity, climate change, epidemics, and pandemics are examples of reasonably foreseeable and material risks that an ERM function should address, and requiring entities and certain domestic insurers to describe their ERM functions in their enterprise risk reports to minimize the potential for specific harm to insurers and policyholders. The amendment also clarifies that the rule applies to a United States branch of an alien insurer entered through this State and fixes a typographical error.

3. Needs and benefits: The National Association of Insurance Commissioners' ("NAIC's") model Insurance Holding Company System Regulatory Act ("model Act") and Insurance Holding Company System Model Regulation ("model Regulation") require an entity to adopt a formal ERM function and file an annual enterprise risk report. Chapter 238 of the Laws of 2013 incorporated the model Act's requirement that an entity adopt a formal ERM function and file an enterprise risk report. DFS promulgated Regulation 203 to set forth specific requirements for an ERM function and enterprise risk report consistent with the model Regulation, and to apply these requirements to certain domestic insurers that are not part of an Insurance Law Article 15, 16, or 17 system. Neither the model Act nor the model Regulation requires an enterprise risk report to include a discussion of the ERM function. However, the model Act and model Regulation set forth minimum standards and a state may impose greater requirements.

DFS began receiving enterprise risk reports in April 2014. DFS has advised entities and domestic insurers that it would be helpful if they

described their ERM functions in their enterprise risk reports. However, only a few entities and domestic insurers voluntarily have included a description of their ERM functions in their enterprise risk reports, while the vast majority of entities and domestic insurers have not. As a result, DFS has found it difficult to understand fully the enterprise risk reports submitted by these entities and domestic insurers. Therefore, this rule requires an enterprise risk report to describe an entity's or a domestic insurer's ERM function, including the risk culture and governance; risk identification and prioritization; risk appetite, tolerances, and limits; risk management and controls; and risk reporting and communication.

While DFS already considers cybersecurity, climate change, epidemics, and pandemics to be examples of reasonably foreseeable and material risks that Regulation 203 requires an ERM function to address, this rule makes it explicit given that recent events, such as the novel coronavirus pandemic, have demonstrated the importance of including these risks in ERM functions.

In addition, DFS received an inquiry as to whether a "domestic insurer", as referenced in Regulation 203, includes a United States branch of an alien insurer entered through New York State, which DFS answered affirmatively. This rule makes clear that "domestic insurer" includes a United States branch of an alien insurer entered through New York State.

This rule also fixes a typographical error by changing the word "denies" to "approves" in the section pertaining to a request for an exemption from electronic filing.

4. Costs: Insurance Law Articles 15, 16, and 17 and Regulation 203 already require an entity and a domestic insurer to adopt a formal ERM function and file an annual enterprise risk report. Regulation 203 also sets forth the minimum requirements for an ERM function, including that an ERM function address all reasonably foreseeable and material risks, and specifies the information that an entity and a domestic insurer must include in their enterprise risk reports. In addition, DFS already considers a "domestic insurer" to include a United States branch of an alien insurer entered through New York State.

This rule merely clarifies the definition of "domestic insurer", makes explicit that cybersecurity, climate change, epidemics, and pandemics are examples of reasonably foreseeable and material risks, requires entities and domestic insurers to describe their ERM functions in their enterprise risk reports, and fixes a typographical error. Some entities and domestic insurers already voluntarily describe their ERM functions in their enterprise risk reports. For the remaining entities and domestic insurers that do not describe their ERM functions in their enterprise risk reports, any compliance costs should be minimal.

DFS will not incur costs for the implementation and continuation of this rule, because DFS staff already receive and review the annual enterprise risk reports.

This rule does not impose compliance costs on local governments.

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

6. Paperwork: Insurance Law Articles 15, 16, and 17 and Regulation 203 already require an entity and a domestic insurer to adopt a formal ERM function and file an annual enterprise risk report. This rule merely requires an entity and a domestic insurer to describe their ERM functions in their enterprise risk reports.

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

8. Alternatives: DFS considered not requiring an enterprise risk report to describe the ERM function because the insurance industry claims doing so is duplicative of the Own Risk and Solvency Assessment ("ORSA") summary report. However, DFS decided to require the enterprise risk report to describe the ERM function. While there may be some overlap, the entities and domestic insurers that must submit an enterprise risk report to DFS are not the exactly the same as the domestic insurers that must submit an ORSA summary report. The Insurance Law and Regulation 203 require an Article 15 ultimate holding company, authorized domestic insurer subject to Insurance Law Article 16, a parent corporation subject to Insurance Law Article 17, and certain domestic insurers that are not part of an Insurance Law Article 15, 16, or 17 system to submit an enterprise risk report to DFS. Regulation 203 requires a domestic insurer that meets a certain premium threshold (mainly a large insurer) to submit an ORSA summary report to DFS. While a domestic insurer may submit an ORSA summary report done at the holding company level, the domestic insurer is not required to do so. To the extent an entity or domestic insurer submits both an enterprise risk report and an ORSA summary report to DFS, the entity or domestic insurer may simply copy and paste the description of the ERM function from the ORSA summary report into the enterprise risk report and vice versa.

DFS considered amending the rule to be more specific about the items that an entity must include in its description of its ERM function in its enterprise risk report. However, DFS decided not to be more specific about

the items that an entity must include in its description because the ERM function should be appropriate for the nature, scale, and complexity of the risk and not be subject to a “one size fits all” approach.

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

10. Compliance schedule: An entity must comply with the rule 30 days after publication of the Notice of Adoption in the State Register.

Regulatory Flexibility Analysis

1. Effect of rule: Insurance Law Articles 15, 16, and 17 and 11 NYCRR 82 (Insurance Regulation 203) require a holding company and certain domestic insurers to adopt a formal enterprise risk management (“ERM”) function and file an annual enterprise risk report. Regulation 203 also sets forth the minimum requirements for an ERM function, including that the ERM function address all reasonably foreseeable and material risks, and specifies the information that a holding company and domestic insurer must include in their enterprise risk reports. This rule merely requires a holding company and domestic insurer to describe their ERM functions in their enterprise risk reports, which some holding companies and domestic insurers already do voluntarily. The rule also makes clear that “domestic insurer”, as referenced in Regulation 203, includes “a United States branch of an alien insurer entered through New York State”; makes explicit that cybersecurity, climate change, epidemics, and pandemics are reasonably foreseeable and material risks that the ERM function should address; and fixes a typographical error. As such, it should not affect local governments.

In addition, this rule is in part directed at holding companies, which the Department of Financial Services (“DFS”) does not believe fall within the definition of a “small business” as defined by State Administrative Procedure Act § 102(8), because in general they are not independently owned and do not have fewer than 100 employees.

Industry asserts that certain domestic insurers, in particular co-op insurers and mutual insurers, subject to the rule are small businesses. However, Insurance Law Articles 15, 16, and 17 and Insurance Regulation 203 already require certain domestic insurers to adopt a formal ERM function and file an annual enterprise risk report. Regulation 203 also sets forth the minimum requirements for an ERM function, including that the ERM function address all reasonably foreseeable and material risks, and specifies the information that a holding company and domestic insurer must include in their enterprise risk reports.

Any compliance costs as a result of this rule for a domestic insurer that may be a small business subject to the rule and that does not already voluntarily describe its ERM function in its enterprise risk report should be minimal. The costs are difficult to estimate and will vary depending upon numerous factors, such as an insurer’s organizational structure and size. However, DFS, in promulgating this rule, has sought to accommodate any such small business by providing flexibility by broadly requiring an enterprise risk report to describe the ERM functions, including the risk culture and governance; risk identification and prioritization; risk appetite, tolerances, and limits; risk management and controls; and risk reporting and communication.

2. Compliance requirements: A local government will not have to undertake any reporting, recordkeeping, or other affirmative acts to comply with the rule because the rule does not apply to any local government. However, a domestic insurer that may be a small business will need to include a description of its ERM function in its enterprise risk report.

3. Professional services: A local government will not need any professional services to comply with this rule because the rule does not apply to any local government. A domestic insurer should not need any professional services to comply with the rule.

4. Compliance costs: A local government will not incur any costs to comply with this rule because the rule does not apply to any local government. Any domestic insurer that may be a small business and must include a description of its ERM function in its enterprise risk report when it does not voluntarily do so already may incur costs to comply with the rule. The costs are difficult to estimate and will vary depending upon an insurer’s organizational structure and size.

5. Economic and technological feasibility: There should not be any issues pertaining to the economic and technological feasibility of complying with the rule with respect to a local government because the rule does not apply to any local government. There should not be any issues pertaining to the economic and technological feasibility of complying with the rule with respect to a domestic insurer that may be a small business.

6. Minimizing adverse impact: There will not be an adverse impact on a local government because the rule does not apply to any local government. However, there may be an adverse impact on a domestic insurer that may be a small business and must include a description of its ERM function in its enterprise risk report if it does not voluntarily do so already.

DFS considered the approaches suggested in State Administrative Procedure Act (“SAPA”) § 202-b(1) for minimizing adverse impacts. Originally, DFS considered amending the rule to be more specific about

the items that a holding company and domestic insurer must include in their descriptions of their ERM functions in their enterprise risk report. However, DFS decided not to be more specific about the items that a holding company and domestic insurer must include in their discussions because the ERM function should be appropriate for the nature, scale, and complexity of the risk and should not be subject to a “one size fits all” approach. Rather, DFS amended the rule to provide a domestic insurer that may be a small business with flexibility by broadly requiring an enterprise risk report to describe the ERM functions, including the risk culture and governance; risk identification and prioritization; risk appetite, tolerances, and limits; risk management and controls; and risk reporting and communication.

7. Small business and local government participation: DFS complied with SAPA § 202-b(6) by posting the draft regulation on its website for informal outreach in December 2020 and notifying trade organizations that represent small businesses of the posting. DFS also will publish the proposed rule in the State Register and post the proposed rule on its website.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas: Holding companies and domestic insurers affected by this rule operate in every county in this state, including rural areas as defined by State Administrative Procedure Act § 102(10).

2. Reporting, recordkeeping and other compliance requirements; and professional services: Insurance Law Articles 15, 16, and 17 and 11 NYCRR 82 (Insurance Regulation 203) already require a holding company and certain domestic insurers to adopt a formal enterprise risk management (“ERM”) function and file an annual enterprise risk report. Regulation 203 also sets forth the minimum requirements for an ERM function, including that the ERM function address all reasonably foreseeable and material risks, and specifies the information that a holding company and domestic insurer must include in their enterprise risk reports. This rule merely requires a holding company and domestic insurer to describe their ERM functions in their enterprise risk reports, which some holding companies and domestic insurers already do voluntarily. The rule also makes clear that “domestic insurer”, as referenced in Regulation 203, includes a United States branch of an alien insurer entered through New York State; makes explicit that cybersecurity, climate change, epidemics, and pandemics are examples of reasonably foreseeable and material risks that an ERM function should address; and fixes a typographical error.

A holding company and domestic insurer in a rural area should not need to retain professional services to comply with this rule.

3. Costs: The rule should not result in additional costs to holding companies and domestic insurers. Insurance Law Articles 15, 16, and 17 and Regulation 203 already require a holding company and certain domestic insurers to adopt a formal ERM function and file an annual enterprise risk report. Regulation 203 also sets forth the minimum requirements for an ERM function, including that the ERM function address all reasonably foreseeable and material risks, and specifies the information that a holding company and domestic insurer must include in their enterprise risk reports. This rule merely clarifies the definition of “domestic insurer”; makes explicit that cybersecurity, climate change, epidemics, and pandemics are examples of reasonably foreseeable and material risks; requires holding companies and domestic insurers to describe their ERM functions in their enterprise risk reports; and fixes a typographical error. Some holding companies and domestic insurers already voluntarily describe their ERM functions in their enterprise risk reports. For the remaining holding companies and domestic insurers that do not describe their ERM functions in their enterprise risk reports, any compliance costs to these holding companies and domestic insurers should be minimal.

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

5. Rural area participation: Regulated parties in rural areas had an opportunity to participate in the rule making process when DFS posted the draft regulation on its website for informal outreach in December 2020 and notified trade organizations of the posting. Regulated parties in rural areas will also have an opportunity to participate in the rule making process when the proposed rule is published in the State Register and posted on DFS’s website.

Job Impact Statement

This rule should not adversely impact jobs or employment opportunities in New York State. Insurance Law Articles 15, 16, and 17, and 11 NYCRR 82 (Insurance Regulation 203) already require a holding company and certain domestic insurers to adopt a formal enterprise risk management (“ERM”) function and file an annual enterprise risk report. Regulation 203 also sets forth the minimum requirements for an ERM function, including that an ERM function address all reasonably foreseeable and material

risks, and specifies the information that a holding company and domestic insurer must include in their enterprise risk reports. This rule merely requires a holding company and domestic insurer to describe their ERM functions in their enterprise risk reports, which some holding companies and domestic insurers already do voluntarily. It also makes clear that “domestic insurer”, as referenced in Regulation 203, includes a United States branch of an alien insurer entered through New York State; makes explicit that cybersecurity, climate change, epidemics, and pandemics are examples of reasonably foreseeable and material risks; and fixes a typographical error.

New York State Gaming Commission

NOTICE OF ADOPTION

Participation in the Management and Operation of Charitable Games of Chance

I.D. No. SGC-50-20-00006-A

Filing No. 259

Filing Date: 2021-03-15

Effective Date: 2021-03-31

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

Action taken: Amendment of section 4622.25 of Title 9 NYCRR.

Statutory authority: General Municipal Law, section 188-a(1); Racing, Pari-Mutuel Wagering and Breeding Law, section 104(19)

Subject: Participation in the management and operation of charitable games of chance.

Purpose: To maintain integrity and accountability in the management and operation of games of chance.

Text or summary was published in the December 16, 2020 issue of the Register, I.D. No. SGC-50-20-00006-P.

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

Text of rule and any required statements and analyses may be obtained from: Kristen M. Buckley, New York State Gaming Commission, One Broadway Center, P.O. Box 7500, Schenectady, New York 12301-7500, (518) 388-3332, email: gamingrules@gaming.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Contactless Payment Methods for Chances in Charitable Gaming

I.D. No. SGC-50-20-00007-A

Filing No. 258

Filing Date: 2021-03-15

Effective Date: 2021-03-31

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

Action taken: Amendment of section 4621.1; repeal of section 4600.1(t) of Title 9 NYCRR.

Statutory authority: General Municipal Law, section 188-a(1); Racing, Pari-Mutuel Wagering and Breeding Law, section 104(19)

Subject: Contactless payment methods for chances in charitable gaming.

Purpose: To promote public health and support of organizations authorized to operate games of chance.

Text or summary was published in the December 16, 2020 issue of the Register, I.D. No. SGC-50-20-00007-P.

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

Text of rule and any required statements and analyses may be obtained from: Kristen M. Buckley, New York State Gaming Commission, One Broadway Center, P.O. Box 7500, Schenectady, New York 12301-7500, (518) 388-3332, email: gamingrules@gaming.ny.gov

Assessment of Public Comment

The agency received no public comment.

Metro-North Commuter Railroad

EMERGENCY RULE MAKING

Requiring Mask Covering the Nose and Mouth When Using Terminals, Stations and Trains Operated by Metro-North Railroad

I.D. No. MCR-39-20-00004-E

Filing No. 249

Filing Date: 2021-03-11

Effective Date: 2021-03-11

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

Action taken: Amendment of Part 1085 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, section 1266(4) and (5)

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

Specific reasons underlying the finding of necessity: The emergency amendment is necessary to safeguard public health and safety and to ensure through mandated mask wearing covering the nose and mouth that the public, health care providers, first responders, and other essential workers who rely on subways and trains to get to and from work and also our employees are protected during the COVID-19 outbreak.

Subject: Requiring mask covering the nose and mouth when using terminals, stations and trains operated by Metro-North Railroad.

Purpose: To safeguard the public health and safety by amending rules requiring use of masks when using Metro-North facilities.

Text of emergency rule: Section 1085.4 is amended to add a new subdivision (g) to read as follows:

(g) All persons in a terminal, station or train shall comply with all lawful orders and directives of any police officer, peace officer or any Metro-North Railroad or Authority employee acting within the scope of their employment, including one pursuant to an order or directive issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or an order or directive issued by the Authority that includes requiring the wearing of masks or face coverings by any individual who is over the age of two and is able to medically tolerate a face-covering. Masks or face coverings must be worn in a manner covering the nose and mouth. Any person who does not comply with such an order or directive requiring wearing of masks or face coverings in a manner covering the nose and mouth may be barred from entering, or be ejected from, any terminal, station, or train, in addition to a fine of \$50.00.

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. MCR-39-20-00004-EP, Issue of September 30, 2020. The emergency rule will expire May 9, 2021.

Text of rule and any required statements and analyses may be obtained from: Peter Sistrom, Metropolitan Transportation Authority, 2 Broadway, New York, New York 10004, (212) 878-7176, email: psistrom@mtahq.org

Regulatory Impact Statement

Statutory authority: Section 1204(5-a) provides that the New York City Transit Authority may adopt rules and regulations governing the conduct and safety of the public as it may deem necessary, convenient or desirable for the use and operation of the transit facilities under its jurisdiction; Sections 1266(4) and (5) of the Public Authorities Law provide that the Metropolitan Transportation Authority and its subsidiary public benefit corporations may adopt rules and regulations governing the conduct and safety of the public as they may deem necessary, convenient or desirable for the use of any transportation facility and related services operated by it or its subsidiaries. Under the Executive Law, the Governor has declared a state disaster emergency and has issued Executive Order 202.18, which requires “any person utilizing public or private transportation carriers or other for-hire vehicles, who is over age two and able to medically tolerate a face covering, [to] wear a mask or face covering over the nose and mouth during any such trip.”

Legislative objectives: The Legislature has conferred on the New York City Transit Authority and the Metropolitan Transportation Authority and their subsidiaries the authority to ensure the safety of their passengers and

employees. Both have exercised that authority to adopt rules of conduct governing the conduct and safety of the public in the use of their facilities; this amended rule furthers the Legislature's objective by safeguarding public health and safety during the State disaster emergency related to the COVID-19 outbreak and after.

Needs and benefits: The proposed amendment is necessary to safeguard public health and safety to ensure that persons who rely on subways to get to and from work comply with the public health guidance to wear a mask or face covering to try to limit the transmission of COVID-19.

Costs:

(a) Regulated parties. The proposed amendments to the rules governing conduct and safety do not impose new costs on passengers or others.

(b) State and local government. The proposed amendments to the rules governing conduct and safety will not impose any new costs on State or local governments.

Local government mandates: The proposed amended rules do not impose any new programs, services, duties or responsibilities on local government. The New York City Police Department's Transit Bureau is already responsible with others in enforcing the New York City Transit Authority's Rules Governing the Conduct and Safety of the Public, and the MTA Police Department is responsible for enforcing the comparable rules and regulations governing the conduct and safety of the public on trains and stations operated by the Metropolitan Transportation Authority's two commuter railroads.

Paperwork: The proposed amended rules do not impose any new reporting requirements.

Duplication: The proposed amended rules do not duplicate, overlap, or conflict with any State or Federal rule.

Alternatives: No significant alternatives to these amendments were considered.

Federal standards: The proposed amended rule does not exceed any Federal minimum standards.

Compliance schedule: There is no compliance schedule imposed by these proposed amended rules. Once adopted, the emergency amendment to the existing rules governing the conduct and safety of the public will be effective immediately.

Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A regulatory flexibility analysis for small businesses and local governments, a rural area flexibility analysis, and a job impact statement are not required for this rulemaking because it will not adversely affect small businesses, local governments, rural areas, or jobs.

This rulemaking will authorize law enforcement officers and designated employees of the Metropolitan Transportation Authority and Metro-North Railroad to enforce compliance with orders and directives issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or the Metropolitan Transportation Authority requiring persons in a terminal, station or train to wear masks or face coverings in a manner covering the nose and mouth. Due to its narrow focus, this proposed emergency rule will not impose an adverse economic impact or reporting, recordkeeping, or other compliance requirements on small businesses or local governments in rural or urban areas or on jobs and employment opportunities.

Assessment of Public Comment

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

Niagara Frontier Transportation Authority

NOTICE OF WITHDRAWAL

Procurement Guidelines

I.D. No. NFT-39-20-00023-W

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

Action taken: Notice of proposed rule making, I.D. No. NFT-39-20-00023-P, has been withdrawn from consideration. The notice of proposed rule making was published in the *State Register* on September 30, 2020.

Subject: Procurement Guidelines.

Reason(s) for withdrawal of the proposed rule: To correct substantive errors in the submission.

Public Service Commission

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Revised Distribution Strategies and Reallocation of Remaining Funding

I.D. No. PSC-13-21-00016-P

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

Proposed Action: The Public Service Commission is considering a petition filed by Niagara Mohawk Power Corporation d/b/a National Grid regarding the use of funding for gas safety programs.

Statutory authority: Public Service Law, sections 5, 65 and 66

Subject: Revised distribution strategies and reallocation of remaining funding.

Purpose: To ensure the appropriate use of funding 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 March 4, 2021. In the petition, National Grid proposes to modify its incremental residential methane detection (RMD) program. Specifically, National Grid would revise distribution of traditional RMD devices and would apply the remaining program funding to Advanced Metering Infrastructure (AMI)-enabled RMD devices.

The Commission's March 15, 2018 Order Adopting Terms of Joint Proposal and Establishing Electric and Gas Rate Plans in Cases 17-E-0238 and 17-G-0239, required National Grid to reserve \$5,000 million from certain deferral credits and \$1.351 million from negative revenue adjustments for use on pipeline safety programs. The Commission's June 15, 2020 Order Authorizing Use of Funds for Pipeline Safety Programs in Case 17-G-0239, required that National Grid spend \$1.950 million of the deferred monies to distribute approximately 64,800 RMD devices.

National Grid's March 4, 2021 petition requests: (1) a reduction to the targeted number of RMD devices (30,000) due to difficulties experienced during the COVID-19 pandemic; (2) modification to the method of distribution, to include both direct mailings and in-person methods; and (3) the reallocation of remaining program funding to support an AMI-enabled RMD program. National Grid's AMI-enabled RMD program was proposed in the pending rate proceeding in Case 20-G-0381.

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-0239SP6)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Applicable Regulatory Regime Under the Public Service Law for the Owner of an Energy Storage Facility

I.D. No. PSC-13-21-00017-P

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

Proposed Action: The Commission is considering a petition filed by East River ESS, LLC seeking a lightened regulatory regime in connection with its energy storage facility of up to approximately 100 MW located in Astoria, Queens, New York.

Statutory authority: Public Service Law, sections 2(12), (13), 5(1)(b), 64, 65, 66, 68, 69, 69-a, 70, 71, 72, 72-a, 105-114, 114-a, 115, 118, 119-b and 119-c

Subject: The applicable regulatory regime under the Public Service Law for the owner of an energy storage facility.

Purpose: Consideration of a lightened regulatory regime for the owner of an approximately 100 MW energy storage facility.

Substance of proposed rule: The New York State Public Service Commission (Commission) is considering a petition filed by East River ESS, LLC (East River ESS) on February 19, 2021 for a lightened regulatory regime in connection with its energy storage facility of up to approximately 100 MW to be located on a site in Astoria, Queens, New York.

East River ESS requests that the Commission issue an order providing that it will be regulated under the Public Service Law subject to a lightened regulatory regime consistent with the regime imposed on the owners-operators of other competitive wholesale electric market resources. The Commission is also considering East River ESS's request for a Certificate of Public Convenience and Necessity pursuant to Public Service Law § 68 for authority to develop, construct, and operate the proposed electric generating facility.

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.

(21-E-0122SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Compensation of and Incentives for Distributed Energy Resources

I.D. No. PSC-13-21-00018-P

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

Proposed Action: The Commission is considering a petition filed by the Joint Utilities requesting clarification on two elements of the remote crediting tariff.

Statutory authority: Public Service Law, sections 5(1)(b), (2), 65(1), (2), (3), 66(2), (5) and 66-p

Subject: Compensation of and incentives for distributed energy resources.

Purpose: To encourage the development of and ensure just and reasonable rates for distributed energy resources.

Substance of proposed rule: The Public Service Commission is considering the petition (Petition) filed by Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, Niagara Mohawk Power Corporation d/b/a National Grid, Orange and Rockland Utilities, Inc. and Rochester Gas & Electric Corporation (collectively, the Joint Utilities) on February 17, 2021, requesting clarification of two elements of the remote crediting tariff directed to be filed by the State's utilities in two orders issued by Public Service Commission (Commission) issued in Case 19-E-0735 (collectively, the Orders): (1) Order Extending and Expanding Distributed Solar Incentives, dated May 14, 2020; and (2) Order Clarifying Remote Crediting Program (Clarification Order), dated September 17, 2020.

As explained in the petition, the Joint Utilities seek to incorporate two

stakeholder-supported changes to the remote crediting program that they assert conflict with the Orders: 1) permit residential customers to participate as remote crediting satellites, and 2) allow for monthly, rather than annual, changes to the frequency of credit allocation and addition/removal of satellites. The petition explains that these changes are in apparent conflict with the Clarification Order, which, in the Joint Utilities' view, prohibits residential customers from participating as satellites in the remote crediting program and requires remote crediting allocation to be consistent with the Joint Utilities' remote net metering tariffs. Currently, those tariffs only permit for annual changes to the frequency of credit allocation and the addition/removal of satellites. The Joint Utilities support the two changes on the grounds that they would lend flexibility to remote crediting and encourage participation in the program.

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) 474-6517, 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.

(19-E-0735SP2)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Notice of Intent to Submeter Electricity

I.D. No. PSC-13-21-00019-P

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

Proposed Action: The Commission is considering the notice of intent of Paragon JV Prop III LLC to submeter electricity at 2555 Broadway, New York, New York.

Statutory authority: Public Service Law, sections 2, 4(1), 30, 32-48, 52, 53, 65(1), 66(1), (2), (3), (4), (12) and (14)

Subject: Notice of intent to submeter electricity.

Purpose: To ensure adequate submetering equipment and consumer protections are in place.

Substance of proposed rule: The Commission is considering the notice of intent of Paragon JV Prop III LLC filed on February 25, 2021, to submeter electricity at a new market-rate condominium building with one unit of inclusionary housing at 80% of the area median income, located at 2555 Broadway, New York, New York 10025, in the service territory of Consolidated Edison Company of New York, Inc. (Con Ed).

In the notice of intent, Paragon JV Prop III LLC requests authorization to take electric service from Con Ed and then distribute and meter that electricity to its residents. Once approved by the Commission, submetering of electricity to residents is allowed so long as it complies with the protections and requirements of the Commission's regulations in 16 NYCRR Part 96.

The full text of the notice of intent 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.
(21-E-0128SP1)

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

Notice of Intent to Submeter Electricity

I.D. No. PSC-13-21-00020-P

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

Proposed Action: The Commission is considering the notice of intent of 501 State Street Assoc LLC to submeter electricity at 501 State Street, Schenectady, New York.

Statutory authority: Public Service Law, sections 2, 4(1), 30, 32-48, 52, 53, 65(1), 66(1), (2), (3), (4), (12) and (14)

Subject: Notice of intent to submeter electricity.

Purpose: To ensure adequate submetering equipment and consumer protections are in place.

Substance of proposed rule: The Commission is considering the notice of intent filed by 501 State Street Assoc LLC on February 18, 2021, to submeter electricity at a new market-rate rental building located at 501 State Street, Schenectady, New York 12305, in the territory of Niagara Mohawk Power Corporation d/b/a National Grid.

In the notice of intent, 501 State Street Assoc LLC requests authorization to take electric service from National Grid and then distribute and meter that electricity to its residents. Once approved by the Commission, submetering of electricity to residents is allowed so long as it complies with the protections and requirements of the Commission's regulations in 16 NYCRR Part 96.

The full text of the notice of intent 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.
(21-E-0116SP1)

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

Headroom Analyses of Local Transmission and Distribution System to Support Additional Renewable Energy Generation

I.D. No. PSC-13-21-00021-P

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

Proposed Action: The Commission is considering a proposal filed by Department of Public Service Staff which discusses potential improvements to the methodologies and assumptions used for headroom analyses of local transmission and distribution systems.

Statutory authority: Public Service Law, sections 4(1), 5(1), (2) and 66

Subject: Headroom analyses of local transmission and distribution system to support additional renewable energy generation.

Purpose: To support distribution and local transmission investments necessary to achieve the the State's climate goals.

Substance of proposed rule: The Commission is considering the Department of Public Service (Department Staff) Staff's Straw Proposal for Conducting Headroom Assessments (Proposal), filed in March 16, 2021, in accordance with the Public Service Commission's (Commission) February 11, 2021 Order on Phase 1 Local Transmission and Distribution Project Proposals (Order) in Case 20-E-0197.

The proposal identifies specific improvements to the methodologies and assumptions used by the State's electric utilities when analyzing (1) headroom at the utilities' existing substations and (2) the projected capability of the utilities' local transmission and distribution (LT&D) systems to support additional renewable energy generation consistent with the renewable energy targets established under the Climate Leadership and Community Protection Act (CLCPA). The specific improvements identified by Staff are intended to result in improved and more consistent headroom assessments for use in identifying and evaluating future transmission and distribution investments, particularly LT&D projects that are driven primarily by CLCPA objectives.

The proposal identifies six main recommendations to improve headroom assessment analyses. The first recommendation is for the utilities to collaborate to produce a unified and shared database of study assumptions and set of power flow models to ensure consistency and improve the validity of the headroom calculations. Three recommendations relate to addressing the specific framework for assessing capacity headroom, energy headroom, and distribution headroom for on-ramp needs (from generation pockets). Two recommendations relate to developing frameworks for assessing LT&D off-ramp headroom for delivering new renewable generation to load either connected radially by one off-ramp transmission connection or connected to a meshed load pocket with multiple off-ramp transmission connections.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. 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-E-0197SP5)

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

Notice of Intent to Submeter Electricity

I.D. No. PSC-13-21-00022-P

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

Proposed Action: The Commission is considering the notice of intent of 301 Clinton Street Assoc, LLC to submeter electricity at 301 Clinton Street, Schenectady, New York.

Statutory authority: Public Service Law, sections 2, 4(1), 30, 32-48, 52, 53, 65(1), 66(1), (2), (3), (4), (12) and (14)

Subject: Notice of intent to submeter electricity.

Purpose: To ensure adequate submetering equipment and consumer protections are in place.

Substance of proposed rule: The Commission is considering the notice of intent filed by 301 Clinton Street Assoc, LLC on March 2, 2021, to submeter electricity at a new market-rate rental building located at 301 Clinton Street, Schenectady, New York 12305, in the territory of Niagara Mohawk Power Corporation d/b/a National Grid.

In the notice of intent, 301 Clinton Street Assoc, LLC requests authorization to take electric service from National Grid and then distribute and meter that electricity to its residents. Submetering of electricity to residential tenants is allowed so long as it complies with the protections and requirements of the Commission's regulations in 16 NYCRR Part 96.

The full text of the notice of intent 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.

(21-E-0137SP1)

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

Petition for the Use of Steam Metering Equipment

I.D. No. PSC-13-21-00023-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 Consolidated Edison Company of New York, Inc. for the use of the RITEC REI-SFC Steam Flow Computer in steam metering applications.

Statutory authority: Public Service Law, section 80

Subject: Petition for the use of steam metering equipment.

Purpose: To ensure that consumer bills are based on accurate measurements of steam usage.

Substance of proposed rule: The Public Service Commission (Commission) is considering a petition, filed on February 5, 2021, by Consolidated Edison Company of New York, Inc. (Con Edison) to use the RITEC REI-SFC Steam Flow Computer in steam metering applications in New York State.

The Commission requires that new types of steam metering equipment conform to the requirements of 16 NYCRR Part 400 and be approved by the Commission before being used for customer billing purposes.

The full text of the petition and the full record of the proceeding may be viewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: 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.

(21-S-0082SP1)

Department of State

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

Successor in Interest Registrations Under the Right of Publicity Law

I.D. No. DOS-13-21-00025-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 add Part 131 to Title 19 NYCRR.

Statutory authority: Civil Rights Law, section 50-f (L. 2020, ch. 304); Executive Law, section 91

Subject: Successor in interest registrations under the Right of Publicity law.

Purpose: To establish the fee and verification requirements to file a claim under the Right of Publicity law.

Text of proposed rule: New Part 131 of Title 19 of the NYCRR is added as follows:

Part 131 Right of Publicity Registration

Section 131.1 (Reserved)

Section 131.2 Fee

The fee for filing a registration of a person claiming to be a successor in interest to the rights of a deceased personality or a licensee thereof with the Department of State under Civil Rights Law Section 50-f is one hundred fifty dollars.

Section 131.3 Verification by Affirmation

(a) The registration form for any person claiming to be a successor in interest to the rights of a deceased personality or a licensee thereof may be verified by affirmation under penalty of perjury.

(b) In the case of an agent, lawfully appointed, completing a registration form on behalf of a person claiming to be a successor in interest to the rights of a deceased personality or a licensee thereof, the agent shall be required to verify by affirmation, under the penalty of perjury, that such agent has been duly appointed to file such registration, knows the contents of such registration, and believes the same to be true.

Text of proposed rule and any required statements and analyses may be obtained from: David A. Mossberg, Esq., NYS DOS, 99 Washington Avenue, 11th Floor, Albany, NY 12231, (518) 473-2728, email: david.mossberg@dos.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

This rule is being proposed as a consensus rule making. The Department of State (the "Department") does not anticipate that any person is likely to object to this rule since it, in part, is statutorily mandated. Section 50-f of the Civil Rights Law, enacted pursuant to Chapter 304 of the Laws of 2020, requires, in part, that the Department establish, by rule, the fee to submit a claim as a successor in interest to the rights of a deceased personality or a licensee thereof.

The Department does not believe any person is likely to object, since if the Department did not propose this rule, individuals would have no process to submit claims to protect their interests. Further, the Department does not believe any person is likely to object to the fee amount since the claim, once filed, in the absence of litigation, would remain for 40 years; accordingly, the net cost per year to preserve these rights is only \$3.75. The Department also considered that other licenses issued by the Department exceed the amount prescribed by this rule and require renewal with greater frequency.

The Department also finds that no person is likely to object to the addition of Section 131.3 since it simplifies the verification process for filing these claims.

Job Impact Statement

A Job Impact Statement is not required for the proposed regulatory amendments. It is apparent from the nature and the purpose of the proposed regulatory amendments that they will not have a substantial adverse impact on jobs and employment opportunities in either the public or private sectors.

Section 50-f of the Civil Rights Law requires, in part, that the Department establish the fee to file a claim as a successor in interest to the rights of a deceased personality or a licensee thereof. This rule achieves this statutory mandate by establishing a reasonable fee, of \$150, which represents an annual cost of \$3.75, per year, over the 40 years the claim is valid. The Department finds that this nominal per year cost to preserve one's interest is not likely to be objected to. Further, the rule simplifies the verification process making it less burdensome to preserve these rights.

By reason of the foregoing, the Department finds that this rule will have no impact on jobs or employment opportunities.

Office of Temporary and Disability Assistance

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Establishment of Parentage

I.D. No. TDA-13-21-00010-P

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

Proposed Action: Amendment of section 346.2 and Part 347 of Title 18 NYCRR.

Statutory authority: United States Code, title 42, sections 651-657, 660, 663-664, 666-667; Code of Federal Regulations, title 45, section 303.5; Family Court Act, section 516-a; Public Health Law, section 4135-b; Social Services Law, sections 17(a), (b), (k), 20(3)(d), 34(3)(f), 111-a, 111-c and 111-k; L. 2020, ch. 56, part L

Subject: Establishment of parentage.

Purpose: To amend State regulations concerning the establishment of paternity to reflect Federal and recently-enacted State statutory requirements, to coordinate and update terminology used by the Child Support Program, and to conform regulatory citations with State laws.

Substance of proposed rule (Full text is posted at the following State website: <http://otda.ny.gov/legal/regulatory-activities.asp>): The Office of Temporary and Disability Assistance (OTDA) proposes to amend 18 NYCRR §§ 346.2, 347.1 – 347.3, 347.5 – 347.8, 347.11, 347.17 – 347.19, and 347.24. The full text of the proposed regulatory amendments is posted at: <http://otda.ny.gov/legal/regulatory-activities.asp>. The proposed regulatory amendments would amend state regulations concerning the establishment of paternity to reflect federal and state statutory requirements recently enacted in Part L of Chapter 56 of the Laws of 2020 (Child Parent Security Act [CPSA]), update state regulations to reflect current terminology used in association with the CPSA and by the Child Support Program, and revise regulatory citations in accordance with state laws.

Section 346.2(b) would replace references to “paternity” with “parentage.”

Section 347.1 would be retitled as “state division of child support services” to reflect the name of the state Title IV-D Child Support Program.

Section 347.1 would make technical updates regarding the name of the agency and the state Title IV-D Child Support Program, replace a reference to “absent parents” with “noncustodial parents,” and clarify the activities to be supervised by the state Title IV-D Child Support Program.

Section 347.2 would add definitions of “Alleged parent,” “Birth parent,” “Gamete donor,” “Intended parent,” “Parentage,” and “Putative father registry.” In addition, the definition of “Putative father” would be removed, and the definitions of “Noncustodial parent or absent parent” and “State parent locator service” would be updated to reflect terminology used in association with the CPSA.

Section 347.3(a) would make technical updates regarding the name of the State Child Support Program, replacing “OCSE” with “DCSS,” and the activities of the social services district child support enforcement unit. In addition, references to “paternity” would be replaced with “parentage,” and a reference to “putative fathers” would be replaced with “alleged parents and intended parents.”

Section 347.3(a)(1) would replace a reference to “paternity” with “parentage.”

Section 347.3(a)(3)–(5) would replace references to “putative fathers” with “alleged parents and intended parents.”

Section 347.3(a)(6) would remove the reference to “paternity” proceedings and replace it with a general reference to “court” proceedings. In ad-

dition, a reference to “putative father” would be replaced with a reference to “alleged parent or intended parent.” The gender-specific pronoun “his” would be replaced with the gender-neutral pronoun “their.”

Section 347.3(a)(11) would replace references to “paternity” with “parentage” and “putative fathers” with “alleged parents and intended parents.”

Section 347.3(a)(13) would replace a reference to “paternity” with “parentage.”

Section 347.3(b) and (c) would replace a reference to “OCSE” with “DCSS.”

Section 347.5(a) would replace the obsolete regulatory reference to § “370.2(d)” with § “370.9.”

Section 347.5(a)(1) would replace references to “absent parent” with “noncustodial parent” and “putative father” with “alleged parent or intended parent.”

Section 347.5(a)(3) would replace a reference to “paternity” with “parentage.”

Section 347.5(c)–(d) and (f)–(g) would replace references to “paternity” with “parentage.”

Section 347.5(i)–(j) would replace references to “absent parent” with “noncustodial parent,” “putative father” with “alleged parent or intended parent” and “paternity” with “parentage.”

Section 347.6 would be retitled as “Establishment of parentage” to more accurately reflect the new provisions.

Section 347.6(a) would replace references to “paternity” with “parentage.”

Section 347.6(a)(1) would add a reference to “parentage” and update the regulation to reflect current terminology used by the Child Support Program.

Section 347.6(a)(2) would replace “paternity” with “parentage” and remove the statutory citation.

Section 347.6(a)(3) would reflect state requirements under the CPSA, where assisted reproduction was not used and an alleged parent is excluded as the parent of the child. In addition, references to “putative father” would be replaced with “alleged parent.”

Section 347.6(a)(4) would reflect state requirements under the CPSA to provide alleged parents and intended parents the opportunity to voluntarily acknowledge parentage.

Section 347.6(b) would replace a reference to “paternity” with “parentage” and references to “father” and “putative father” with “alleged parent.” In addition, terminology related to “genetic tests” would be updated.

Section 347.6(c) would reflect terminology used in association with the CPSA, replacing “putative father” with “alleged parent” and “father” with “parent.” In addition, the regulation would be updated to reflect current terminology used by the Child Support Program and a gender-neutral pronoun.

Section 347.6(d)(1) would conform the state regulation with requirements under the CPSA related to voluntary acknowledgments of parentage. In addition, a regulatory citation would be conformed in accordance with state law.

Section 347.6(d)(2) would conform the state regulation with requirements under the CPSA related to the contents of the notice of rights and consequences and revise a regulatory citation in accordance with state law.

Section 347.6(d)(3) would describe the review of a submitted acknowledgment of parentage.

Section 347.6(d)(4) would conform the state regulation with requirements under the CPSA to file the executed acknowledgment of parentage with the registrar.

Section 347.6(d)(5) would replace the existing provisions related to filing with the putative father registry with requirements under the CPSA concerning records related to acknowledgments of paternity signed in hospitals.

Section 347.6(d)(6) would replace references to “paternity” with “parentage” and add a reference to Social Services Law (SSL) § 111-k in the description of the effect of such voluntary acknowledgment. In addition, the description of the court documents for which an acknowledgment of parentage has the same force and effect would be clarified.

Section 347.7 would be retitled as “Location of noncustodial parents/ alleged parents/intended parents and sources of income or assets” to more accurately reflect the new provisions.

Section 347.7(a) would amend the definition of “location” to eliminate the references to “putative father” and substitute “alleged parent or intended parent.”

Section 347.7(b) would reflect terminology used in association with the CPSA, replacing “putative father” with “alleged parent or intended parent.”

Section 347.7(b)(1) would update references to “food stamps,” and “the local telephone company” with corresponding current terminology. In addition, “putative father” would be replaced with “alleged parent or intended parent.”

Section 347.7(b)(3) would replace a reference to “putative father” with “alleged parent or intended parent.”

Section 347.7(b)(4) would clarify the information critical to location activities and replace a gender-specific reference with a gender-neutral term.

Section 347.7(b)(6) would replace references to “putative father” with “alleged parent or intended parent.”

Section 347.7(b)(7) would replace references to “putative father” with “alleged parent or intended parent” and make a technical revision.

Section 347.7(c) would make a technical revision to the name of the state Title IV-D Child Support Program.

Section 347.8(a)(1) would replace a reference to “putative father” with “alleged parent or intended parent.”

Section 347.8(a)(1)(i) would replace a reference to “paternity” with “parentage.”

Section 347.8(b)(3)(i) would replace a reference to “putative father” with “alleged parent or intended parent” and references to “paternity” with “parentage.”

Section 347.11(a)(1) would replace references to “paternity” with “parentage.”

Section 347.11(a)(2) would replace a reference to “absent parent” with “noncustodial parent.”

Section 347.11(a)(3) would replace a reference to “Uniform Support of Dependents Law” with “Uniform Interstate Family Support Act.”

Section 347.11(a)(4) would replace a reference to “absent parent” with “noncustodial parent.”

Section 347.11(a)(5) and (6) would replace references to “OCSE” with “DCSS.”

Section 347.11(b) would replace references to “absent parents” with “noncustodial parents,” “paternity” with “parentage,” and “OCSE” with “DCSS.” In addition, a provision about the location of alleged parents or intended parents would be included.

Section 347.11(b)(1) would replace a reference to “ADC” with “public assistance.”

Section 347.11(b)(4) would replace a reference to “absent parent” with “noncustodial parent.”

Section 347.11(b)(5) would make technical revisions regarding the type of requirements.

Section 347.17(a) would replace a reference to “paternity” with “parentage” and make a technical revision to the name of the agency.

Section 347.17(c)(1) would replace references to “putative fathers” with “alleged parents and intended parents.”

Section 347.17(c)(2) and (d)(2) would replace references to “paternity” with “parentage.”

Section 347.18(b)(1)-(2) and (4) would replace references to “absent parent” with “noncustodial parent” and “putative father” with “alleged parent/ intended parent.”

Section 347.18(d) would replace a reference to “OCSE” with “DCSS.”

Section 347.19(a)(1) and (a)(4)(ii) would replace “paternity” with “parentage.”

Section 347.19(a)(4)(iii)(a) would replace references to “putative fathers” with “alleged parents or intended parents” and “paternity” with “parentage.”

Section 347.19(b)(1) would make a technical revision to the name of the agency.

Section 347.19(b)(1)(i) would add a provision about the location of alleged parents or intended parents and replace a reference to “paternity” with “parentage.”

Section 347.19(b)(2)(iii)(a) and (b)(3)(i) would replace references to “paternity” with “parentage.”

Section 347.24(b)(2) would replace a reference to “putative father” with “alleged parent or intended parent.”

Section 347.24(b)(3) would replace references to “paternity” with “parentage” and “putative father” with “alleged parent or intended parent.”

Section 347.24(c) would replace references to “paternity” with “parentage.”

Text of proposed rule and any required statements and analyses may be obtained from: Richard P. Rhodes, Jr., Office of Temporary and Disability Assistance, 40 North Pearl Street, 16-C, Albany, NY 12243-0001, (518) 486-7503, email: richard.rhodesjr@otda.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.

Regulatory Impact Statement

1. Statutory authority:

Title 42 of the United States Code (42 USC) §§ 651–657, 660, 663–664, and 666–667 sets forth authority for the Title IV-D program (IV-D) and requires states, in part, to establish and maintain a state plan for child and spousal support, and sets forth guidelines for the establishment of paternity.

42 USC § 666(a)(5) requires states to have in effect laws requiring the

use of procedures concerning paternity establishment including, but not limited to, procedures for genetic testing and voluntary paternity acknowledgment.

Title 45 of the Code of Federal Regulations (CFR) § 303.5 provides that for all cases referred to the IV-D agency or applying for child support services, the IV-D agency must provide an alleged father the opportunity to voluntarily acknowledge paternity and attempt to establish paternity by legal process established under state law. The State must establish, in cooperation with hospitals, state birth record agencies, and other entities designated by the State and participating in the State’s voluntary establishment program, a program for voluntary paternity establishment services.

Social Services Law (SSL) § 17(a)–(b) and (k) provide, in part, that the Commissioner of the Office of Temporary and Disability Assistance (OTDA) shall “determine the policies and principles upon which public assistance, services and care shall be provided within the state both by the state itself and by the local governmental units”, shall “make known his policies and principles to local social services officials and to public and private institutions and welfare agencies subject to his regulatory and advisory powers ...”, and shall “exercise such other powers and perform such other duties as may be imposed by law.”

SSL § 20(3)(d) authorizes OTDA to promulgate regulations to carry out its powers and duties.

SSL § 34(3)(f) requires the Commissioner of OTDA to establish regulations for the administration of public assistance and care within the State.

SSL § 111-a requires OTDA to promulgate regulations necessary to obtain and retain approval of its child support state plan, required to be submitted to the federal Department of Health and Human Services by Part D of Title IV of the federal Social Security Act.

Effective February 15, 2021, SSL § 111-c provides that each social services district (district) shall establish a single organizational unit which shall be responsible, in part, for such district’s activities in assisting the State in the establishment of parentage.

Effective February 15, 2021, SSL § 111-k provides that a social services official or his or her designated representative who confers with a potential respondent or respondent, the mother of a child born out of wedlock and any other interested person, pursuant to SSL § 111-c, may obtain an acknowledgment of parentage of a child, as provided for in Family Court Act (FCA) Article 5-B or § 516-a, or Public Health Law (PHL) § 4135-b.

Effective February 15, 2021, PHL § 4135-b provides for the voluntary acknowledgment of parentage following the in-hospital birth of a child to an unmarried person or to a person who gives birth to a child conceived through assisted reproduction.

2. Legislative objectives:

It was the intent of the Legislature in enacting the above statutes that OTDA establish rules, regulations, and policies so that child support services are provided to eligible persons to ensure that, to the greatest extent possible, parents provide financial support for their children.

3. Needs and benefits:

The proposed regulatory amendments to 18 NYCRR § 347.6, and associated changes to 18 NYCRR §§ 346.2, 347.1 – 347.3, 347.5, 347.7 – 347.8, 347.11, 347.17 – 347.19, and 347.24, are being advanced as the existing regulations for the establishment of paternity are inconsistent with revised state laws. Effective February 15, 2021, Part L of Chapter 56 of the Laws of 2020 (“Child Parent Security Act”) amends the FCA in relation to judgments of parentage of children conceived through assisted reproduction or pursuant to surrogacy agreements; amends the Domestic Relations Law (DRL) in relation to restricting genetic surrogate parenting contracts; amends the PHL in relation to voluntary acknowledgments of parentage, gestational surrogacy, and regulations concerning ova donation; amends the General Business Law, the SSL, the Insurance Law, and the Estates, Powers and Trusts Law (EPTL) in relation to the regulation of surrogacy programs; amends the EPTL in relation to inheritance by children after the death of an intended parent; and repeals section 73 of the DRL in relation to legitimacy of children born by artificial insemination.

The proposed regulatory amendments to 18 NYCRR § 346.2 are being advanced to conform the state regulations with state law by reflecting the establishment of parentage and the use of associated terminology.

The amendments to 18 NYCRR § 347.1 are being proposed to update State regulations to reflect current terminology used by the Child Support Program and to make technical changes to the name of the agency and the state IV-D program.

The proposed regulatory amendments to 18 NYCRR § 347.2, which sets forth the definitions of the terms used in this Part, are being advanced to reflect terminology used by the Child Support Program in association with the Child Parent Security Act.

The proposed regulatory amendments to 18 NYCRR § 347.3, 347.5, 347.7, 347.11, and 347.18 would amend the state regulations to conform with state law by reflecting the establishment of parentage and terminology used by the Child Support Program in association with the Child Parent Security Act.

The proposed regulatory amendments to 18 NYCRR § 347.6 are being advanced to conform the state regulations with state law by reflecting the establishment of parentage and the acknowledgment of parentage process set forth in revised FCA § 516-a, SSL § 111-k, and PHL § 4135-b. In addition, the proposed regulatory amendments are proposed to correct statutory citations in accordance with state laws.

The regulatory amendments to 18 NYCRR §§ 347.8, 347.17, 347.19, and 347.24 are proposed to conform the state regulations with state law by reflecting the establishment of parentage and the use of associated terminology by the Child Support Program.

4. Costs:

The proposed regulatory amendments would not require the districts to incur any initial capital costs or annual costs for maintaining compliance with the adopted rule. The Division of Child Support Services within OTDA continues to assume all administrative cost and responsibility for the systematic programming for implementing the state automated child support management system, including the portions which support the parentage establishment functions of districts. The cost of any necessary system changes is anticipated to be minimal.

5. Local government mandates:

Districts would be required to comply with the proposed regulatory amendments by ensuring that all establishments of parentage are done in full compliance with federal and state requirements. The proposed regulatory amendments would be consistent with federal and state laws.

6. Paperwork:

The proposed regulatory amendments would not create new paperwork or reporting requirements.

7. Duplication:

The proposed regulatory amendments would not duplicate, overlap or conflict with any existing federal or state law or regulation.

8. Alternatives:

There are no significant alternatives that would afford greater flexibility to districts than the proposed regulatory amendments. The proposed regulatory amendments are necessary to align state regulations concerning the establishment of paternity with federal and state statutory requirements, to update state regulations to reflect current terminology used by the Child Support Program, and to conform regulatory citations with state laws.

9. Federal standards:

The proposed regulatory amendments would not exceed minimum federal standards for the same subject.

10. Compliance schedule:

It is anticipated that districts would already be in compliance with the proposed regulatory amendments upon the effective date of the proposed regulatory amendments.

Regulatory Flexibility Analysis

A Regulatory Flexibility Analysis is not required for the proposed regulatory amendments to 18 NYCRR §§ 346.2, 347.1 – 347.3, 347.5 – 347.8, 347.11, 347.17 – 347.19, and 347.24 because the proposed regulatory amendments would neither have an adverse economic impact upon, nor impose reporting, recordkeeping, or other compliance requirements upon small businesses or social services districts (districts). The proposed regulatory amendments are necessary to render the existing state regulations consistent with recent changes to § 4135-b of the Public Health Law, § 111-k of the Social Services Law, and § 516-a of the Family Court Act, to coordinate and update terminology used by the Child Support Program, and to conform statutory citations with state laws. As it is evident from the nature of the proposed regulatory amendments that they would not have an adverse impact upon or impose reporting, recordkeeping, or other compliance requirements upon small businesses or districts, no further measures were needed to ascertain those facts and, consequently, none were taken.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis is not required for the proposed regulatory amendments to 18 NYCRR §§ 346.2, 347.1 – 347.3, 347.5 – 347.8, 347.11, 347.17 – 347.19, and 347.24 because the proposed regulatory amendments would neither have an adverse impact upon, nor impose reporting, recordkeeping, or other compliance requirements upon rural social services districts (rural districts) or private entities in rural areas. The proposed regulatory amendments are necessary to render the existing state regulations consistent with recent changes to § 4135-b of the Public Health Law, § 111-k of the Social Services Law, and § 516-a of the Family Court Act, to coordinate and update terminology used by the Child Support Program, and to conform statutory citations with state laws. As it is evident that the proposed regulatory amendments would not have an adverse impact upon or impose reporting, recordkeeping, or other compliance requirements upon rural districts or private entities in rural areas, no further measures were needed to ascertain those facts and, consequently, none were taken.

Job Impact Statement

A Job Impact Statement is not required for the proposed regulatory amendments. It is apparent from the nature and the purpose of the proposed regulatory amendments to 18 NYCRR §§ 346.2, 347.1 – 347.3, 347.5 – 347.8, 347.11, 347.17 – 347.19, and 347.24 that they would have no substantive impacts on jobs and employment opportunities in either the public or private sectors of New York State (NYS). The proposed regulatory amendments are necessary to render the existing state regulations consistent with recent changes to § 4135-b of the Public Health Law, § 111-k of the Social Services Law, and § 516-a of the Family Court Act, to coordinate and update terminology used by the Child Support Program, and to conform statutory citations with state laws. Thus, the proposed regulatory amendments would not have any adverse impact on public or private sector jobs and employment opportunities in NYS.

Workers' Compensation Board

EMERGENCY/PROPOSED

RULE MAKING

NO HEARING(S) SCHEDULED

Ambulatory Surgery Services Fees

I.D. No. WCB-13-21-00002-EP

Filing No. 251

Filing Date: 2021-03-12

Effective Date: 2021-03-12

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

Proposed Action: Amendment of section 329-2.1 of Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, Parts 13, 117 and 141

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

Specific reasons underlying the finding of necessity: The addition of 12 NYCRR 323.2 is adopted as an emergency measure because the Board wants to align fees for similar medical procedures whether they are performed as an out-patient procedure or in-patient. During the COVID pandemic the discrepancy in certain fees has become more pronounced due to restrictions in scheduling in-patient surgery. This regulation will ensure that a proper fee is in place for certain procedures.

Subject: Ambulatory surgery services fees.

Purpose: To update fees for ambulatory surgery services fees, especially due to the COVID-19 pandemic.

Text of emergency/proposed rule: Section 329-2.1 of Title 12 NYCRR is hereby amended to read as follows:

(a) *Except as set forth in subdivision (b) herein*, [P]ayment for ambulatory surgery services shall be made according to the ambulatory patient groups (APG) methodology, governing reimbursement for licensed freestanding ambulatory surgical centers and hospital-based ambulatory surgery services as set forth herein and subject to WCB specific adjustments. The effective date of this Subpart shall be October 1, 2015.

(b) *The following services performed at licensed freestanding ambulatory surgical centers and hospital-based ambulatory surgery services on or after March 15, 2021 shall not be subject to APG methodology, but shall be reimbursed at the following rates:*

CPT	Description	Fee
23472	Arthroplasty Shoulder Total	\$7,723.47
23615	FX Proximal Humerus Open TX W/Wo Fixation	\$5,869.06
24363	Arthroplasty Elbow Total	\$7,723.47
24666	FX Radial Head/Neck Open TX W/Radial Head Prosthetic Replacement	\$6,369.06
24685	Olecranon fracture ORIF	\$5,869.06
25446	Arthroplasty Wrist Total	\$7,723.47
25574	FX Radial and Ulnar Shaft Open TX W/Fixation Radius or Ulna	\$5,869.06

25575	FX Radial and Ulnar Shaft Open TX W/Fixation Radius & Ulna	\$5,869.06
25607	FX Distal Radial Extra-Articular Open TX W/Internal Fixation	\$5,869.06
25608	2 and 3 distal radius fractures	\$5,869.06
25609	3 and distal radius fractures	\$5,869.06
25825	Arthrodesis Wrist Limited W/Autograft	\$4,461.63
27130	Arthroplasty Hip Total	\$7,723.47
27132	Conversion Previous Hip SX to Total Hip Replacement	\$7,723.47
27447	Arthroplasty Knee Total	\$7,723.47
27486	Revise Total Knee Arthroplasty One Component	\$7,723.47
27702	Arthroplasty Ankle Total	\$7,723.47
27703	Arthroplasty Ankle Revision Total Ankle	\$7,723.47
27792	FX Lateral Malleolus (Distal Fibula) Open TX W/Wo Fixation	\$5,869.06
27823	Open reduction internal fixation of trimalleolar Fracture	\$5,869.06
27870	Ankle Arthrodesis	\$5,311.97
28299	Hallux Valgus Correction by Double Osteotomy	\$5,449.85
28615	Open reduction of tarsometatarsal dislocations	\$5,869.06
28715	Trip Arthrodesis	\$4,949.85
28725	Subtalar Arthrodesis	\$4,949.85
28730	Tarsometatarsal Arthrodesis	\$4,949.85
28740	Tarsometatarsal Arthrodesis	\$4,949.85
29827	Arthroscopy Shoulder W/Rotator Cuff Repair	\$6,723.47
29888	Arthroscopy Ant Cruciate Ligament Repair/ Augment Reconstruction	\$6,677.77

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 June 9, 2021.

Text of rule and any required statements and analyses may be obtained from: Heather MacMaster, NYS Workers' Compensation Board, Office of General Counsel, 328 State Street, Schenectady, NY 12305, (518) 486-9564, email: regulations@wcb.ny.gov

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

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

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

Regulatory Impact Statement

1. Statutory authority: Workers' Compensation Law (WCL) § 117(1) and 142 authorizes the Chair of the Workers' Compensation Board (Board) to adopt reasonable rules consistent with, and supplemental to, the provisions of the WCL. WCL § 13 requires the Chair to set fee schedules for medical treatment.

2. Legislative objectives: The emergency adoption and permanent proposal seeks to align fees for similar medical procedures whether they are performed as an out-patient procedure or in-patient. WCL § 13 requires the Chair to consult with various medical professionals when setting fee schedules. During the COVID pandemic the discrepancy in certain fees has become more pronounced due to restrictions in scheduling in-patient surgery. This regulation will ensure that a proper fee is in place for certain procedures.

3. Needs and benefits: The emergency adoption seeks to make fees for similar procedures more equal to encourage efficient and safe management of injured worker's health care made more pronounced by the COVID pandemic. It is needed to ensure that injured workers are not put at risk due to delays in treatment or unnecessary in-patient procedures.

4. Costs: The costs for certain delineated out-patient procedures will increase. However, these costs are still less than if the procedure were performed in-patient. Thus, the Board believes the costs for these procedures may actually decrease when more procedures are performed out-patient due to fee equity.

5. Local government mandates: The proposed amendments do not impose any additional program, service, duty, or responsibility upon any

county, city, town, village, school district, fire district, or other special district – they simply change the fees for ambulatory surgery services.

6. Paperwork: The emergency adoption does not require any additional paperwork – it changes the fees for ambulatory surgery services.

7. Duplication: The emergency adoption does not duplicate other regulatory initiatives.

8. Alternatives: An alternative would be to not file an emergency adoption making these fees more equal. However, this could lead to less equal health care for injured workers, especially in the midst of the COVID-19 pandemic.

9. Federal standards: There are no applicable Federal Standards.

10. Compliance schedule: The emergency adoption takes effect immediately upon filing to ensure that the updated fees are used to help provide efficient and safe management of injured workers' health care.

Regulatory Flexibility Analysis

The rule will not impose any adverse economic impact or reporting, recordkeeping or other compliance requirements on small businesses or local governments. The emergency adoption simply changes the fees for ambulatory surgery services.

Rural Area Flexibility Analysis

The rule will not impose any adverse economic impact or reporting, recordkeeping or other compliance requirements on rural areas. The emergency adoption simply changes the fees for ambulatory surgery services.

Job Impact Statement

A Job Impact Statement is not required because the emergency adoption will not have any impact on jobs or employment opportunities. The emergency adoption makes fees for similar procedures more equal to encourage efficient and safe management of injured worker's health care made more pronounced by the COVID pandemic.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Designated Contact Information

I.D. No. WCB-13-21-00003-EP

Filing No. 252

Filing Date: 2021-03-12

Effective Date: 2021-03-12

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

Proposed Action: Addition of section 323.2 to Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, Parts 117 and 141

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

Specific reasons underlying the finding of necessity: The addition of section 323.2 is adopted as an emergency measure because the Board wants to avoid confusion and provide carriers, self-insured employers and carriers ample notice and time to comply with the requirement to provide the Chair or his or her designee in the manner prescribed by the Chair with the name and contact information for the point(s) of contact for a prior authorization request (PAR) on or before May 1, 2021.

Subject: Designated contact information.

Purpose: To provide a compliance date for carriers, self-insured employers, or TPAs to designate points of contact in the PAR process.

Text of emergency/proposed rule: A new section 323.2 of Title 12 NYCRR is hereby added to read as follows:

323.2 Designating contacts for the portal.

As more fully set forth in section 324.3, section 324.4, section 325-1.4 and section 442.4 of Title 12 NYCRR, insurance carriers, self-insured employers, or third-party administrators must provide the Chair or his or her designee in the manner prescribed by the Chair with the name and contact information for the point(s) of contact for a prior authorization request (PAR) on or before May 1, 2021.

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 June 9, 2021.

Text of rule and any required statements and analyses may be obtained from: Heather MacMaster, NYS Workers' Compensation Board, Office of General Counsel, 328 State Street, Schenectady, NY 12305, (518) 486-9564, email: regulations@wcb.ny.gov

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

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

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

Regulatory Impact Statement

1. Statutory authority: WCL § 117(1) and 142 authorizes the Chair of the Workers' Compensation Board (Board) to adopt reasonable rules consistent with, and supplemental to, the provisions of the WCL.

2. Legislative objectives: The emergency adoption requires that insurance carriers, self-insured employers, or third-party administrators must provide the Chair or his or her designee in the manner prescribed by the Chair with the name and contact information for the point(s) of contact for PAR review by May 1, 2021.

3. Needs and benefits: The emergency adoption provides clarity for when insurance carriers, self-insured employers, or third-party administrators must comply with the requirement to designate contacts for the portal process. This requirement has been proposed in the regulations creating the portal and prior approval process, and went through a public comment period. The emergency adoption puts an updated deadline into place to ensure that carriers, self-insured employers, and third-party administrators have ample notice and time to comply with the requirement by May 1, 2021.

4. Costs: The emergency adoption does not impose additional costs – it simply provides the date for compliance with the requirement to designate contacts.

5. Local government mandates: The proposed amendments do not impose any additional program, service, duty, or responsibility upon any county, city, town, village, school district, fire district, or other special district – they simply require carriers, self-insured employers, or third-party administrators to designate contacts by May 1, 2021.

6. Paperwork: The emergency adoption requires carriers, self-insured employers, and/or third-party administrators to designate a contact for the portal in the format prescribed by the Chair.

7. Duplication: The emergency adoption does not duplicate other regulatory initiatives.

8. Alternatives: An alternative would be to not file an emergency adoption addressing a compliance date for designating contacts. However, this would lead to confusion and issues when the prior approval process becomes effective.

9. Federal standards: There are no applicable Federal Standards.

10. Compliance schedule: The emergency adoption takes effect immediately upon filing to ensure carriers, self-insured employers, or third-party administrators have ample time to designate contacts.

Regulatory Flexibility Analysis

1. Effect of rule

The emergency adoption requires insurance carriers, self-insured employers, or third-party administrators to provide the Chair or his or her designee in the manner prescribed by the Chair with the name and contact information for the point(s) of contact for a prior authorization request (PAR) on or before May 1, 2021.

2. Compliance requirements

Designated contact information will be required from carriers, self-insured employers and third-party administrators for the point of contact in utilizing the process by May 1, 2021.

3. Professional services

It is believed that no professional services will be needed by small businesses or local governments to comply with this emergency adoption.

4. Compliance costs

Compliance with the proposed regulations should not impose compliance costs on small businesses or local governments, as this emergency adoption provides a compliance date.

5. Economic and technological feasibility

Compliance with the proposal is economically and technologically feasible for small businesses and local governments. The emergency adoption simply provides a compliance date for designating contacts, and should not require any additional technology than is already utilized by insurance carriers, self-insured employers or third-party administrators.

6. Minimizing adverse impact

The emergency adoption is being filed now to provide carriers, self-insured employers, and third-party administrators ample notice and time to comply with the requirement before the prior approval process takes effect.

7. Small business and local government participation

The Board does not have a small employer or municipality database, but has sent an electronic communication describing the proposal to subscribers for Board updates (3,960 employers) on March 12, 2021.

The Board will also duly consider all public comments received from small businesses or local governments during the public comment period.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

The emergency adoption requires insurance carriers, self-insured

employers, or third-party administrators to provide the Chair or his or her designee in the manner prescribed by the Chair with the name and contact information for the point(s) of contact for a prior authorization request (PAR) on or before May 1, 2021. The designated contact must be used by all affected carriers, self-insured employers and third-party administrators across New York State, including rural areas.

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

The same compliance and recordkeeping requirements apply to rural areas as metropolitan ones. Designated contact information will be required by May 1, 2021 from carriers, self-insured employers and third-party administrators for the point of contact in utilizing the PAR process.

No special professional services should be required by rural or any other areas.

3. Costs

There are no additional costs expected as a result of this proposal – the process for prior authorization will be electronic and available with no additional required costs. Carriers, self-insured employers and third-party administrators are required to designate the contact as provided for in the prior approval process regulations by May 1, 2021.

4. Minimizing adverse impact

The emergency adoption is being filed now to provide carriers, self-insured employers, and third-party administrators ample notice and time to comply with the requirement before the prior approval process takes effect.

5. Rural area participation

The Board will duly consider all public comments received from rural areas during the public comment period.

Job Impact Statement

A Job Impact Statement is not required because the emergency adoption will not have any impact on jobs or employment opportunities. The emergency adoption requires that insurance carriers, self-insured employers, or third-party administrators must provide the Chair or his or her designee in the manner prescribed by the Chair with the name and contact information for the point(s) of contact for PAR review by May 1, 2021.

EMERGENCY/PROPOSED

RULE MAKING

NO HEARING(S) SCHEDULED

Notice as Required for Compliance with the Formulary

I.D. No. WCB-13-21-00004-EP

Filing No. 254

Filing Date: 2021-03-12

Effective Date: 2021-03-12

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

Proposed Action: Addition of section 323.3 to Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, Parts 117 and 141

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

Specific reasons underlying the finding of necessity: Due to the state of emergency resulting from the COVID-19 pandemic, the Board has delayed the effective date for refill and renewal compliance. This delay for renewal and refill compliance will expire in early summer of 2021, as the Board will roll out its new medical portal (OnBoard Limited Release) which will make compliance easier from any location and due to continued easing of the constraints related to the COVID-19 pandemic. The addition of 12 NYCRR 323.3 is adopted as an emergency measure because the Board wants to avoid confusion and provide carriers, self-insured employers and carriers ample notice and time to comply with the notice requirement in already existing regulations (12 NYCRR 441.3(f)) on or before May 1, 2021.

Subject: Notice as required for compliance with the Formulary.

Purpose: To provide a compliance date for carriers, self-insured employers, or TPAs to provide notice as required by section 441.3(f).

Text of emergency/proposed rule: A new section 323.3 of Title 12 NYCRR is hereby added to read as follows:

Effective dates and notice for the Formulary.

For purposes of section 441.3(f) of Title 12 NYCRR, the insurance carrier, self-insured employer or third-party administrator shall identify all claimants with current prescriptions for Non-Formulary drugs and provide written notification in the format prescribed by the Chair to the

claimant and to the prescribing medical provider after the effective date of this regulation and on or before May 1, 2021.

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 June 9, 2021.

Text of rule and any required statements and analyses may be obtained from: Heather MacMaster, NYS Workers' Compensation Board, Office of General Counsel, 328 State Street, Schenectady, NY 12305, (518) 486-9564, email: regulations@wcb.ny.gov

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

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

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

Regulatory Impact Statement

1. Statutory authority: WCL § 117(1) and 142 authorizes the Chair of the Workers' Compensation Board (Board) to adopt reasonable rules consistent with, and supplemental to, the provisions of the WCL.

2. Legislative objectives: The legislature required that the Board adopt a Formulary by December 31, 2017. To implement that process, the Board proposed regulations that were revised several times. On June 5, 2019, the regulations were adopted. These regulations required that refill and renewal prescriptions be in compliance with the Formulary by June 5, 2020. Notice to affected injured workers and their medical providers was required to take place at least six months prior to June 5, 2020. Due to the state of emergency resulting from the COVID-19 pandemic, the Board has delayed the effective date for refill and renewal compliance. This delay for renewal and refill compliance will expire in early summer of 2021, as the Board will roll out its new medical portal (OnBoard Limited Release) which will make compliance easier from any location and due to continued easing of the constraints related to the COVID-19 pandemic. The emergency adoption requires that insurance carriers, self-insured employers, or third-party administrators to provide notice to affected injured workers and their medical providers (as more fully set forth in 12 NYCRR 441.3[f]) of the new compliance date for refills and renewals on or before May 1, 2021.

3. Needs and benefits: The emergency adoption provides clarity for when insurance carriers, self-insured employers, or third-party administrators must comply with the notice requirement for current prescriptions for non-formulary drugs. While this requirement already exists in 12 NYCRR 441.3(f) (and went through a public comment period), the emergency adoption puts an updated deadline into place to ensure that carriers, self-insured employers, and third-party administrators have ample time to comply with the notice requirement by May 1, 2021, and that injured workers and medical providers receive notice of the new date for refill and renewal Formulary compliance well in advance of the early summer 2021 OnBoard Limited Release go-live date.

4. Costs: The emergency adoption imposes minimal costs. The costs associated to sending this second notice are necessary to ensure that injured workers do not have interruptions in delivery of their medications. Because carriers, self-insured employers and third-party administrators have already created and provided this notice in 2019, the costs are mitigated as such notice will simply need to be updated with the new compliance date.

5. Local government mandates: Except as state above, the proposed amendments do not impose any additional program, service, duty, or responsibility upon any county, city, town, village, school district, fire district, or other special district; the amendment creates a one-time notice requirement for carriers, self-insured employers, and third-party administrators.

6. Paperwork: The emergency adoption requires carriers, self-insured employers, and/or third-party provide notice in accordance with 12 NYCRR 441.3(f) in the format prescribed by the Chair.

7. Duplication: The emergency adoption does not duplicate other regulatory initiatives.

8. Alternatives: An alternative would be to not file an emergency adoption addressing a compliance date for notice as required by 12 NYCRR 441.3(f). However, this would lead to confusion and issues with compliance due to lack of clarity on when the notice section takes effect.

9. Federal standards: There are no applicable Federal Standards.

10. Compliance schedule: The emergency adoption takes effect immediately upon filing to ensure carriers, self-insured employers, or third-party administrators have ample time to comply by May 1, 2021.

Regulatory Flexibility Analysis

1. Effect of rule

The emergency adoption requires insurance carriers, self-insured employers, or third-party administrators to provide notice regarding the Formulary for claimants with current non-formulary prescriptions (as required in existing regulation 12 NYCRR 441.3[f]) on or before May 1, 2021.

2. Compliance requirements

Notice will be required from carriers, self-insured employers and third-party administrators by May 1, 2021.

3. Professional services

It is believed that no professional services will be needed by small businesses or local governments to comply with this emergency adoption.

4. Compliance costs

Local governments who manage their own workers' compensation claims must provide this one-time notice to affected injured workers and their medical providers. Any other small business owners have insurance carriers and third-party administrators who will handle this one-time obligation on their behalf. Compliance with the proposed regulations should not impose any ongoing compliance costs on small businesses or local governments.

5. Economic and technological feasibility

Compliance with the proposal is economically and technologically feasible for small businesses and local governments. The emergency adoption simply provides a compliance date for notice as required by the existing regulation in 12 NYCRR 441.3(f), and should not require any additional technology other than that already utilized by insurance carriers, self-insured employers or third-party administrators.

6. Minimizing adverse impact

The emergency adoption is being filed now to provide carriers, self-insured employers, and third-party administrators ample notice and time to comply with the requirement by May 1, 2021.

7. Small business and local government participation

The Board does not have a small employer or municipality database but has sent an electronic communication describing the proposal to 3960 employers who subscribe to receive Board updates on March 12, 2021.

The Board will also duly consider all public comments received from small businesses or local governments during the public comment period.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas

The emergency adoption requires insurance carriers, self-insured employers, or third-party administrators to provide notice as required in 12 NYCRR 441.3(f) on or before May 1, 2021. The notice must be complied with by all affected carriers, self-insured employers and third-party administrators across New York State, including rural areas.

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

The same compliance and recordkeeping requirements apply to rural areas as metropolitan ones. Notice is required by May 1, 2021 from carriers, self-insured employers and third-party administrators to affected injured workers and their medical providers (as more fully set forth in 12 NYCRR 441.3[f]) of the new compliance date for refills and renewals on or before May 1, 2021.

No special professional services should be required by rural or any other areas.

3. Costs

There are minimal costs associated to this one-time notice. As every carrier, self-insured employer and third-party administrator has provided this notice in 2019, the cost should be minimal as it is limited to a date change.

4. Minimizing adverse impact

The emergency adoption is being filed now to provide carriers, self-insured employers, and third-party administrators ample notice and time to comply with the requirement before May 1, 2021.

5. Rural area participation

The Board will duly consider all public comments received from rural areas during the public comment period.

Job Impact Statement

A Job Impact Statement is not required because the emergency adoption will not have any impact on jobs or employment opportunities. The emergency adoption requires that insurance carriers, self-insured employers, or third-party administrators provide notice as required in 12 NYCRR 441.3 by May 1, 2021.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Updating the Prescription Drug Formulary Prior Authorization Process

I.D. No. WCB-13-21-00009-P

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

Proposed Action: Amendment of Part 441 of Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, sections 13-p, 117 and 142

Subject: Updating the prescription drug formulary prior authorization process.

Purpose: To include medical marijuana in the prior authorization process.

Text of proposed rule: Subdivision (i) of section 441.1 of Title 12 NYCRR is hereby amended to read as follows:

Non-Formulary drug means a drug that does not appear on the Formulary and which is one of the following: an FDA-approved prescription drug; an FDA-approved nonprescription drug; or a nonprescription over the counter drug that is marketed pursuant to an FDA OTC Monograph. Non-Formulary drugs do not include non-FDA approved drugs and such drugs may not be prescribed. [Medical marijuana prescribed and dispensed in accordance with Title V-A of the Public Health Law is not subject to this Part. The use of medical marijuana for work-related injuries will be regulated by the Board pursuant to section 324.3 of this Chapter, regardless of where the medical marijuana was prescribed or dispensed.]

Section 441.2 of Title 12 NYCRR is hereby amended to read as follows:

The New York Workers' Compensation Formulary, [fourth/fifth edition (March 1/5[3], 20[19]21), incorporated by reference herein, identifies drugs using three lists:

- (a) phase A for prescriptions within the first 30 days following an accident or injury;
- (b) phase B for prescriptions after, the sooner of, the first 30 days following an accident or injury or acceptance or establishment of the claim; and
- (c) perioperative for use during the perioperative period.

Copies of the formulary may be downloaded from the board's website free of charge. The formulary may be examined at the office of the Department of State, 99 Washington Avenue, Albany, New York 12231, the Legislative Library, the libraries of the New York State Supreme Court, and the district offices of the board, or obtained from the Board's website. [by submitting a request in writing, with a fee of \$5, to the New York State Workers' Compensation Board, 328 State Street, Schenectady, New York 12305-2318. Payment of the fee shall be made by check or money order payable to "Chair WCB." Information about the formulary can be requested by email at [GENERAL_INFORMATION] WCBFormularyQuestions@wcb.ny.gov, or by telephone at 1-800-781-2362.

Subdivision (a) of section 441.3 of Title 12 NYCRR is hereby amended to read as follows:

(a) Effective Dates.

(1) New Prescriptions. Six months from the effective date of this Part, every new prescription shall be prescribed and dispensed consistent with the Formulary and this Part regardless of the date of accident or disablement and subject to any required Prior Authorization.

(2) Refill and Renewal Prescriptions. [12 months from the effective date of this Part] *On or after June 7, 2021*, every refill and renewal prescription shall be prescribed and dispensed consistent with the Formulary and this Part regardless of the date of accident or disablement and subject to any required Prior Authorization.

Subdivision (f) of section 441.3 of Title 12 NYCRR is hereby amended to read as follows:

(f) Notice. [Within six months of the effective date of this Part] *T*[t]he insurance carrier or self-insured employer shall identify all claimants with current prescriptions for Non-Formulary drugs and provide written notification to the claimant and to the prescribing medical provider. Notice to the prescribing medical provider and to the claimant shall be in the format prescribed by the Chair.

Subdivision (d) of section 441.5 of Title 12 NYCRR is hereby amended to read as follows:

(d) Insurance carriers and self-insured employers shall provide two levels of review as the Prior Authorization process. When a request for Prior authorization is approved or partially approved, the carrier may not thereafter deny payment for the approved medication as set forth in section 440.5 of this Title. The Prior Authorization process replaces the process set forth in section 324.3 of this Chapter (the variance process) for Non-Formulary drugs.

(1) First level review. To initiate the Prior Authorization process, the medical provider shall submit a request for Prior Authorization to the insurance carrier, self-insured employer, or when designated by section 440.3 of this Subchapter, the pharmacy network, to the designated contact for First level review as described in subdivision (c) of this section. Such request shall be submitted in the manner prescribed by the Chair.

(2) A Prior Authorization request for a Non-Formulary drug may include the requested length of time that the Prior Authorization will remain in effect or the quantity prescribed and the number of refills. In no event may a Prior Authorization request exceed 365 days. If the requested length of time for the Prior Authorization is not stated, the default shall be 30 days.

(3) The carrier, self-insured employer, or pharmacy benefits manager shall approve, partially approve or deny a Prior Authorization request within four calendar days of submission by a provider.

(i) A partial approval authorizes the requested drug but limits the length of time, quantity prescribed or number of refills from that requested by the medical provider.

(ii) A request for Prior Authorization that is not responded to within four calendar days (by an approval, denial or partial approval) may be approved for the period requested upon issuance of an Order of the Chair. A carrier may not object to payment in accordance with section 440.5 of this Title for Non-Formulary drugs approved by an Order of the Chair and any such objection or non-payment may be subject to penalties pursuant to section 114-a(3) of the Workers' Compensation Law.

(4) A partial approval or denial of a request for Prior Authorization must:

(i) Provide a specific reason for the denial or partial approval with reference to the specific Prior Authorization request made by the medical provider.

(ii) Provide information regarding how to request review of the denial from the Carrier's Physician.

(5) *A first level review of a prior authorization request for medical marijuana must be conducted in conformity with New York State law regarding medical marijuana. Elements that must be included in a prior authorization request for medical marijuana include:*

(i) *serious life-threatening condition, and associated condition, as defined by New York State Public Health Law;*

(ii) *compensable work-related condition;*

(iii) *indication that claimant has been certified by New York State Department of Health to receive medical marijuana;*

(iv) *description of other treatments that have been tried and have not yielded results; and*

(v) *expected functional improvement from medical marijuana.*

Text of proposed rule and any required statements and analyses may be obtained from: Heather MacMaster, Workers' Compensation Board, Office of General Counsel, 328 State Street, Schenectady, NY 12305, (518) 486-9564, email: regulations@wcb.ny.gov

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

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

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

Regulatory Impact Statement

1. Statutory Authority:

Workers' Compensation Law (WCL) § 13-p requires the Chair to adopt a drug formulary and provide for amendment to the formulary upon consideration of suggestions made by interested parties, and WCL § 117(1) authorizes the Chair of the Workers' Compensation Board (Board) to adopt reasonable rules consistent with, and supplemental to, the provisions of the WCL.

2. Legislative Objectives:

To establish a drug formulary that takes into account suggestions made by interested parties, while maintaining consistency with treatment guidelines.

3. Needs and Benefits:

The proposed amendments seek to amend the drug formulary prior authorization process to include medical marijuana, and to update the drug formulary based on review and consideration of suggestions made by interested parties as required by section 13-p of the WCL.

The proposed amendment incorporates proposed modifications to the formulary in response to feedback received, as the intent is for the drug formulary to evolve to better address the needs of injured workers, and to keep consistent with the guidelines for treatment throughout the Workers' Compensation system.

4. Costs:

There are no additional costs associated with this proposal, because the medical marijuana variance process already exists. The proposal simply moves the approval process for medical marijuana to the drug formulary prior approval process – there are no additional costs associated with this proposal.

5. Local Government Mandates:

The proposed amendments do not impose any program, service, duty, or responsibility upon any county, city, town, village, school district, fire district, or other special district. However, a municipality or governmental agency that is self-insured is required to comply with the same rules required of insurance carriers.

6. Paperwork:

The proposal does not impose any new reporting requirements.

7. Duplication:

The proposal does not duplicate other regulatory initiatives.

8. Alternatives:

An alternative would be to not update the prior authorization process, but as the legislative objective is to consider the suggestions of interested parties and reflect updates to medical care, medical marijuana should be reflected in the prior authorization process.

9. Federal Standards:

There are no applicable Federal Standards.

10. Compliance Schedule:

All affected pharmacies, carriers, and self-insured employers will have to comply with the proposed changes to the prescription drug formulary, including the prior authorization process, by the effective date of the changes, June 7, 2021.

Regulatory Flexibility Analysis

1. Effect of rule

The proposed regulation seeks to amend the drug formulary prior authorization process to include medical marijuana, and to update the drug formulary itself. Any medical provider utilizing the drug formulary will be affected by this rule across New York State, and some of these may be small businesses.

2. Compliance requirements

All medical providers treating injured workers and carriers, self-insured employers and third-party administrators paying workers' compensation claims must comply with the amended regulations and prior authorization process. The proposed amendments include medical marijuana in the prior authorization process, rather through the Medical Treatment Guideline's variance process. As with prior authorization requests that currently flow through the Medical Treatment Guidelines variance process, a medical marijuana prior authorization request must meet the requirement established in New York State Law and by the Department of Health. This change is one of form. It does not change the content of the request.

3. Professional services

It is believed that no professional services will be needed by small businesses or local governments to comply with the proposed regulation.

4. Compliance costs

Compliance with the proposed regulations should not impose compliance costs on small businesses or local governments, as they already must comply with the current prior authorization process. There are no additional expected costs associated with the proposal, as the elements in the regulation are currently required in the variance process and the proposal simply changes the method for the medical marijuana approval process from the current variance process to the drug formulary prior approval process.

5. Economic and technological feasibility

Compliance with the proposal is economically and technologically feasible for small businesses and local governments. The proposal allows for an electronic process, but it is expected that these businesses and local governments already utilize this technology.

6. Minimizing adverse impact

The proposed regulations were written to address past confusion and provide greater detail and clarity to avoid further questions and confusion about the variance process.

7. Small business and local government participation

The Board has sent an electronic communication describing the proposal to subscribers for Board updates (6,364 health care providers and 3,960 employers) on February 19, 2021.

The Board has also accepted feedback from small businesses or local governments continuously in updating the formulary, and will also duly consider all public comments received from small businesses or local governments during the public comment period.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

The proposal updates the process for requesting prior approval for the drug formulary to include medical marijuana and updates the drug formulary itself. This process must be used for all prior authorization request (PARs) for medical marijuana across New York State, including rural areas. Currently medical marijuana prior authorization requests are processed through the Medical Treatment Guidelines variance process. This change will have the medical marijuana prior authorization requests flow through the Formulary's prior authorization process. It is a change in form. The substance of these requests and criteria for evaluation remain the same.

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

The same compliance and recordkeeping requirements apply to rural areas as metropolitan ones. No special professional services should be required by rural or any other areas.

3. Costs:

The only costs to rural areas would be the minimal costs associated to moving the already existing medical marijuana process from the variance

process to the formulary prior authorization process and adding new drugs on the Formulary to any existing programming (a process that has occurred without issue from rural areas regularly since the Formulary was adopted at the end of 2017).

4. Minimizing adverse impact:

The proposed regulations were written to provide greater clarity and detail to avoid confusion and provide for a smooth implementation of the updated PAR process in including medical marijuana.

5. Rural area participation:

The Board has and continues to accept feedback from any entities, including rural areas, when updating the drug formulary, and will duly consider all public comments received from rural areas during the public comment period.

Job Impact Statement

A Job Impact Statement is not required because the proposed amendments will not have any impact on jobs or employment opportunities. The proposal amends the prior authorization process to include medical marijuana and update the drug formulary itself. These proposed changes will not affect jobs or employment opportunities in any manner.

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Environmental Conservation, Department of		
ENV-04-21-00008-P	Food Donation and Food Scraps Recycling	Electronic webinar—April 7, 2021, 1:00 p.m. and 6:00 p.m. Instructions on how to “join” the hearing webinar and how to provide an oral statement may be accessed at the proposed regulations webpage for the Department, available at: https://www.dec.ny.gov/regulations/propregulations.html#public . Instructions will also be available on the Department’s events calendar at: https://www.dec.ny.gov/calendar/ . Persons who wish to receive the instructions by mail or telephone may call DEC at (518) 402-9003. Please provide your first and last name, address, and telephone number and reference the Part 350 public comment hearing. Interpreter services for hearing impaired persons or persons with limited English proficiency will be provided at no charge upon written request submitted no later than March 24, 2021. The written request must be addressed to ALJ Caruso, NYS DEC Office of Hearings and Mediation Services, 625 Broadway, 1st Floor, Albany, NY 12233-1550 or emailed to ALJ Caruso at ohms@dec.ny.gov .
Liquor Authority, State		
LQR-12-21-00005-P	Minimum Curriculum Requirements for ATAP Schools	163 W. 125th St. New York, NY—June 9, 2021, 10:00 a.m.
Public Service Commission		
PSC-02-21-00006-P	Disposition of a Sales Tax Refund Received by New York American Water, Inc.	The Public Hearing will be held online and by telephone. Details for access will be published via Notice at the DPS website (www.dps.ny.gov) under Case 20-W-0654—April 19, 2021, 10:00 a.m. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 20-W-0654.
PSC-06-21-00009-P	Disposition of a Property Tax Refund Received by New York American Water, Inc.	The Public Hearing will be held online and by telephone. Details for access will be published via Notice at the DPS website (www.dps.ny.gov) under Case 21-W-0060—April 19, 2021, 10:00 a.m.* *On occasion, there are requests to reschedule or postpone hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 21-W-0060.

State, Department of

DOS-12-21-00010-P.....	New York State Uniform Fire Prevention and Building Code (Uniform Code)	99 Washington Ave., Room 505, Albany NY— May 27, 2021, 10:00 a.m. Due to the ongoing pandemic, the public hearing scheduled to accept public comments may be held virtually only. Instructions for attendance online or by phone will be provided on the Department of State’s Division of Building Standards and Codes’ website at https://www.dos.ny.gov/DCEA/ at least fourteen (14) days prior to the public hearing.
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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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AGRICULTURE AND MARKETS, DEPARTMENT OF

*AAM-12-20-00006-P	04/29/21	Calibrating and testing of certain weights and measures standards and devices.	To allow the Dept. to increase the fees it charges in calibrating and testing certain weights & measures standards and devices.
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ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF

ASA-28-20-00013-P	07/15/21	Patient Rights	To set-forth the minimum regulatory requirements for patient rights in OASAS certified, funded or otherwise authorized programs
ASA-28-20-00016-P	07/15/21	Designated Services	To set-forth the minimum regulatory requirements for certified programs to seek an Office designation

CHILDREN AND FAMILY SERVICES, OFFICE OF

*CFS-04-20-00009-P	04/29/21	Host Family Homes	The proposed regulations would establish standards for the approval and administration of host family homes.
CFS-49-20-00006-EP	12/09/21	Maintenance reimbursement for residential CSE programs when a student has been absent from the program for more than 15 days.	Remove an existing regulatory barrier that precludes maintenance reimbursement for residential CSE programs.
CFS-51-20-00003-P	12/23/21	Outlining the procedures for requesting and conducting criminal history disqualification reviews	Outlining the procedures for requesting and conducting criminal history disqualification reviews
CFS-03-21-00004-P	01/20/22	Implement rules re: release of original birth certificate or related identifying info. to adult adopted & other specific persons	Implement rules re: release of original birth certificate or related identifying info. to adult adopted & other specific persons

CIVIL SERVICE, DEPARTMENT OF

*CVS-03-20-00003-P	04/29/21	Jurisdictional Classification	To classify positions in the non-competitive class
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Action Pending Index**NYS Register/March 31, 2021**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
*CVS-03-20-00004-P	04/29/21	Jurisdictional Classification	To classify a position in the exempt class
*CVS-03-20-00005-P	04/29/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
*CVS-03-20-00006-P	04/29/21	Jurisdictional Classification	To classify a position in the non-competitive class
*CVS-03-20-00007-P	04/29/21	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
*CVS-06-20-00001-P	04/29/21	Jurisdictional Classification	To classify a position in the non-competitive class
*CVS-06-20-00002-P	04/29/21	Jurisdictional Classification	To classify a position in the exempt class
*CVS-06-20-00003-P	04/29/21	Jurisdictional Classification	To classify positions in the non-competitive class
*CVS-06-20-00004-P	04/29/21	Jurisdictional Classification	To classify positions in the non-competitive class
*CVS-06-20-00005-P	04/29/21	Jurisdictional Classification	To delete positions from the non-competitive class
*CVS-06-20-00006-P	04/29/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
*CVS-06-20-00007-P	04/29/21	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	04/29/21	Jurisdictional Classification	To delete a subheading and positions from and to classify a subheading and positions in the exempt and non-competitive classes
CVS-13-20-00002-P	04/29/21	Supplemental military leave benefits	To extend the availability of supplemental military leave benefits for certain New York State employees until December 31, 2020
CVS-13-20-00009-P	04/29/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00010-P	04/29/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-13-20-00011-P	04/29/21	Jurisdictional Classification	To delete positions from the exempt class
CVS-13-20-00012-P	04/29/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-13-20-00013-P	04/29/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-13-20-00014-P	04/29/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00015-P	04/29/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-13-20-00016-P	04/29/21	Jurisdictional Classification	To classify positions in the exempt class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-13-20-00017-P	04/29/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00018-P	04/29/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-13-20-00019-P	04/29/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00020-P	04/29/21	Jurisdictional Classification	To delete positions in the non-competitive class
CVS-13-20-00021-P	04/29/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-13-20-00022-P	04/29/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-13-20-00023-P	04/29/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-13-20-00024-P	04/29/21	Jurisdictional Classification	To classify positions in the exempt and the non-competitive classes.
CVS-13-20-00025-P	04/29/21	Jurisdictional Classification	To delete a position from and classify positions in the non-competitive class
CVS-18-20-00004-P	05/06/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-18-20-00005-P	05/06/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-20-00006-P	05/06/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-18-20-00007-P	05/06/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-18-20-00008-P	05/06/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-18-20-00009-P	05/06/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-20-00010-P	05/06/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-24-20-00002-P	06/17/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-24-20-00003-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-24-20-00004-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-24-20-00005-P	06/17/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-24-20-00006-P	06/17/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-24-20-00007-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-24-20-00008-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class

Action Pending Index**NYS Register/March 31, 2021**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-24-20-00009-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-24-20-00010-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-28-20-00004-P	07/15/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-28-20-00005-P	07/15/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-28-20-00006-P	07/15/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-28-20-00007-P	07/15/21	Jurisdictional Classification	To delete a position from the exempt class
CVS-28-20-00008-P	07/15/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-28-20-00009-P	07/15/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-28-20-00010-P	07/15/21	Jurisdictional Classification	To classify positions in the non-competitive class.
CVS-28-20-00011-P	07/15/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-28-20-00012-P	07/15/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-32-20-00003-P	08/12/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-32-20-00004-P	08/12/21	Jurisdictional Classification	To classify positions in the exempt and the non-competitive classes
CVS-32-20-00005-P	08/12/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-32-20-00006-P	08/12/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-41-20-00002-P	10/14/21	Jurisdictional Classification	To delete positions from and to classify a subheading and positions in the exempt class
CVS-41-20-00003-P	10/14/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-41-20-00004-P	10/14/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-41-20-00005-P	10/14/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-41-20-00006-P	10/14/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-41-20-00007-P	10/14/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-49-20-00002-P	12/09/21	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-49-20-00003-P	12/09/21	Jurisdictional Classification	To delete positions from and classify positions in the exempt class.
CVS-49-20-00004-P	12/09/21	Jurisdictional Classification	To classify positions in the exempt class.
CVS-49-20-00005-P	12/09/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-02-21-00001-P	01/13/22	Jurisdictional Classification	To classify positions in the exempt class
CVS-02-21-00002-P	01/13/22	Jurisdictional Classification	To classify positions in the exempt class
CVS-02-21-00003-P	01/13/22	Jurisdictional Classification	To classify a position in the exempt class
CVS-06-21-00001-P	02/10/22	Jurisdictional Classification	To delete positions from and classify positions in the exempt class and to classify positions in the non-competitive class
CVS-06-21-00002-P	02/10/22	Jurisdictional Classification	To classify positions in the exempt class
CVS-06-21-00003-P	02/10/22	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-06-21-00004-P	02/10/22	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-06-21-00005-P	02/10/22	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-10-21-00001-P	03/10/22	Jurisdictional Classification	To delete a subheading and positions from and to classify a subheading and positions in the exempt and non-competitive classes
CVS-10-21-00002-P	03/10/22	Jurisdictional Classification	To classify a position in the exempt class and to classify a position from the non-competitive class
CVS-10-21-00003-P	03/10/22	Jurisdictional Classification	To classify a position in the exempt class
CVS-10-21-00004-P	03/10/22	Jurisdictional Classification	To classify a position in the exempt class
CVS-10-21-00005-P	03/10/22	Jurisdictional Classification	To classify a position in the exempt class
CVS-13-21-00005-P	03/31/22	Jurisdictional Classification	To classify a position in the exempt class
CVS-13-21-00006-P	03/31/22	Jurisdictional Classification	To classify a position in the exempt class
CVS-13-21-00007-P	03/31/22	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-13-21-00008-P	03/31/22	Jurisdictional Classification	To classify positions in the exempt class

COMMISSIONER OF PILOTS, BOARD OF

COP-12-21-00001-P	03/24/22	Updating the current website address; changing terminology regarding credentials and; changing age range for acceptance	To provide current information and allow for a more practical admission procedure reflecting modern reality
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Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CORRECTION, STATE COMMISSION OF			
CMC-04-21-00002-P	01/27/22	Ratio of toilet, sink, shower per youth in Specialized Secured Detention Facility for Older Youth	Amend the ratio of toilet, sink, and shower to coincide with Office of Children and Family Services regulations
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
CCS-34-20-00001-P	08/26/21	Family Reunion Program	To clarify for logic and consistency, and make additional changes to the current Family Reunion Program
CRIMINAL JUSTICE SERVICES, DIVISION OF			
CJS-03-21-00005-P	01/20/22	Familial Search Policy and Unidentified Human Remains	Add unidentified human remains to familial searching for identification where the remains are those of a victim of a crime
ECONOMIC DEVELOPMENT, DEPARTMENT OF			
EDV-48-20-00001-P	12/02/21	Employee Training Incentive Program	To update the administrative processes for the ETIP program
EDUCATION DEPARTMENT			
*EDU-17-19-00008-P	04/29/21	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	04/29/21	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
EDU-20-20-00008-ERP	08/18/21	Addressing the COVID-19 Crisis	To provide flexibility for certain regulatory requirements in response to the COVID-19 crisis
EDU-52-20-00018-EP	12/30/21	Addressing the COVID-19 crisis	To address issues resulting from the COVID-19 crisis and to provide regulatory flexibility due to the COVID-19 crisis
EDU-52-20-00019-P	12/30/21	Requirements for Awarding the NYS Seal of Biliteracy	To update the requirements for awarding the NYS Seal of Biliteracy
EDU-52-20-00020-P	12/30/21	Content Core Requirement in Computer Science Teacher Preparation Programs	To make the content core requirement for the Computer Science certificate aligned with the NYS Computer Science Standards
EDU-52-20-00021-P	12/30/21	Conferral of the Degree of Doctor of Medicine (M.D.) by the Board of Regents	To conform the law with the statutory requirements for issuance of an M.D. to foreign-educated applicants
EDU-52-20-00022-P	12/30/21	Implementation of the Crown Act	To implement Chapter 95 of the Laws of 2019, known as the Crown Act
EDU-52-20-00023-EP	12/30/21	Instruction to prevent child sexual exploitation and child sexual abuse in grades K-8	Implementation of chapter 187 of the Laws of 2019
EDU-52-20-00024-P	12/30/21	Uniform Violent or Disruptive Incident Reporting (VADIR) System, Also Known as the School Safety and Educational Climate Report	Update the definitions of violent and disruptive incidents for purposes of the VADIR and update the School Violence Index

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-01-21-00002-EP	01/06/22	Addressing the COVID-19 crisis and planning for the reopening of schools	To provide regulatory flexibility due to the COVID-19 crisis and to plan for the reopening of schools
EDU-04-21-00009-EP	01/27/22	Designation of the Executive Deputy Commissioner as the Deputy Commissioner of Education as specified in Education Law § 101	To conform the Regents Rules to changes in the internal organization of the State Education Department
EDU-04-21-00010-P	01/27/22	The licensure of registered pharmacy technicians	To implement the provisions of Chapter 414 of the Laws of 2019 relating to the licensure of registered pharmacy technicians
EDU-08-21-00001-EP	02/24/22	Providing Flexibility Relating to Higher Education Regulatory Requirements in Response to the COVID-19 Crisis	To provide flexibility for certain higher education related regulatory requirements in response to the COVID-19 crisis
EDU-08-21-00002-P	02/24/22	The Definition of the Term “University”	To clarify and broaden the definition of the term “university”
EDU-13-21-00011-EP	03/31/22	Licensure requirements for Land Surveyors.	Adding and amending licensure requirements for Land Surveyors.
EDU-13-21-00012-P	03/31/22	Renaming the Languages Other Than English (LOTE) learning standards to “World Languages”	To rename the LOTE learning standards to “World Languages” and corresponding changes to the certificate title and tenure titles
EDU-13-21-00013-P	03/31/22	Eligibility of School Psychology Candidates for the Internship Certificate.	To allow candidates enrolled in registered school psychology programs to be eligible for the Internship certificate.
EDU-13-21-00014-EP	03/31/22	Addressing the COVID-19 Crisis	To provide regulatory flexibility in response to the COVID-19 crisis.
ELECTIONS, STATE BOARD OF			
SBE-06-21-00015-EP	02/10/22	Related to establishing a cure process for absentee ballots	Establishes a cure process for absentee ballots
SBE-13-21-00015-P	03/31/22	Implementation of Cyber Security Requirements for Local Boards of Elections	Requires that that every county board of elections adhere to a minimum level of cyber-security standards
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-47-20-00005-P	11/25/21	Sportfishing (freshwater) and associated activities	To revise and simplify sportfishing regulations and associated activities
ENV-01-21-00003-P	01/06/22	Regulations governing recreational fishing for striped bass	To require circle hooks when fishing recreationally for striped bass using bait
ENV-03-21-00010-P	03/23/22	Application of Site-Specific Criteria to Class I and Class SD Waters	Add site-specific criteria to Class I and SD waters to provide additional water quality protection of the existing best uses
ENV-04-21-00007-P	03/30/22	Chlorpyrifos prohibition	Prohibit distribution, sale, purchase, possession, or use of pesticides that contain the active ingredient chlorpyrifos

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-04-21-00008-P	04/07/22	Food Donation and Food Scraps Recycling	Required by Title 22 of Article 27, the rule increases food donation and the recycling of food scraps through composting
ENV-12-21-00004-P	03/24/22	Public use of Wildlife Management Areas, and areas with special regulations	To ensure that public use of WMAs and other sites does not interfere or conflict with intended purposes of those areas
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-36-20-00007-P	09/09/21	Superintendent's Regulations: Information Subject to Confidential Treatment	Provide rules concerning publication or disclosure of information subject to confidential treatment
DFS-45-20-00007-P	11/10/21	Office of Pharmacy Benefits	To establish the Office of Pharmacy Benefits and rules for the Drug Accountability Board
DFS-49-20-00011-P	12/09/21	Credit for Reinsurance	To conform to covered agreements entered into between the US and EU and the US and UK, and implement NAIC models.
DFS-52-20-00001-P	12/30/21	Principle-Based Reserving	To prescribe minimum principle-based valuation standards
DFS-09-21-00010-P	03/03/22	Notice to Employees Concerning Termination of Group and Health Insurance Policies, etc.	To make technical changes; comport with statutes; update office addresses; correct citations; etc.
DFS-13-21-00001-P	03/31/22	Enterprise Risk Management and Own Risk and Solvency Assessment	To require an entity subject to the rule to describe its ERM function in its enterprise risk report, among other things
GAMING COMMISSION, NEW YORK STATE			
SGC-34-20-00009-P	08/26/21	Qualification time in harness racing	To improve harness pari-mutuel wagering and generate reasonable revenue for the support of government
SGC-50-20-00007-P	12/16/21	Contactless payment methods for chances in charitable gaming	To promote public health and support of organizations authorized to operate games of chance
SGC-09-21-00011-P	03/03/22	Restrictions on clenbuterol use in Thoroughbred racing	To improve integrity, health and safety of Thoroughbred horse racing
SGC-09-21-00012-P	03/03/22	Thresholds for controlled therapeutic medications in horse racing	To preserve the integrity of pari-mutuel racing while generating reasonable revenue for the support of government
SGC-09-21-00013-P	03/03/22	Casino table game rules	To set forth the practices and procedures for the conduct and operation of table games

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
GAMING COMMISSION, NEW YORK STATE			
SGC-09-21-00014-P	03/03/22	Lasix administrations on race day	To enhance the safety and integrity of pari-mutuel racing
SGC-09-21-00015-P	03/03/22	Regulation of bingo	To conform bingo rules to current statutes, including allowing payment for bingo opportunity by check
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-36-19-00006-P	04/29/21	Limits on Executive Compensation	Removes "Soft Cap" prohibition on covered executive salaries.
*HLT-46-19-00003-P	04/29/21	Tanning Facilities	To prohibit the use of indoor tanning facilities by individuals less than 18 years of age
*HLT-47-19-00008-P	04/29/21	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-51-19-00001-P	04/29/21	Women, Infants and Children (WIC) Program	To support implementation of eWIC; clarify rules for violations, penalties & hearings & conform vendor authorization criteria.
*HLT-04-20-00003-P	04/29/21	Applied Behavior Analysis	To include Applied Behavior Analysis in the Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) benefit.
*HLT-04-20-00011-P	04/29/21	Nursing Home Case Mix Rationalization	To authorize the Department of Health to change the case mix acuity process for all nursing homes.
*HLT-11-20-00003-P	04/29/21	Adult Day Health Care (ADHC)	To allow for reimbursement of real property leases in certain situations when used for operations of an ADHC program
HLT-27-20-00006-P	07/08/21	Medicaid Managed Care State Fair Hearings and External Appeals Processes and Standards	To address & clarify rules of procedure & presentation of evidence for Medicaid managed care fair hearings & external appeals
HLT-28-20-00019-RP	07/15/21	Personal Care Services (PCS) and Consumer Directed Personal Assistance Program (CDPAP)	To implement a revised assessment process and eligibility criteria for PCS and CDPAP
HLT-31-20-00012-EP	exempt	Hospital Non-comparable Ambulance Acute Rate Add-on	Prevents duplicate claiming by Article 28 hospitals for the ambulance add-on regarding participation in the program
HLT-38-20-00006-P	09/23/21	Medicaid Transportation Program	Medicaid payment standards for emergency ambulance providers participating in an Emergency Triage, Treat & Transport (ET3) model
HLT-38-20-00008-ERP	09/23/21	Revise Requirements for Collection of Blood Components	To facilitate the availability of human blood components while maintaining safety
HLT-45-20-00002-P	11/10/21	Cannabinoid Hemp	To create a licensing framework for cannabinoid hemp processors and cannabinoid hemp retailers

Action Pending Index**NYS Register/March 31, 2021**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-05-21-00011-P	02/03/22	Ingredient Disclosures for Vapor Products and E-Cigarettes	To provide for enhanced public awareness of the chemicals used in vapor products and electronic cigarettes
HLT-06-21-00006-P	02/10/22	Name Change for the Physically Handicapped Children's Program (PHCP)	To change the name of the PHCP to Children and Youth with Special Health Care Needs Support Services Programs
HLT-07-21-00012-P	02/17/22	Rate Setting for Residential Habilitation in Community Residences and for Non-State Providers of Day Habilitation	To amend rate methodologies limiting payments to IRA providers to conform to provisions in approved waiver
HLT-09-21-00009-EP	03/03/22	Surrogacy Programs and Assisted Reproduction Service Providers	To license and regulate surrogacy programs
HOMELAND SECURITY AND EMERGENCY SERVICES, DIVISION OF			
HES-08-21-00007-P	02/24/22	Minimum qualifications for certain fire chiefs	Minimum qualifications for fire chiefs subject to Civil Service Law Section 58-a and General Municipal Law section 204-dd
HOUSING AND COMMUNITY RENEWAL, DIVISION OF			
*HCR-21-19-00019-P	04/29/21	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of low-income housing tax credits.
HOUSING FINANCE AGENCY			
*HFA-21-19-00020-P	04/29/21	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of low-income housing tax credits
LABOR, DEPARTMENT OF			
*LAB-46-19-00004-P	04/01/21	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-49-20-00012-P	12/09/21	Sick Leave Requirements	To provide definitions and standards for the sick leave requirements contained in Section 196-b of the Labor Law
LAB-05-21-00003-EP	02/03/22	Unemployment Insurance (UI) definition of "day of total unemployment"	To prevent an additional financial burden on UI claimants seeking part-time work opportunities and help employers obtain talent
LAW, DEPARTMENT OF			
LAW-18-20-00002-P	05/06/21	Designation of a Privacy Officer	Removal of a named Privacy Officer., along with their contact information
LIQUOR AUTHORITY, STATE			
LQR-12-21-00005-P	06/09/22	Minimum curriculum requirements for ATAP schools	To add information regarding sexual violence prevention to minimum curriculum requirements for ATAP schools

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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-09-20-00010-P exempt	To update and implement latest requirements for ESCOs proposing to do business within the Authority's service territory.	To strengthen customer protections and be consistent with Public Service Commission orders on retail energy markets.
LPA-28-20-00033-EP exempt	LIPA's late payment charges, reconnection charges, and low-income customer discount enrollment	To allow waiver of late payment and reconnection charges and extend the grace period for re-enrolling in customer bill discounts
LPA-37-20-00013-EP exempt	The terms of deferred payment agreements available to LIPA's commercial customers	To expand eligibility for and ease the terms of deferred payment agreements for LIPA's commercial customers
LPA-12-21-00011-P exempt	LIPA's Long Island Choice (retail choice) tariff	To simplify and improve Long Island Choice based on stakeholder collaborative input
LONG ISLAND RAILROAD COMPANY			
LIR-39-20-00005-ERP 09/30/21	Requiring wearing masks over the nose and mouth when using terminals, stations, and trains operated by Long Island Rail Road	To safeguard the public health and safety on terminals, stations and trains operated by Long Island Rail Road
MANHATTAN AND BRONX SURFACE TRANSIT OPERATING AUTHORITY			
MBA-39-20-00007-EP 09/30/21	Requiring mask wearing covering the nose and mouth when using facilities and conveyances operated by the MaBSTOA	To safeguard the public health and safety by amending existing rules to require use of masks when using the transit system
MENTAL HEALTH, OFFICE OF			
OMH-42-20-00011-EP 10/21/21	Comprehensive Psychiatric Emergency Programs	To provide clarify and provide uniformity relating to CPEPs and to implement Chapter 58 of the Laws of 2020

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
MENTAL HEALTH, OFFICE OF			
OMH-09-21-00001-EP	03/03/22	Redesigning Residential Treatment Facilities (RTF)	To provide clarity and provide uniformity relating to RTF's and to implement Chapter 58 of the Laws of 2020
METRO-NORTH COMMUTER RAILROAD			
MCR-39-20-00004-EP	09/30/21	Requiring mask wearing covering the nose and mouth when using terminals, stations, and trains operated by Metro-North Railroad	To safeguard the public health and safety by amending the rules to require use of masks when using Metro-North facilities
METROPOLITAN TRANSPORTATION AGENCY			
MTA-39-20-00009-EP	09/30/21	Requiring mask wearing covering the nose and mouth when using the facilities and conveyances operated by MTA Bus Company	To safeguard the public health and safety by amending rules to require use of masks when using MTA Bus facilities and conveyance
NEW YORK CITY TRANSIT AUTHORITY			
NTA-39-20-00006-EP	09/30/21	Requiring mask wearing covering the nose and mouth when using facilities and conveyances operated by NYC Transit Authority	To safeguard the public health and safety by amending existing rules to require use of masks when using the transit system
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
NFW-03-21-00003-EP	exempt	Adoption of Rates, Fees and Charges	To pay for increased costs necessary to operate, maintain, and manage the system, and to meet 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
PARKS, RECREATION AND HISTORIC PRESERVATION, OFFICE OF			
PKR-04-21-00005-P	01/27/22	Fees and charges for the use of State parks, parkways, historic sites and recreational facilities	To repeal outdated fees and charges that are not required to be posted in regulation
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-02-21-00005-EP	01/13/22	Medical Consent	To assist providers in administering the COVID-19 vaccine

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-04-21-00001-P	01/27/22	Annual Prevocational Assessment	To allow such assessments to be conducted at a location specified by OPWDD
PDD-04-21-00006-P	01/27/22	Medication regimen review	Make technical corrections to align with current regulation allowing for an annual medication regimen review or more frequently
PDD-07-21-00003-P	02/17/22	Reimbursement of waiver services	To conform OPWDD waiver services to the federally approved waiver agreement
PDD-12-21-00007-P	03/24/22	Repeal and amendment to outdated rate regulations	Repeal and amendment to outdated rate regulations

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
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PUBLIC SERVICE COMMISSION

*PSC-09-99-00012-P	exempt	Transfer of books and records by Citizens Utilities Company	To relocate Ogden Telephone Company's books and records out-of-state
*PSC-15-99-00011-P	exempt	Electronic tariff by Woodcliff Park Corp.	To replace the company's current tariff with an electronic tariff
*PSC-12-00-00001-P	exempt	Winter bundled sales service election date by Central Hudson Gas & Electric Corporation	To revise the date
*PSC-44-01-00005-P	exempt	Annual reconciliation of gas costs by Corning Natural Gas Corporation	To authorize the company to include certain gas costs
*PSC-07-02-00032-P	exempt	Uniform business practices	To consider modification
*PSC-36-03-00010-P	exempt	Performance assurance plan by Verizon New York	To consider changes
*PSC-40-03-00015-P	exempt	Receipt of payment of bills by St. Lawrence Gas Company	To revise the process
*PSC-41-03-00010-P	exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-41-03-00011-P	exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-44-03-00009-P	exempt	Retail access data between jurisdictional utilities	To accommodate changes in retail access market structure or commission mandates
*PSC-02-04-00008-P	exempt	Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York	To rehear the Nov. 25, 2003 order
*PSC-06-04-00009-P	exempt	Transfer of ownership interest by SCS Energy LLC and AE Investors LLC	To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC
*PSC-10-04-00005-P	exempt	Temporary protective order	To consider adopting a protective order

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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).
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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-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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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-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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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-34-18-00015-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and energy efficiency protections are in place.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-34-18-00016-P exempt	Deferral of pre-staging and mobilization storm costs.	To ensure just and reasonable rates for ratepayers and utility recovery of unexpected, prudently incurred costs.
*PSC-35-18-00003-P exempt	Con Edison's 2018 DSIP and BCA Handbook Update.	To continue Con Edison's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00005-P exempt	NYSEG and RG&E's 2018 DSIP and BCA Handbook Update.	To continue NYSEG and RG&E's transition to modern utilities acting as Distributed System Platform Providers.
*PSC-35-18-00006-P exempt	National Grid's 2018 DSIP and BCA Handbook Update.	To continue National Grid's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00008-P exempt	Central Hudson's 2018 DSIP and BCA Handbook Update.	To continue Central Hudson's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00010-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-45-18-00005-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-01-19-00013-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-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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-09-19-00010-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-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-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-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-32-19-00012-P exempt	Standby Service Rates and Buyback Service Rates	To ensure just and reasonable rates, including compensation, for distributed energy resources
*PSC-38-19-00002-P exempt	Petition to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
*PSC-39-19-00018-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-44-19-00005-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-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-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-52-19-00006-P exempt	Authorization to defer pension settlement losses.	To address the ratemaking related to the pension settlement losses.
*PSC-03-20-00009-P exempt	Changes to the Utility Energy Registry	To determine appropriate rules for data availability
*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-07-20-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
*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-10-20-00003-P exempt	The Commission's statewide low-income discount policy.	To consider modifications to certain conditions regarding utility low-income discount programs.
*PSC-12-20-00008-P exempt	Delivery rates of Corning Natural Gas Corporation.	Whether to postpone the implementation of a change in rates that would otherwise become effective on June 1, 2020.
PSC-15-20-00011-P exempt	To modify the terms and conditions under which gas utilities provide service to electric generators.	To provide clarity and uniformity to the provision of gas service to electric generators.
PSC-15-20-00013-P exempt	Ownership of New York American Water Company, Inc.	To consider whether a proposed transfer of ownership of New York American Water Company, Inc. is in the public interest.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-16-20-00004-P exempt	Disposition of a state sales tax refund.	To determine how much of a state sales tax refund should be retained by Central Hudson.
PSC-18-20-00012-P exempt	The purchase price of electric energy and capacity from customers with qualifying on-site generation facilities.	To revise the price to be paid by the Company under Service Classification No. 10. for qualifying purchases of unforced capacity
PSC-18-20-00015-P exempt	Participation of Eligible Telecommunications Carriers (ETCs) in New York State Lifeline Program.	Commission will consider each petition filed by an ETCs seeking approval to participate in the NYS Lifeline program.
PSC-19-20-00004-P exempt	Clarification of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether energy service companies should be permitted to bank RECs to satisfy their renewable energy requirements.
PSC-19-20-00005-P exempt	Cost recovery associated with Day-Ahead-DLM and Auto-DLM programs, and elimination of double compensation.	To provide cost recovery for new DLM programs and prevent double compensation to participating customers.
PSC-19-20-00009-P exempt	Cost recovery associated with Day-Ahead-DLM and Auto-DLM programs, and elimination of double compensation.	To consider revisions to P.S.C. No. 10 - Electricity, and P.S.C. No. 12 - Electricity.
PSC-21-20-00008-P exempt	Waiver of tariff rules and a related Commission regulation.	To consider whether a waiver of tariff rules and a Commission regulation are just and reasonable and in the public interest.
PSC-23-20-00008-P exempt	Disposition of sales tax refund and other related matters.	To consider the appropriate allocation of the sales tax refund proceeds while balancing ratepayer and shareholder interests.
PSC-25-20-00009-P exempt	Petition for the use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-25-20-00010-P exempt	Whitepaper regarding energy service company financial assurance requirements.	To consider the form and amount of financial assurances to be included in the eligibility criteria for energy service companies.
PSC-25-20-00011-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-25-20-00012-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-25-20-00015-P exempt	Staff whitepaper on a Data Access Framework.	To standardize the necessary privacy and cybersecurity requirements for access to energy-related data.
PSC-25-20-00016-P exempt	Modifications to the Low-Income Affordability program.	To address the economic impacts of the COVID-19 pandemic.
PSC-27-20-00003-P exempt	To make the uniform statewide customer satisfaction survey permanent.	To encourage consumer protections and safe and adequate service.
PSC-28-20-00022-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-28-20-00034-P exempt	Petition to implement Section 7(5) of the Accelerated Renewable Energy Growth and Community Benefit Act	To develop the bulk transmission investments necessary to achieve the Climate Leadership and Community Protection Act goals

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-29-20-00011-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 Opportunities for Broome, Inc for waiver of Opinion No. 76-17 and 16 NYCRR Part 96.
PSC-31-20-00004-P exempt	Submetering of electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-31-20-00008-P exempt	Submetering of electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-31-20-00010-P exempt	Submetering of electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-34-20-00004-P exempt	Notice of intent to submeter electricity and waiver of energy audit requirement.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-34-20-00005-P exempt	Petition to provide a renewable, carbon-free energy option to residential and small commercial full-service customers.	To increase customer access to renewable energy in the Consolidated Edison Company of New York, Inc. service territory.
PSC-37-20-00006-P exempt	Con Edison's petition for a proposed Non-Pipeline Solutions portfolio and associated budget.	To provide for continued service reliability and to meet customer energy needs while addressing greenhouse gas reduction goals.
PSC-38-20-00004-P exempt	The annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To consider filings of LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.
PSC-39-20-00015-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-39-20-00021-P exempt	Authority to issue to long-term debt.	To consider Corning's request for authority to issue long-term debt.
PSC-40-20-00003-P exempt	NYSEG's petition for a proposed Non-Pipeline Alternatives portfolio of projects and associated budget.	To provide for continued service reliability and to meet customer energy needs while addressing greenhouse gas reduction goals.
PSC-40-20-00004-P exempt	Minor rate filing.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-40-20-00006-P exempt	Waiver of tariff rules and a related Commission regulation.	To consider whether a waiver of tariff rules and a Commission regulation are just and reasonable and in the public interest.
PSC-41-20-00010-P exempt	Disposition of a \$50 million municipal tax refund	To consider a disposition of a municipal tax refund for customer and company benefit
PSC-41-20-00011-P exempt	Major gas rate filing.	To consider a proposed increase in Corning's gas delivery revenues of approximately \$6.3 million (23.4% in total revenues).
PSC-42-20-00006-P exempt	Proposed major rate increase in National Grid's delivery revenues of approximately \$41.8 million (or 9.8% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-42-20-00007-P exempt	Transfer of ownership interests and facilities associated with three nuclear generating units, funds, and storage facilities.	To ensure appropriate regulatory review, oversight, and action concerning the proposed transfer to serve the public interest.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-42-20-00008-P exempt	Availability of gas leak information to the public safety officials.	Facilitate availability of gas leak information to public safety officials by gas corporations.
PSC-42-20-00009-P exempt	Proposed major rate increase in National Grid's delivery revenues of approximately \$100.4 million (or 3.2% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-43-20-00003-P exempt	The use of \$50 million to support residential and commercial customers experiencing financial hardship	To consider whether the proposed support of ratepayers is in the public interest
PSC-44-20-00006-P exempt	Transfer of property interests in the Union Falls Hydroelectric Facility.	To determine whether to authorize the transfer of the Union Falls Hydroelectric Facility and the proper accounting treatment.
PSC-44-20-00007-P exempt	Establishment of the regulatory regime applicable to an approximately 90.5 MW electric generating facility.	Consideration of a lightened regulatory regime for an approximately 90.5 MW electric generating facility.
PSC-44-20-00009-P exempt	Notice of intent to submeter electricity and waiver of energy audit requirement.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-45-20-00003-P exempt	Petition to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-45-20-00004-P exempt	Major gas rate filing	To consider an increase in Central Hudson's gas delivery revenues
PSC-45-20-00005-P exempt	Major electric rate filing	To consider an increase in Central Hudson's electric delivery revenues
PSC-45-20-00006-P exempt	Petition to submeter electricity and waiver request	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place
PSC-46-20-00004-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-46-20-00005-P exempt	The recommendations of the DPS Staff report to improve Hudson Valley Water's service.	To determine if approving the DPS Staff's recommendations is in the public interest.
PSC-46-20-00006-P exempt	Amendments to the SIR.	To more effectively interconnect distributed generation and energy storage Systems 5 MW or less to the distribution system.
PSC-46-20-00007-P exempt	Compliance of New York Transco LLC with the applicable portions of the Electric Safety Standards.	To consider the petition of New York Transco LLC for clarification of its responsibilities under the Electric Safety Standards.
PSC-46-20-00009-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-47-20-00006-P exempt	Notice of intent to submeter electricity and request for waiver of 16 NYCRR § 96.5(k)(3).	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-47-20-00007-P exempt	Petition 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-47-20-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-20-00004-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-20-00005-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether Chief Energy Power, LLC should be permitted to offer green gas products to mass market customers.
PSC-48-20-00007-P exempt	Tariff modifications to change National Fuel Gas Distribution Corporation's Monthly Gas Supply Charge provisions.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-48-20-00008-P exempt	Proposed modifications to Rider T - Commercial Demand Response Program.	To consider revisions to Rider T - CDRP for the 2021 Capability Period.
PSC-48-20-00009-P 12/02/21	Siting of major transmission facilities in new or existing rights of way that qualify for expedited process.	To establish expedited requirements for the siting, construction and operation of major transmission facilities.
PSC-49-20-00007-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-49-20-00008-P exempt	Amendments to modify provisions related to Emergency Electric Generators under General Information Section III (H).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-49-20-00010-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-50-20-00004-P exempt	Proposed transfer of the Company's assets to the Purchasers.	To determine if transfer of the water system to the Purchasers is in the public interest.
PSC-51-20-00006-P exempt	Notice of intent to submeter electricity and waiver of energy audit requirement.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-51-20-00007-P exempt	Whitepaper on the ACOS method used by utilities in developing Standby and Buyback Service rates.	To standardize the utility ACOS methods and resulting rates, and to enable stand-alone energy storage systems.
PSC-51-20-00009-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether petitioner should be permitted to offer its "Energy Savings Program" to mass market customers.
PSC-51-20-00010-P exempt	Petition to submeter electricity and request for waiver.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-51-20-00011-P exempt	Lease of right-of-way and transfer of facilities.	To determine whether to authorize lease of right-of-way, and transfer of facilities and the proper accounting treatment.
PSC-51-20-00012-P exempt	Notice of intent to submeter electricity and request for waiver.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-51-20-00013-P exempt	Competitive solicitations to procure 350mw of energy storage systems directed by the Commission's 2018 Energy Storage Order.	To ensure compliance with Public Service Law Section 74 and achieve state goals to install energy storage systems.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-51-20-00014-P exempt	Electric system needs and compensation for distributed energy resources.	To ensure safe and adequate service and just and reasonable rates, including compensation, for distributed energy resources.
PSC-52-20-00002-P exempt	Petition for the use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-52-20-00003-P exempt	Notice of intent to submeter electricity and waiver request.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-52-20-00004-P exempt	Use of pipeline refund.	To consider how a pipeline refund of \$2.26 million will be utilized by National Fuel.
PSC-52-20-00005-P exempt	Clarification or reconsideration of a provision in a prior order.	To determine whether to clarify or reconsider a provision of a prior order regarding the implementation of Green Button Connect.
PSC-52-20-00006-P exempt	Banked credit distribution rules and processes.	To ensure just and consistent banked credit distribution rules and processes.
PSC-52-20-00007-P exempt	Negative performance factor adjustments applied to auto-dynamic load management and term-dynamic load management participants.	To improve multi-year and auto-DLM programs that will improve demand response program offerings.
PSC-52-20-00008-P exempt	Transfer of a natural gas pipeline and the associated certificate, and application of lightened and incidental regulation.	To determine whether the requested transfers and regulatory treatment are consistent with the law and the public interest.
PSC-52-20-00009-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-52-20-00010-P exempt	Proposed filing regarding capacity surcharge for ESCO transportation customers.	To ensure safe and reliable service for customer at just and reasonable rates.
PSC-52-20-00011-P exempt	Petition for the use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-52-20-00012-P exempt	The upgrading of cellular antennas on an electric transmission tower.	To determine whether the upgrading of cellular antennas on an electric transmission tower is in the public interest.
PSC-52-20-00013-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-52-20-00014-P exempt	The upgrading of cellular antennas on an electric transmission tower.	To determine whether the upgrading of cellular antennas on an electric transmission tower is in the public interest.
PSC-52-20-00015-P exempt	The upgrading of cellular antennas on an electric transmission tower.	To determine whether the upgrading of cellular antennas on an electric transmission tower is in the public interest.
PSC-52-20-00016-P exempt	Waiver of 16 NYCRR Sections 86.3(a)(1), 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-52-20-00017-P exempt	Enwave Syracuse LLC and Syracuse Energy Concessionaire LLC's proposed financing.	To review the proposed financing and consider whether it is within the public interest.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-01-21-00004-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether petitioner should be permitted to offer its Home Warranty product to mass market customers.
PSC-01-21-00005-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-01-21-00006-P exempt	A debt financing arrangement with respect to an electric transmission line under development.	To review the proposed financing and consider whether it is within the public interest.
PSC-01-21-00007-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-01-21-00008-P exempt	The revision of certain delivery rates for electric service.	To ensure safe and reliable service for customers at just and reasonable rates.
PSC-02-21-00006-P exempt	Disposition of a sales tax refund received by New York American Water, Inc.	To determine the disposition of tax refunds and other related matters.
PSC-03-21-00002-EP exempt	Postponement of delivery rate, System Improvement Charge (SIC) and RAC/PTR surcharge with make whole starting on May 1, 2021.	To assist customers in a time of hardship by delaying a rate increase and SIC increase and RAC/PTR surcharge implementation.
PSC-03-21-00006-P exempt	Comprehensive study to identify distribution and transmission investments in accordance with the AREGCB Act.	To support distribution and local transmission investments necessary to achieve the State's climate goals.
PSC-03-21-00007-P exempt	Waiver of certain rules, i.e., 7-day installation requirements pertaining to cable television franchise.	To determine whether to waive any rules and regulations.
PSC-03-21-00008-P exempt	Authorization to recover costs for three transmission projects and related mechanisms.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-03-21-00009-P exempt	The waiver of regulation and tariff provisions to allow for more time to recover the deposit for electric infrastructure.	Whether the extension of the deadline is in the public interest.
PSC-04-21-00011-P exempt	Proposed tariff revisions for the DLM Program summer 2021 capability period.	More efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-04-21-00012-P exempt	Proposed tariff revisions and clarifications for the DLM Program summer 2021 capability period.	More efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-04-21-00013-P exempt	Proposed tariff revisions for the DLM Program summer 2021 capability period.	More efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-04-21-00014-P exempt	Proposed DLM Program and tariff revisions for the summer 2021 capability period.	More efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-04-21-00015-P exempt	Proposed tariff revisions for the DLM Program summer 2021 capability period.	More efficient demand response programs to gain operational efficiency and shave peak demand.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-04-21-00016-P exempt	Request for a waiver.	To consider whether good cause exists to support a waiver of the Commission's Test Period Policy Statement.
PSC-04-21-00017-P exempt	Funding and management of the the Clean Energy Fund portfolio.	To review NYSEERDA's proposed modifications to the Clean Energy Fund portfolio and determine whether the changes are acceptable.
PSC-04-21-00018-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-04-21-00019-P exempt	Consideration of National Grid USA's New York electric and gas utilities' Implementation Plan and audit recommendations.	To ensure that recommendations issued in a comprehensive management audit are appropriately addressed and implemented.
PSC-04-21-00020-P exempt	NFG's Implementation Plan and audit recommendations.	To consider to implement the management audit recommendations.
PSC-05-21-00004-P exempt	Alternative proposal for net crediting billing.	To facilitate development of and participation in Community Distributed Generation projects.
PSC-05-21-00005-P exempt	The applicable regulatory regime under the Public Service Law for the owner of a merchant electric generating facility.	Consideration of a lightened regulatory regime for the owner of an approximately 100 MW electric generating facility.
PSC-05-21-00006-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-05-21-00007-P exempt	Petition to amend bill estimation procedures.	To consider the petition of Central Hudson Gas & Electric Corporation to amend its current bill estimation procedures.
PSC-05-21-00008-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-05-21-00009-P exempt	Proposed rate increase in annual revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-05-21-00012-P exempt	The electric utilities' 2021 Electric Emergency Response Plans.	To consider the adequacy of the proposed 2021 Electric Emergency Response Plans.
PSC-06-21-00008-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-06-21-00009-P exempt	Disposition of a property tax refund received by New York American Water, Inc.	To determine the disposition of tax refunds and other related matters.
PSC-06-21-00010-P exempt	Exemptions from utility standby rates for distributed energy resources and efficient combined heat and power projects.	To determine whether utility standby rate exemptions should be continued.
PSC-06-21-00011-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-07-21-00005-P exempt	Staff Whitepaper recommending modifications to the utility's energy affordability program.	To consider updates and enhancements to the utility's low-income energy affordability program.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-07-21-00006-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-07-21-00007-P exempt	Conditioned pre-approval of stock transactions of regulated entities.	To consider allowing stock transactions within statutory parameters without Commission approval for individual transactions.
PSC-07-21-00008-P exempt	Waiver of certain Commission requirements related to the distribution of telephone directories.	To reduce unnecessary waste and disposal of hard copy directories.
PSC-07-21-00009-P exempt	PSC regulations 16 NYCRR 86.3(a)(1); 86.3(a)(2); 86.4(b).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting.
PSC-07-21-00010-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-07-21-00011-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-08-21-00003-P exempt	Utility-owned ESR participation in the New York Independent System Operator, Inc. (NYISO) administered wholesale markets.	To consider if National Grid should use a ESR in NYISO markets, and whether any conditions are appropriate for such use.
PSC-08-21-00004-P exempt	Proposed transfer of water supply assets.	To determine if transfer of all water supply assets is in the public interest.
PSC-08-21-00005-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-08-21-00006-P exempt	Transfer of street lighting facilities.	To determine whether to transfer street lighting facilities and the proper accounting for the transaction.
PSC-09-21-00002-P exempt	Gas moratorium procedures	To consider procedures and criteria to minimize customer hardships in the unlikely event of a future gas moratorium
PSC-09-21-00003-P exempt	Proposed filing to modify language to reflect upgrades being made to its Legacy Customer Information System.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-09-21-00004-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-09-21-00005-P exempt	Utility capital expenditure proposal.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-09-21-00006-P exempt	Long-term gas system planning.	To consider a process to review gas distribution utilities' long-term system planning.
PSC-09-21-00007-P exempt	Proposed filing to modify language to reflect upgrades being made to its Legacy Customer Information System.	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-09-21-00008-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-10-21-00007-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-10-21-00008-P exempt	Waiver of tariff rules and a related Commission regulation.	To consider whether a waiver of tariff rules and a Commission regulation are just and reasonable and in the public interest.
PSC-10-21-00009-P exempt	Gas Demand Response Pilot Program.	To provide promote natural gas system reliability by encouraging reductions of natural gas demand during peak gas demand days.
PSC-11-21-00003-P exempt	NYSEG and RG&E's petition for a waiver of its customer service quality performance.	To determine if NYSEG and RG&E's petition for waiver is in the public interest.
PSC-11-21-00004-P exempt	Pre-authorization to transfer certain cyber-security related equipment to other utilities participating in the CMA program.	To enhance the reliability of the energy system by enabling transfers of certain equipment to other participating utilities.
PSC-11-21-00005-P exempt	Petition concerning tariff amendments regarding billing of transformer losses.	To ensure that the National Grid tariff contains appropriate provisions for the billing of transformer losses.
PSC-12-21-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-12-21-00009-P exempt	Transfer of ownership interests and facilities associated with three nuclear generating units, funds, and storage facilities.	To ensure appropriate regulatory review, oversight, and action concerning the proposed transfer to serve the public interest.
PSC-13-21-00016-P exempt	Revised distribution strategies and reallocation of remaining funding.	To ensure the appropriate use of funding reserved for gas safety programs.
PSC-13-21-00017-P exempt	The applicable regulatory regime under the Public Service Law for the owner of an energy storage facility.	Consideration of a lightened regulatory regime for the owner of an approximately 100 MW energy storage facility.
PSC-13-21-00018-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-13-21-00019-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-13-21-00020-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-13-21-00021-P exempt	Headroom analyses of local transmission and distribution system to support additional renewable energy generation.	To support distribution and local transmission investments necessary to achieve the the State's climate goals.
PSC-13-21-00022-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-13-21-00023-P exempt	Petition for the use of steam metering equipment.	To ensure that consumer bills are based on accurate measurements of steam usage.

Action Pending Index**NYS Register/March 31, 2021**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
STATE, DEPARTMENT OF			
DOS-48-20-00010-P	12/02/21	Procedures and requirements related to the filing of certificates by the Department of State's Division of Corporations	To clarify and update procedures related to the filing of certificates with the Division of Corporations
DOS-05-21-00013-P	02/03/22	Requirements and procedures related to filing, review and publication of financial reports filed with the Department of State	To provide procedures related to the filing, review and publication of financial reports filed with the Department of State
DOS-12-21-00010-P	05/27/22	New York State Uniform Fire Prevention and Building Code (the Uniform Code)	To amend the existing Uniform Code to add specific provisions applicable to rail stations
DOS-13-21-00025-P	03/31/22	Successor in interest registrations under the Right of Publicity law	To establish the fee and verification requirements to file a claim under the Right of Publicity law
STATE UNIVERSITY OF NEW YORK			
*SUN-53-19-00005-P	04/29/21	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-29-20-00004-EP	07/22/21	State basic financial assistance for the operating expenses of community colleges under the program of SUNY and CUNY	To modify limitations formula for basic State financial assistance and remove an operating support "floor"
SUN-29-20-00005-EP	07/22/21	Student Assembly Elections, Student Assembly Officers, Campus Government Elections, Student Activity Fees	To postpone voting on student activity fees and elections of Student Assembly representatives and officers until Fall 2020
SUN-05-21-00010-P	02/03/22	Proposed amendments to the traffic and parking regulations at State University of New York at Potsdam	Amend existing regulations to update traffic and parking regulations
SUN-11-21-00006-EP	03/17/22	Gender Neutral Bathrooms	To conform with legislation requiring SUNY state-operated campuses to designate all single occupancy bathrooms as gender neutral
STATEN ISLAND RAPID TRANSIT OPERATING AUTHORITY			
SIR-39-20-00008-EP	09/30/21	Requiring mask wearing covering the nose and mouth when using terminals, stations and trains operated by SIRTOA.	To safeguard the public health and safety by amending rules to require the use of masks when using terminals and stations.
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-46-20-00003-P	exempt	Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith	To set the sales tax component and the composite rate per gallon for the period January 1, 2021 through March 31, 2021
TAF-07-21-00001-EP	exempt	Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith	To set the sales tax component and the composite rate per gallon for the period January 1, 2021 through March 31, 2021
TAF-07-21-00002-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, 2021 through June 30, 2021

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-46-20-00002-P	11/18/21	Payment access cards	To update State regulations pertaining to payment access cards to align with Part V of Chapter 56 of the Laws of 2020
TDA-13-21-00010-P	03/31/22	Establishment of parentage	To amend state regulations for the establishment of paternity to reflect federal and recently-enacted state statutory requirements, to coordinate and update terminology used by the Child Support Program, and to conform regulatory citations with state laws
WORKERS' COMPENSATION BOARD			
WCB-23-20-00004-P	06/10/21	EDI system updates	To require carriers to report certain credits taken for payments to claimants; biannual reports; EDI 3.1 updates
WCB-28-20-00003-EP	07/15/21	Adding COVID-19 diagnosis by a health care provider as a serious health condition for purposes of Paid Family Leave	To clarify that employees may take PFL to care for a family member with COVID-19
WCB-42-20-00004-P	10/21/21	Medical Treatment Guidelines	To add PTSD and acute stress disorder, and major depressive disorder MTGs
WCB-42-20-00005-P	10/21/21	Medical Treatment Guidelines	To add PTSD and acute stress disorder, and major depressive disorder MTGs
WCB-48-20-00002-EP	12/02/21	Reimbursement for COVID-19 testing	To allow reimbursement for COVID-19 testing when benefits are sought due to workplace exposure to COVID-19
WCB-06-21-00013-P	02/10/22	Medical Treatment Guidelines	To update back, neck, shoulder, knee, and NAP MTGs
WCB-10-21-00006-P	03/10/22	Direct Deposit of compensation payments	To implement the statute requiring direct deposit be available for certain compensation payments
WCB-13-21-00002-EP	03/31/22	Ambulatory surgery services fees	To update fees for ambulatory surgery services fees, especially due to the COVID-19 pandemic
WCB-13-21-00003-EP	03/31/22	Designated contact information	To provide a compliance date for carriers, self-insured employers, or TPAs to designate points of contact in the PAR process
WCB-13-21-00004-EP	03/31/22	Notice as required for compliance with the Formulary	To provide a compliance date for carriers, self-insured employers, or TPAs to provide notice as required by 12 NYCRR 441.3(f)
WCB-13-21-00009-P	03/31/22	Updating the prescription drug formulary prior authorization process	To include medical marijuana in the prior authorization process

NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

Division of Homeland Security and Emergency

Services

1220 Washington Ave.
State Campus, Bldg. 7A
Albany, NY 12226

NONPROFIT ORGANIZATIONS THAT HAVE NOT RECEIVED
PRIOR YEARS FUNDING UNDER NSGP

**Federal Fiscal Year 2021 Nonprofit Security Grant Program -
Urban Area (NSGP-UA) and Nonprofit Security Grant Program -
State (NSGP-S)**

Description:

Request for Applications (RFA) in federal NSGP-UA funding and federal NSGP-S funding is being made available by the NYS Division of Homeland Security and Emergency Services (DHSES) from the U.S. Department of Homeland Security Federal Emergency Management Agency. Nonprofit organizations may apply for up to \$150,000 per site, for up to three (3) sites, for a maximum award of \$450,000 per organization. There is a total of \$90 million nationally for the NSGP-UA program and \$90 million nationally, with NYS having a target allocation of \$2.4 million, for the NSGP-S program. Funds will be awarded competitively based on the submission of applications by eligible nonprofit organizations. If your nonprofit site is physically located within a FY 2021 UASI-designated urban area, then you may apply to NSGP-UA; in NYS, organizations who are located in the NYC Urban Area which includes: the five boroughs in New York City, Nassau County, Suffolk County and Westchester County are eligible to apply under NSGP-UA. If your nonprofit site is not physically located within the NYC urban area, then you may apply to NSGP-S.

Funding will be awarded to support target hardening activities to nonprofit organizations (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) that are at high risk of terrorist attack. NSGP provides funding for physical security enhancements and other security-related activities to nonprofit organizations that are at high risk of a terrorist attack. The NSGP also seeks to integrate the preparedness activities of nonprofit organizations with broader state and local preparedness efforts.

Due to the competitive nature of this program, funding preference will be given to nonprofit organizations that have not received prior years funding under NSGP.

Applications must be submitted by 5:00 p.m. on April 15, 2021, through New York State's Division of Homeland Security and Emergency Services (NYS-DHSES) electronic grants management system (E-Grants).

MISCELLANEOUS NOTICES/HEARINGS

Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311
or visit our web site at:
www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

PUBLIC NOTICE Office of General Services

Pursuant to Section 30-a of the Public Lands Law, the Office of General Services hereby gives notice to the following:

Notice is hereby given that the New York State Department of Transportation has determined that:

Address: DOT Subresidency
683 3rd Street
City of Ithaca
Tompkins County, NY 14850

An 8.162 acre parcel, improved with a 15,220+ square foot maintenance/office building and a 4,000+ square foot garage/storage building, is surplus and no longer useful or necessary for state program purposes and has abandoned the property to the Commissioner of General Services for sale or other disposition as Unappropriated State Land.

For further information, please contact: Frank Pallante, Esq., Office of General Services, Legal Services, 36th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, (518) 474-8831, (518) 473-4973 fax

PUBLIC NOTICE Department of Health

The New York State Department of Health (DOH) is required by the provisions of the federal Beaches Environmental Assessment and Coastal Health (BEACH) Act to provide for public review and comment on the Department's beach monitoring and notification plan. The BEACH Act (Section 406(b) of the Clean Water Act) enacted a federal Environmental Protection Agency grant program available to states, such as New York, with coastal recreational waters. Coastal recreational waters include the Great Lakes and marine coastal waters that are designated for swimming, bathing, surfing, or similar water contact

activities. The Act is not applicable to inland waters or waters upstream of the mouth of a river or stream having an unimpaired natural connection with the open sea.

The beach monitoring and public notification plan also includes information on the beach evaluation and classification process, including a list of waters to be monitored and beach ranking. Also included in this plan, is the sampling design and monitoring plan, including sampling location and sampling frequency. Lastly, the plan contains information on procedures for public notification and risk communication, including methods to notify the public of a swimming advisory or beach closure.

Any interested parties and/or agencies desiring to review and/or comment on the beach monitoring and notification plan for coastal recreational waters may do so by writing to: Timothy M. Shay, Assistant Bureau Director, Department of Health, Center for Environmental Health, Bureau of Community Environmental Health and Food Protection, Empire State Plaza, Corning Tower Bldg., Rm. 1395, Albany, NY 12237, Fax (518) 402-7609

PUBLIC NOTICE Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services to clarify the revised provisions of the Ambulatory Patient Group (APG) reimbursement methodology as originally published on January 20, 2021. The following changes are proposed:

Non-Institutional Services

The following is a clarification to the January 20, 2021 noticed provision for Ambulatory Patient Groups (APG) recalculated weight and component updates.

With clarification, the January 20th noticed provision included an error in the fiscal calculation. That error has been corrected and the estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2020/2021 is now \$820,000.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center

114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99
Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY
12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services to comply with enacted statutory provisions. The following changes are proposed:

Non-Institutional Services

Effective on or after April 1, 2021, New York State will authorize nurse practitioners designated by the Office of Mental Health to provide Collaborative Care Services, including screening for mental illness, diagnosis of patients who screen positive, the provision of evidence-based care, ongoing tracking of patient progress, and care management. Collaborative Care Services also include consultation between a designated psychiatric practitioner, care manager and primary care physician for the purpose of managing mental health conditions in primary care settings.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for State Fiscal Year 2021/2022 is \$70 thousand.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99
Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY
12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for institutional, non-institutional and long-term care services to comply with statutory provisions. The following changes are proposed:

All Services

Effective for dates of service on or after April 1, 2021 and each State Fiscal Year thereafter, all non-exempt Department of Health state funds Medicaid payments will be uniformly reduced by an additional 1.0%, totaling 2.5%.

Medicaid payments that will be exempted from the uniform reduction include:

1. Payments whereby Federal law precludes such reduction, including:

- o Federally Qualified Health Center services and Residential Health Clinics;

- o Indian Health Services and services provided to Native Americans;

- o Supplemental Medical Insurance - Part A and Part B;

- o State Contribution for Prescription Drug Benefit (aka Medicare Part D payments);

- o Any local share cap payment required by the Federal Medical Assistance Percentage (FMAP) increase legislation;

- o Services provided to American citizen repatriates; and

- o Hospice Services.

2. Payments funded exclusively with federal and/or local funds include, but are not limited to, the following:

- o Upper payment limit payments to non-state owned or operated governmental providers certified under Article 28 of the NYS Public Health Law;

- o Certified public expenditure payments to the NYC Health and Hospital Corporation;

- o Certain disproportionate share payments to non-state operated or owned governmental hospitals;

- o Services provided to inmates of local correctional facilities.

3. Payments where applying the reduction would result in a lower FMAP as determined by the Commissioner of Health and the Director of the Budget will also be exempt.

4. Other Payments that are not subject to the reduction include:

- o Payments pursuant to Article 32, Article 31 and Article 16 of the Mental Hygiene Law;

- o Required payments related to the School Supportive Health Services Program and Preschool Supportive Health Services Program;

- o Early Intervention;

- o Traumatic Brain Injury Waiver (TBI);

- o Nursing Home Transition and Diversion Waiver (NHTD);

- o Payments for services provided by Other State Agencies including Office of Children and Family Services, State Education Department, and the Department of Corrections and Community Supervision.

- o Value Based Payment Quality Improvement Program;

- o Vital Access Providers and Vital Access Provider Assurance Program;

- o Physician Administered Drugs;

- o Court orders and judgments;

- o Family Planning services;

- o Children's Home and Community Based services; and

- o Children's Health Home services.

The estimated annual net aggregate decrease in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is (\$188.0 million).

Effective on and after April 1, 2021 through March 31, 2023, no

greater than zero trend factors, pursuant to the provisions of Public Health Law § 2807-c(10)(c), will be applied to rates of payment for hospital inpatient and outpatient services, inpatient and adult day health care outpatient services provided by residential health care facilities pursuant to Article 28 of the Public Health Law (except for residential health care facilities or units of such facilities providing services primarily to children under 21 year of age), for certified home health agencies, long term home health care programs, AIDS home care programs, and for personal care services pursuant to section 365-a of the Social Services Law, including personal care services provided in those local social services districts, including New York City, whose rates of payment for services is established by such social services districts pursuant to a rate-setting exemption granted by the Department, and assisted living program services.

There is no additional estimated annual change to gross Medicaid expenditures as a result of this proposed amendment.

Non-Institutional Services

Effective on or after April 1, 2021, this proposal continues the supplemental upper payment limit payments made to general hospitals, other than major public general hospitals under non-institutional services of \$339 million annually. There is no change to the annual gross Medicaid expenditures as a result of this proposed amendment.

For state fiscal year beginning April 1, 2021 through March 31, 2022, this proposal continues hospital outpatient payment adjustments that increase the operating cost components of rates of payment for hospital outpatient and emergency departments on and after April 1, 2011, for public general hospitals other than those operated by the State of New York or the State University of New York, which are located in a city with a population of over one million. The amount to be paid will be up to \$287 million annually based on criteria and methodology set by the Commissioner of Health, which the Commissioner may periodically set through a memorandum of understanding with the New York City Health and Hospitals Corporation. Such adjustments shall be paid by means of one or more estimated payments. Payments may be added to rates of payment or made as aggregate payments.

There is no change to the annual gross Medicaid expenditures as a result of this proposed amendment.

For state fiscal year beginning April 1, 2021 through March 31, 2022, this proposal continues payment of up to \$5.4 million in additional annual Medicaid payments to county operated free-standing clinics, not including facilities operated by the New York City Health and Hospitals Corporation, for services provided by such DTC and those provided by a county operated freestanding mental health or substance abuse DTC. Distributions shall be based on each eligible facility's proportionate share of the sum of all DTC and clinic visits for all eligible facilities receiving payments for the base year two years prior to the rate year. The proportionate share payments may be added to rates of payment or made as aggregate payments to eligible facilities.

There is no change to the annual gross Medicaid expenditures as a result of this proposed amendment.

Effective on or after April 1, 2021, this amendment proposes to revise the State Plan to reduce the Worker Recruitment and Retention add-on percentage by an additional 25 percent as compared to 2020/2021, for Certified Home Health Agencies (CHHA) and Hospice programs.

The estimated annual net aggregate decrease in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is (\$1.5 million).

Effective on or after April 1, 2021 the Department will reduce coverage of certain over the counter (OTC) products. Clinically critical products such as aspirin and vitamins and minerals used for deficiencies will continue to be covered, as will less expensive OTC products that are in Preferred Drug Program (PDP) drug classes. The estimated annual net aggregate decrease in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is (\$17.4 million).

Effective on and after April 1, 2021, this notice provides for a

temporary rate adjustment with an aggregate payment amounts totaling no less than \$10,001,000 annually, for Essential Community Providers (ECPs) for the periods April 1, 2021 through March 31, 2022 and April 1, 2022 through March 31, 2023. These payments will be made to the following approved providers: A.O Fox Memorial Hospital, Adirondack Medical Center, Alice Hyde Hospital Association, Auburn Memorial Hospital, Bassett Hospital of Schoharie County-Cobleskill Regional, Brooks Memorial Hospital, Canton-Potsdam Hospital, Carthage Area Hospital, Catskill Regional Hospital – Sullivan, Catskill Regional Medical Center-Hermann Div, Cayuga Medical Center-Ithaca, Champlain Valley Physicians HMC, Chenango Memorial Hospital, Claxton Hepburn Hospital, Clifton-Fine Hospital, Columbia Memorial Hospital, Community Memorial Hospital, Corning Hospital, Cortland Memorial Hospital, Cuba Memorial Hospital, Delaware Valley Hospital, Elizabethtown Community Hospital, Ellenville Community Hospital, Gouverneur Hospital, Ira Davenport Memorial Hospital, Jones Memorial Hospital, Lewis County General Hospital, Little Falls Hospital, Margaretville Memorial Hospital, Mary Imogene Bassett Hospital, Massena Memorial Hospital, Medina Memorial Hospital, Moses-Ludington Hospital, Nathan Littauer Hospital, Northern Dutchess Hospital, Noyes Memorial Hospital, O'Connor Hospital, Olean General Hospital – Main, Oneida City Hospital, Oswego Hospital, River Hospital, Samaritan Medical Center, Schuyler Hospital, Soldiers and Sailors Memorial Hospital, St. James Mercy Hospital, Tri Town Regional, Westfield Memorial Hospital, Wyoming County Community Hospital, WCA Hospital, United Memorial Medical Center, as well as St. Mary's Healthcare.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is \$10.0 million.

Effective on and after April 1, 2021, this notice provides for a temporary rate adjustment with an aggregate payment totaling no less than \$7.5 million annually for Critical Access Hospitals (CAHs), for the periods April 1, 2021 through March 31, 2022 and April 1, 2022 through March 31, 2023. These payments will be made to the following:

Bassett Hospital of Schoharie County-Cobleskill Regional, Carthage Area Hospital, Catskill Regional Medical Center-Hermann, Clifton-Fine Hospital, Community Memorial Hospital, Cuba Memorial Hospital, Delaware Valley Hospital, Elizabethtown Community.

Hospital, Ellenville Regional Hospital, Gouverneur Hospital, Lewis County General Hospital, Little Falls Hospital, Margaretville Hospital, O'Connor Hospital, River Hospital, Schuyler Hospital, Soldiers and Sailors Memorial Hospital of Yates, as well as Medina Memorial Hospital.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is \$7.5 million.

Effective on or after April 1, 2021, the State is advancing a comprehensive set of telehealth reforms for the purposes of strengthening and sustaining telehealth as a high-quality, cost effective, and consumer-oriented form of care delivery.

The estimated annual net aggregate decrease in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is (\$79.0 million).

Effective on or after April 1, 2021, and each fiscal year thereafter, the State proposes to establish a 340B Reimbursement Fund for the purposes of supporting activities that expand health services to the Medicaid members, the uninsured, and low-income patients, as supported by the 340B program.

The annual gross Medicaid expenditures as a result of this proposed amendment is \$102.0 million.

Effective on or after April 1, 2021, and for each State Fiscal Year thereafter, the State proposes to revise the method of distributing the funding for the Clinic Safety Net (CSN) distribution for comprehensive diagnostic and treatment centers that are other than Federally Qualified Health Centers (referred to as the non-FQHC CSN distribution).

There is no change to the annual gross Medicaid expenditures as a result of this proposed amendment.

Institutional Services

Effective April 1, 2021 this amendment proposes to eliminate the Public Indigent Care Pool disproportionate share hospital (DSH) payment of \$130.8 million gross made to major public general hospitals.

Effective on or after April 1, 2021, this proposal continues the supplemental upper payment limit payments made to general hospitals, other than major public general hospitals under institutional services of \$339 million annually.

There is no change to the annual gross Medicaid expenditures as a result of this proposed amendment.

For state fiscal year beginning April 1, 2021 through March 31, 2022, this proposal continues adjustments for hospital inpatient services provided on and after April 1, 2012, to public general hospitals, other than those operated by the State of New York or the State University of New York, located in a city with a population of over one million and receiving reimbursement of up to \$1.08 billion annually based on criteria and methodology set by the Commissioner of Health, which the Commissioner may periodically set through a memorandum of understanding with the New York City Health and Hospitals Corporation. Such adjustments shall be paid by means of one or more estimated payments. Payments to eligible public general hospitals may be added to rates of payment or made as aggregate payments.

There is no change to the annual gross Medicaid expenditures as a result of this proposed amendment.

For state fiscal year beginning April 1, 2021 through March 31, 2022, this proposal continues supplemental payments to State government owned hospitals. These payments will not exceed the upper payment limit for inpatient services provided by state government-owned hospitals when aggregated with other Medicaid payments.

There is no change to the annual gross Medicaid expenditures as a result of this proposed amendment.

Effective on or after April 1, 2021 and each state fiscal year thereafter, the hospital inpatient capital rate add-ons will be reduced by 10 percent.

The estimated annual net aggregate decrease in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is \$8.0 million.

Long Term Care Services

Effective on or after April 1, 2021, this proposals continues additional payments to non-state government operated public residential health care facilities, including public residential health care facilities located in Nassau, Westchester, and Erie Counties, but excluding public residential health care facilities operated by a town or city within a county, in aggregate amounts of up to \$500 million. The amount allocated to each eligible public RHCF will be in accordance with the previously approved methodology, provided, however that patient days shall be utilized for such computation reflecting actual reported data for 2019 and each representative succeeding year as applicable. Payments to eligible RHCF's may be added to rates of payment or made as aggregate payments.

There is no change to the annual gross Medicaid expenditures as a result of this proposed amendment.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. In addition, approved SPA's beginning in 2011 are also available for viewing on this website.

Copies of the proposed State Plan Amendments will be on file in each local (county) social services district and available for public review.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018
Queens County, Queens Center

3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services to comply with Social Services Law 365-a(x)(i). The following changes are proposed:

Non-Institutional Services

Effective on or after April 1, 2021 in accordance with Social Services Law 365-a(x)(i), Medicaid will amend the coverage of lactation counseling services for pregnant and post-partum women by expanding the list of those able to provide lactation services.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is \$100,000.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE**Department of Health**

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for institutional services related to temporary rate adjustments to providers that are undergoing closure, merger, consolidation, acquisition or restructuring themselves or other health care providers. These payments are authorized by § 2826 of New York Public Health Law to comply with § 2826 of New York Public Health Law. The following changes are proposed:

Institutional Services

The temporary rate adjustment has been reviewed and approved for the following two hospitals:

- St. John's Riverside Hospital with aggregate payment amounts totaling up to \$1,500,000 for the period April 1, 2021 through March 31, 2022.

- St. Joseph's Medical Center with aggregate payment amounts totaling up to \$1,500,000 for the period April 1, 2021 through March 31, 2022.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2021/2022 is \$3,000,000.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE**Department of Health**

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for institutional and non-institutional services to comply with Social Security Act section 1905(ee)(1) and SUPPORT ACT section 1006(b). The following changes are proposed:

Institutional Services

Effective on or after October 1, 2020, the Medication Assisted

Treatment (MAT) benefit will be transitioned from the optional to mandatory benefit in order to comply with federal statute. This change will affect both Pharmacy and Medical benefits.

This benefit transition does not impact current MAT benefits provided by either the Pharmacy or Medical benefit.

There is no additional estimated annual change to gross Medicaid expenditures as a result of this proposed amendment.

Non-Institutional Services

Effective on or after October 1, 2020, the Medication Assisted Treatment (MAT) benefit will be transitioned from the optional to mandatory benefit in order to comply with federal statute. This change will affect both Pharmacy and Medical benefits.

This benefit transition does not impact current MAT benefits provided by either the Pharmacy or Medical benefit.

There is no additional estimated annual change to gross Medicaid expenditures as a result of this proposed amendment.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE**Oneida County Personnel Department
Request for Proposal**

Sealed Proposals, subject to the conditions contained herein, will be received by ONEIDA COUNTY PERSONNEL DEPARTMENT, until 4:30 P.M., local time on Friday, April 30, 2021, for: Section 457 Deferred Compensation Plan, RFP #2021-296.

Specifications MUST be RECEIVED from Oneida County Personnel Department, Joseph M. Johnson, Commissioner of Personnel by phone at 315-798-5725 or mail request to Oneida County Personnel, 800 Park Avenue, Utica, NY 13501, or download from the Oneida County website at <http://www.ocgov.net> (Public Notice Section.)

Copies of the described RFP may be examined at no expense at the Oneida County Personnel Department.

The return envelope must be clearly marked with "RESPONSE TO REQUEST FOR PROPOSAL #2021-296 - DEFERRED COMPENSATION ENCLOSED," and addressed to the department of Oneida County Personnel Department.

The owner reserves the right to reject any or all proposals received.

The County of Oneida, in order to promote its established Affirmative Action Plan, invites sealed bids from minority groups. This policy regarding sealed bids and contracts applies to all persons without regard to race, creed, color, national origin, age, sex or handicap.

PUBLIC NOTICE

Oneida-Herkimer Solid Waste Authority

Pursuant to New York State General Municipal Law, Section 120-w, the Oneida-Herkimer Solid Waste Authority hereby gives notice of the following:

The Oneida-Herkimer Solid Waste Authority (OHSWA) desires to procure an agreement for 5 years beginning 10/24/2021 for transportation of non-recyclable waste from 2 transfer stations to the Oneida-Herkimer Landfill, Ava, NY. Responses to the RFP must be received by 1:00 p.m. on 4/14/2021.

The Authority does not discriminate because of race, creed, color, national origin, sex, age, disability or marital status. All qualified respondents will be afforded equal opportunities without discrimination. Furthermore, the Authority invites certified Minority and Women-Owned Business Enterprises (M/WBE) participation in this RFP. Firms that are not M/WBEs responding to this RFP are strongly encouraged to consider partnering, or creating other similar joint venture arrangements with certified M/WBEs and to give M/WBEs the opportunity to participate in responding to this RFP. The directory of New York State M/WBE's can be viewed at <http://www.esd.ny.gov/mwbe.html>.

Copies of the RFP may be obtained at www.ohswa.org or through the contact: James V. Biamonte, Contracting Officer, 1600 Genesee St., Utica, NY 13502

PUBLIC NOTICE

Department of State Notice of Program Change Town of Marlborough

Local Waterfront Revitalization Program

PURSUANT to 15 CFR 923, the New York State Department of State (DOS) has submitted a program change to the federal Office of Coastal Management (OCM). The change to the New York State Coastal Management Program (CMP) covered by this request is the incorporation of the Town of Marlborough Local Waterfront Revitalization Program (LWRP) into the State's CMP. The program change is the LWRP as approved by the state. The LWRP includes enforceable policies that will be used for Coastal Zone Management Act review purposes.

A major component of the State's CMP is the provision that local governments be allowed to prepare Local Waterfront Revitalization Programs, which further detail and make geographically specific the State's coastal policies. Each LWRP is reviewed for consistency with the State's CMP and approved if it meets the guidelines established in the State CMP and Article 42 of the NYS Executive Law.

The Town of Marlborough LWRP was prepared in partnership with the New York State Department of State and serves as a long-term management program for the waterfront resources of the Town. The Town of Marlborough LWRP does not change the existing State Coastal boundary along the Hudson River in the Town.

The LWRP provides a detailed inventory and analysis of the Local Waterfront Revitalization Area in the Town, including natural resources, historic and cultural resources, existing land and water uses, harbor management, and important economic activities, as well as issues and opportunities for future development. The State coastal policies and accompanying explanations are comprehensive and determine the appropriate balance between economic development and preservation that will permit beneficial use of, and prevent adverse effects on, the waterfront resources of the Town. The LWRP also describes the proposed land uses and controls in the Town of Marlborough to be accommodated in the waterfront revitalization area under the Town of Marlborough Zoning Law. To implement the policies and purposes of

the LWRP, the Town adopted a Waterfront Consistency Review Law and a Harbor Management Law. The Waterfront Consistency Review Law establishes a clear management structure to assure that local actions are reviewed for consistency with the provisions of the LWRP.

The Town of Marlborough LWRP serves as a long-term management program for the waterfront resources of the Town along the Hudson River and Lattintown Creek. The program identifies 18 projects to advance the Town's waterfront revitalization goals including strengthening connections with and access to the Hudson River, revitalizing the Milton and Marlboro hamlets, improving the NYS Route 9W Corridor, celebrating and protecting natural and cultural resources, and enhancing agricultural uses.

The draft LWRP was circulated by the New York State Department of State to potentially affected State, federal, and regional agencies from August 21, 2019 to October 21, 2019. Following these review periods, the Department of State coordinated responses to comments received with the Town of Marlborough and revised the draft LWRP where necessary. The Town of Marlborough LWRP was adopted by resolution by the Town Board on May 11, 2020 and approved by the New York State Secretary of State on November 12, 2020, pursuant to the New York State Waterfront Revitalization of Coastal Areas and Inland Waterways Act (NYS Executive Law, Article 42).

The Town of Marlborough Local Waterfront Revitalization Program and this public notice are available on the NOAA Coastal Zone Management Program Change website under File Number NY-2021-1 at: <https://coast.noaa.gov/czmprogramchange/#/public/home>

The Town of Marlborough Local Waterfront Revitalization Program and this public notice are also available on the New York State Department of State's website at:

Marlborough LWRP_FINAL_reduced.pdf (ny.gov)

and

<https://www.dos.ny.gov/opd/publicNotices/notices.html>

Any comments on this program change to the State's approved Coastal Management Program should be submitted directly to the NOAA Office of Coastal Management on NOAA's Program Change website under File Number NY-2021-1 at: <https://coast.noaa.gov/czmprogramchange/#/public/home>

Written hard copy comments may be submitted to: Joelle Gore, Office for Coastal Management, National Oceanic and Atmospheric Administration, 1305 East-West Highway, Silver Spring, MD 20910

Comments will be accepted by OCM for three weeks (21 days) following the date of the publication of this notice on March 31, 2021.

Further information on this program change may be obtained from: Barbara Kendall, Office of Planning and Development, Department of State, 99 Washington Ave., Suite 1010, Albany, NY 12231-0001, barbara.kendall@dos.ny.gov

PUBLIC NOTICE

Department of State F-2020-0997

Date of Issuance – March 31, 2021

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program. The applicant's consistency certification and accompanying public information and data are available for inspection on the New York State Department of State's website at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0997.pdf>

In F-2020-0997, or the "Freeman Residential Dock", the applicant – Heath Freeman – proposes to construct a dock that consist of a 4' x 86' elevated fixed pier catwalk in an "L" arrangement. The proposed dock surface will be elevated 26" above MHW. The supporting pilings will consist of 8" diameter round pilings installed 8' on center. All pilings, girders, ledges and decking will be constructed with untreated lumber.

"The proposed project includes the construction of a fixed pier catwalk dock along the rock revetment shoreline along Lake Montauk. The proposed dock will provide riparian access rights for the property owner to access Lake Montauk and the water dependent activities on the Lake and Ocean." The project is located at 161 East Lake Drive in the Town of East Hampton, Suffolk County on Montauk Lake.

Any interested parties and/or agencies desiring to express their views concerning the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, April 15, 2021.

Comments should be addressed to: Consistency Review Unit, Department of State, Planning, Development and 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-2021-0173 (DA)

Date of Issuance – March 31, 2021

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 United States Coast Guard has determined that the proposed activity will be undertaken in a manner consistent to the maximum extent practicable with the enforceable policies of the New York State Coastal Management Program. The applicant's consistency determination and accompanying supporting information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue in Albany, New York.

Demolish the existing bulkhead, installing a new anchored steel sheet pile bulkhead (w/in 18" of the existing), and reconstructing the adjacent riprap revetment. Dock Site: Replace the floating docks and guide piles with new floating docks and guide piles of the same size and footprint. The location of the project is 12 Lighthouse Road, Village of Northport, Suffolk County, Huntington Bay.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/F-2021-0173_USCG_EatonsNeck_App

The proposed activity would be located within or has the potential to affect the following Special Management or Regulated Area(s): https://www.dos.ny.gov/opd/programs/consistency/Habitats/LongIsland/Sand_City_Eatons_Neck.pdf

Any interested parties and/or agencies desiring to express their views concerning the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, April 15, 2021.

Comments should be addressed to: Department of State, Office of Coastal, Local Government and Community Sustainability, One Commerce Plaza, 99 Washington Ave., Suite 1010, Albany, NY 12231, (518) 474-6000, Fax (518) 474-6572

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2021-1067

Date of Issuance – March 31, 2021

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-2020-1067, Shlomo Cohen proposes to construct a 3' x 24' aluminum ramp, (2) 6' x 20 floats, (2) 5' x 14' jet ski floats, a 2' x 3' access platform and a 16' x 16' four pile boat lift. The project site is located on George's Creek at 300 Dolphin Drive, Woodmere, NY 11598, Nassau County.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-1067Cohen.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 April 30, 2021.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
Uniform Code Variance/Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2021-0127: Matter of University at Albany, Liberty Terrace, 1400 Washington Avenue, Albany, NY 12222, for a variance concerning safety requirements, including communications. Involved is an existing building located at 1400 Washington Avenue, City of Albany, County of Albany, State of New York.

PUBLIC NOTICE

Department of State
Uniform Code Variance/Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2021-0134 In the matter of Timothy DeRuyscher, P.E. of Ran Fire Protection Engineering P.C., 1062 Central Avenue, Albany NY for a variance for code issues concerning the Watertown YMCA at the former, Woolworths Building, 146 Arsenal Street, City of Watertown, Jefferson County, State of New York.

EXECUTIVE ORDERS

Executive Order No. 168.46: 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 30, 2021; 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 twenty-eight of February in the year two thousand twenty-one.

BY THE GOVERNOR

/s/ Andrew M. Cuomo

/s/ Melissa DeRosa

Secretary to the Governor

Executive Order No. 198.14: Continuing the Declaration of Disaster Emergency in the Counties of Cayuga, Jefferson, Monroe, Niagara, Orleans, Oswego, St. Lawrence, and Wayne.

WHEREAS, pursuant to Executive Order 198, a disaster was declared within the counties of Cayuga, Jefferson, Monroe, Niagara, Orleans, Oswego, St. Lawrence, and Wayne due to extensive flooding, widespread erosion, and water damage that caused significant damage to homes and other residential structures, businesses, and public infrastructure;

WHEREAS, historic high water levels in Lake Ontario and the St. Lawrence River continue to be of concern as a cause of flooding, widespread erosion, and water damage, which continues to jeopardize infrastructure, coastline structures, natural barriers, and navigation; and

WHEREAS, the Resiliency and Economic Development Initiative Commission has identified high-priority projects that were urgently needed, and continued to be needed to protect homes, businesses, and critical infrastructure; to sustainably maintain safe navigation channels; and to address the immediate and long-term resiliency of communities along Lake Ontario and the St. Lawrence River.

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. 198 and all of its terms, conditions, directives, and temporary suspensions of identified provisions from the date that such disaster emergency was declared pursuant to Executive Order No. 198 through 198.13 until April 4, 2021, and will further includes the following suspensions/modifications:

- Section 8 of the Public Buildings Law shall be suspended, to the extent the Commissioner of General Services determines it necessary to authorize the award of contracts to open up navigation channels for public use on non-State property.
- In addition, the suspension of Section 9(2) and (4) of the Public Buildings Law is modified to allow the award of emergency contracts exceeding One Million Five Hundred Thousand Dollars.

(L.S.)

GIVEN under my hand and the Privy Seal of the State in the City of Albany this fifth day of March in the year two thousand twenty-one.

BY THE GOVERNOR

/s/ Andrew M. Cuomo

/s/ Melissa DeRosa

Secretary to the Governor

Executive Order No. 202.95: Continuing Temporary Suspension

and Modification of Laws Relating to the Disaster Emergency.

WHEREAS, on March 7, 2020, I issued Executive Order Number 202, declaring a State disaster emergency for the entire State of New York; and

WHEREAS, both travel-related cases and community contact transmission of COVID-19 have been documented in New York State and are expected to continue;

NOW, THEREFORE, I, ANDREW M. CUOMO, Governor of the State of New York, by virtue of the authority vested in me by Section 29-a of Article 2-B of the Executive Law to temporarily suspend or modify any statute, local law, ordinance, order, rule, or regulation, or parts thereof, of any agency during a State disaster emergency, if compliance with such statute, local law, ordinance, order, rule, or regulation would prevent, hinder, or delay action necessary to cope with the disaster emergency or if necessary to assist or aid in coping with such disaster, do hereby continue the suspensions and modifications of law and any directives, unless superseded, modified or otherwise expired, made by Executive Order 202 and each successor Executive Order to 202, for thirty days until March 24, 2021,

IN ADDITION, by virtue of the authority vested in me by Section 29-a of Article 2-B of the Executive Law to issue any directive during a disaster emergency necessary to cope with the disaster, I hereby issue the following directives for the period from the date of this Executive Order through March 24, 2021:

- A teacher employed by a P-12 school (public or non-public) or school district must report that they have received a COVID-19 vaccination to their employing school or school district upon request of the district for purposes of Department of Health reporting only. Nothing contained within this directive shall be read as requiring any teacher to receive the COVID-19 vaccination.
- Commencing Wednesday February 24, 2021 and every Friday thereafter, every school and school district shall report to the Department of Health, on a weekly basis, in a form and manner to be determined by the Department, the number of completed COVID-19 vaccinations reported in the prior week, as well as the number and percentage of teachers instructing students in-person during the prior week. Such weekly report shall include any other data elements as the Commissioner of Health determines to be appropriate to track in-person instruction in such schools and school districts.

(L.S.) GIVEN under my hand and the Privy Seal of the State in the City of Albany this twenty-second day of February the year two thousand twenty-one.

BY THE GOVERNOR
/S/ Andrew M. Cuomo
/s/ Melissa DeRosa
Secretary to the Governor

Executive Order No. 202.96: Continuing Temporary Suspension and Modification of Laws Relating to the Disaster Emergency.

WHEREAS, on March 7, 2020, I issued Executive Order Number 202, declaring a State disaster emergency for the entire State of New York; and

WHEREAS, both travel-related cases and community contact transmission of COVID-19 have been documented in New York State and are expected to continue;

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 find that a disaster continues to exist for which affected state agencies and local governments are unable to respond adequately. Therefore, pursuant to the authority vested in me by the Constitution of the State of New York and Section 28 of Article 2-B of the Executive Law, I hereby continue for thirty days the declaration of the State Disaster Emergency effective March 7, 2020, as set forth in Executive Order 202. This Executive order shall remain in effect through March 28, 2021;

IN ADDITION, by virtue of the authority vested in me by Section 29-a of Article 2-B of the Executive Law to temporarily suspend or modify any statute, local law, ordinance, order, rule, or regulation, or parts thereof, of any agency during a State disaster emergency, if compliance with such statute, local law, ordinance, order, rule, or regulation would prevent, hinder, or delay action necessary to cope with the disaster emergency or if necessary to assist or aid in coping with such disaster, do hereby continue the suspensions and modifications of law and any directives, unless superseded, modified or otherwise expired, made by Executive Order 202 and each successor Executive Order to 202, for thirty days through March 28, 2021.

IN ADDITION, by virtue of the authority vested in me by Section 925-a of the Real Property Tax Law to extend during a State disaster emergency the period for paying property taxes without interest or penalties upon request of the chief executive officer of an affected county, city, town, village or school district, I do hereby extend by twenty-one days the period for paying, without interest or penalty, property taxes that are due in the following localities that have requested such an extension: Town of Bedford, Westchester County; Town of New Castle, Westchester County;

IN ADDITION, by virtue of the authority vested in me by Section 29-a of Article 2-B of the Executive Law to issue any directive during a disaster emergency necessary to cope with the disaster, I hereby issue the following directives for the period from the date of this Executive Order through March 28, 2021:

- The directives contained within Executive Order 202.95 are hereby modified to repeal such directives and require every Local Health Department shall report the number of eligible P-12 teachers and the number of eligible P-12 school staff vaccinated to the Department of Health upon request, in a form and manner to be determined by the Department;
- The directive contained in Executive Order 202.5, as extended, that closed to the public all places of public amusement, whether indoors or outdoors, is hereby modified to provide that all indoor family entertainment centers and places of amusement shall be permitted to open to the public subject to adherence to state-issued guidance at 25% capacity on March 26, 2021. All outdoor amusement parks shall be permitted to open to the public subject to adherence to state-issued guidance at 33% capacity on April 9, 2021;
- The directive contained in Executive Order 202.70, as extended, that required certain movie theatres to remain closed, is hereby modified to provide that movie theatres in any location of the state shall be allowed to open effective March 5, 2021, at 25% capacity with up to 50 people maximum per screen, subject to strict adherence to Department of Health guidance;
- The directive contained in Executive Order 202.93, as continued, that allowed indoor food services and dining at 25% capacity in New York City beginning February 12, 2021, is hereby modified to allow indoor food services and dining at 35% capacity in New York City beginning February 26, 2021, provided that Department of Health guidance and any other applicable State-issued guidance is strictly adhered to.

(L.S.) GIVEN under my hand and the Privy Seal of the State in the City of Albany this twenty-sixth day of February the year two thousand twenty-one.

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: February 28, 2021

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Michael R Schmidt
Commissioner

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 02/28/2021
ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER		
Unemployment Insurance Funding Account	Key Bank	10,360,493.10
Occupational Training Act Funding Account	Key Bank	35,535.90
Unemployment Insurance Exchange Account	Key Bank	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(176,160,067.83)
General Checking	Key Bank	(1,138,863,945.26)
Direct Deposit Account	Wells Fargo	107,102.35
TOTAL		(195,446,045.78)
01000 - EXECUTIVE CHAMBER		
Executive Chamber Advance Account	Key Bank	No report received
01010 - DIVISION OF BUDGET		
Advance Account	Bank of America, N.A.	4,969.75
01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL		
Albany		
SLA Investigations Account	Key Bank	2,032.67
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	No report received
NY ISO Account	Key Bank	No report received
OGS Binghamton Office Bldg	Key Bank	No report received
SNY Office of General Services	JPMorgan Chase Bank, N.A.	No report received
State of New York OGS Escrow II	Key Bank	No report received
State of New York OGS Petty Cash	Key Bank	No report received
State of New York OGS Escrow	Key Bank	No report received
State of NY Office Of General Services	Key Bank	No report received
01060 - DIVISION OF STATE POLICE		
CNET Confidential Account	Key Bank	0.00
Div Headquarters - Petty Cash	Key Bank	1,831.85
Key Advantage Account	Key Bank	92,546.72
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	2,856,206.14
NYSP CTIU Confidential Fund	Key Bank	3,900.00
SIU Confidential Fund Account	Key Bank	8,556.05
Special Fund	Key Bank	50,107.83
State Police Receipts Account	Bank of America, N.A.	209,160.51
Troop A Batavia - Petty Cash	Bank of America, N.A.	1,000.00
Troop A Batavia-Confidential	Bank of America, N.A.	3,400.00
Troop B Confidential	Key Bank	6,100.00
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	1,800.00
Troop C Petty Cash	NBT Bank	1,000.00
Troop D Oneida - Confidential	Alliance Bank	89.93
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.	2,500.00
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	7,450.00
Troop G Petty Cash	Bank of America, N.A.	1,000.00
Troop K Petty Cash	Bank of Millbrook	1,000.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	1,788.99
Troop L Confidential Fund	Bank of America, N.A.	3,980.00
01070 - DIVISION OF MILITARY & NAVAL AFFAIRS		
Advance For Travel	Key Bank	13,371.82
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	7,419.03
01077 - OFFICE OF HOMELAND SECURITY		
Academy Of Fire Science	Chemung Canal Trust	No report received
01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	20,864.53
Revenue Account	JPMorgan Chase Bank, N.A.	162,251.35
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	7,630.07
NYS Flex Spending	Key Bank	3,286,731.96
State of New York LMC Petty Cash Account	Key Bank	1,940.00
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	1,911.25
01300 - ADIRONDACK PARK AGENCY		

General Fund	Community Bank	890.89
Petty Cash	Community Bank	3,899.20
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	145,890.00
Emergency Award Account	M&T Bank	0.00
Emergency Claims	Key Bank	13,500.00
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.	2,190.62
Fingerprint Fee Account	Bank of America, N.A.	3,722,454.50
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.	No report received
Advance for Travel Account	Key Bank	No report received
Alcohol Beverage	Bank of America, N.A.	No report received
Alcoholic Bev Control License	Wells Fargo Bank	No report received
Alcoholic Beverage Control License	M&T Bank	No report received
Alcoholic Beverage Tax Collections	Wells Fargo Bank	No report received
Assessments Bulk	JPMorgan Chase Bank, N.A.	No report received
Assessments Receivable	JPMorgan Chase Bank, N.A.	No report received
Assessments Receivable (EFT)	Wells Fargo Bank	No report received
Boxing And Wrestling Tax	Bank of America, N.A.	No report received
Check 21 Corporation Tax	JPMorgan Chase Bank, N.A.	No report received
Check 21 Estate Tax	JPMorgan Chase Bank, N.A.	No report received
Check 21 Highway Use	JPMorgan Chase Bank, N.A.	No report received
Check 21 PIT	JPMorgan Chase Bank, N.A.	No report received
Check 21 Real Estate Transfer	JPMorgan Chase Bank, N.A.	No report received
Check Sales Tax	JPMorgan Chase Bank, N.A.	No report received
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	No report received
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	No report received
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	No report received
Cigarette Tax Tobacco Products	Bank of America, N.A.	No report received
Congestion Surcharge	Wells Fargo Bank	No report received
Corporation Tax	Wells Fargo Bank	No report received
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	No report received
Educational Chartable Account	Wells Fargo Bank	No report received
Employer Compensation Expense	Wells Fargo Bank	No report received
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	No report received
ERS Petty Cash Acct	Key Bank	No report received
Estimated Tax	JPMorgan Chase Bank, N.A.	No report received
Gift Tax	Bank of America, N.A.	No report received
Hazardous Waste	Key Bank	No report received
Highway Use - Permits & Reg.	Bank of America, N.A.	No report received
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	No report received
Hudson River-Black River	Bank of America, N.A.	No report received
Hudson River-Black River	Community Bank	No report received
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	No report received
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	No report received
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	No report received
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	No report received
IFTA-Fuel Use	Bank of America, N.A.	No report received
Income Tax - LLC	JPMorgan Chase Bank, N.A.	No report received
Justice Court	Key Bank	No report received
Mac #847 NYS T&F Pari Mutuel	Key Bank	No report received
Mac #848 NYS T&F Off Track	Key Bank	No report received
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	No report received
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	No report received
Medical Marijuana Tax Collections	Bank of America, N.A.	No report received
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	No report received
Ogdensburg Bridge & Port	Community Bank	No report received
Opioid Excise Tax	Wells Fargo Bank	No report received
Personal Income Tax	Wells Fargo Bank	No report received
Petroleum Business Tax (EFT)	Wells Fargo Bank	No report received
Petroleum Products Tax	Bank of America, N.A.	No report received
Petty Cash Account	Key Bank	No report received
PIT Bulk	JPMorgan Chase Bank, N.A.	No report received
Port Of Oswego	Key Bank	No report received
Promptax - MCTMT	Wells Fargo Bank	No report received

Promptax - Petroleum Business Tax	Wells Fargo Bank	No report received
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	No report received
Promptax - Withholding	Wells Fargo Bank	No report received
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	No report received
Real Estate Transfer Tax	Key Bank	No report received
Revenue Holding	First Niagara Bank	No report received
Sales Tax	JPMorgan Chase Bank, N.A.	No report received
Sales Tax	Wells Fargo Bank	No report received
SUNY Concentration	First Niagara Bank	No report received
TNC Assessment (EFT)	Wells Fargo Bank	No report received
Troy Debt Service Reserve Fund	Bank of America, N.A.	No report received
Uncashed Winning Tickets	Bank of America, N.A.	No report received
Unclaimed Funds	JPMorgan Chase Bank, N.A.	No report received
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	No report received
Withholding	Wells Fargo Bank	No report received
Withholding Tax	JPMorgan Chase Bank, N.A.	No report received
Cash Advance Accounts		
Advance For Travel Account	Key Bank	0.00
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.	549.72
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	3,273,696.76
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	13.38
Employees Retirement System - General	JPMorgan Chase Bank, N.A.	0.00
Employees Retirement System - Pension	JPMorgan Chase Bank, N.A.	523.65
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.	No report received
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	1.13
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	4,909,530.92
National Global Settlement	JPMorgan Chase Bank, N.A.	16,237,072.18
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	39,485.00
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	3,701.61
04020 - NYS ASSEMBLY		
Advance For Travel	Bank of America, N.A.	3,645.00
Petty Cash Account Dist Off	Bank of America, N.A.	19,824.63
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	4,187.53
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.	1,105,185.00

Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	7,315,495.00
Finger Print Account	JPMorgan Chase Bank, N.A.	75.00
05005 - OCA OFFICE OF BUDGET & FINANCE		
Petty Cash Account	Key Bank	2,500.00
05008 - LAWYERS FUND FOR CLIENT PROTECTION		
Client Security Fund - Bail	Key Bank	1,472,708.88
Lawyers Fund For Client Protection - Bail	Key Bank	702.11
Petty Cash	Key Bank	4,072.17
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	15.07
Clerk Of The Court Of Appeals	Key Bank	4,295.00
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	57,300.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	65,400.00
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	84,155.00
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	28,703.75
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	11,295.00
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	4,885.34
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court Bail	Wells Fargo Bank	4,000.49
Glen Cove City Court Revenue	Wells Fargo Bank	6,493.75
Long Beach City Court		
Long Beach City Court Revenue	Wells Fargo Bank	31,278.32
Long Beach Court Bail	Wells Fargo Bank	41,674.88
Nassau County Court		
Nassau County Assessment	Wells Fargo Bank	43,548.40
Nassau District Court - Criminal		
Nassau Dist Ct Criminal Revenue	Wells Fargo Bank	89,275.95
Nassau District Court-Civil		
Nassau County Dist Ct- Civil Revenue	Wells Fargo Bank	50,366.77
Nassau Surrogate		
Nassau County Surrogate Court-Revenue	Wells Fargo Bank	133,508.68
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
10th Judicial District Suffolk County Admin		
Suffolk County Court -Court Fund	People's United Bank	24,194.34
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	199,903.50
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.	567,810.04
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	16,948.12
Kings Civil Court- Civil		
Kings Civil Court- Civil Revenue	JPMorgan Chase Bank, N.A.	660,056.60
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	520,159.94
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	241,176.49
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	69,168.80
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	57,552.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	11,664.00
Kings County Criminal Court		
Kings Criminal Court	Citibank	5,127.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	48,570.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	9,009.68
Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	18,701.00

Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	8,547.34
Richmond County Criminal Court		
Richard Criminal Court-City Funds	JPMorgan Chase Bank, N.A.	38,453.00
Richmond Criminal Court-State Funds	JPMorgan Chase Bank, N.A.	5,529.00
05231 - SUPREME COURT - BRONX COUNTY		
Bronx County Supreme - NYS OCA	JPMorgan Chase Bank, N.A.	3,320.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County-Revenue	JPMorgan Chase Bank, N.A.	3,742.30
05240 - SUPREME COURT - QUEENS COUNTY		
Queens Co Supreme		
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	8,153.34
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	854,534.25
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	536,194.14
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	994,868.00
05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	1,471,950.22
05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	5,348,494.92
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	78.93
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	154,938.25
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	95,851.75
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	525,850.34
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	116,945.75
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	19,840.50
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court - (Civil)		
Albany City Civil - Revenue	Wells Fargo Bank	3,519.47
Albany City Court - (Crim-Bail)		
Albany City Criminal - Bail	Wells Fargo Bank	11,148.12
Albany City Court - (Traffic)		
Albany City Traffic-Revenue	Wells Fargo Bank	45,656.00
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	7,839.00
Albany City Court - Traffic-Bail		
Albany City Traffic - Bail	Wells Fargo Bank	1,300.16
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	10,852.00
Albany Police Court		
Albany Police Court Bail Account	Key Bank	0.00
Cohoes City Court		
Cohoes City Court Bail	Key Bank	1,651.80
Cohoes City Court Fees/Fines Account	Key Bank	4,412.00
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	2,732.00
Greene Surrogate		
Greene Surrogate-Revenue	Wells Fargo Bank	0.00
Hudson City Court		
Hudson City Bail	Wells Fargo Bank	26,309.13
Hudson City Revenue	Wells Fargo Bank	31,977.50
Kingston City Court		
Kingston City Court Bail	Wells Fargo Bank	6.00
Kingston City Court Revenue	Wells Fargo Bank	15,738.75
Rensselaer City Court		
Rensselaer City Court - Bail	Wells Fargo Bank	5,295.65
Rensselaer City Court - Revenue	Wells Fargo Bank	2,257.50

Rensselaer City Court Bail Acct	Key Bank	0.00
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	24,131.09
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	4,302.00
Sullivan Surrogate		
Sullivan Surrogate-Revenue	Wells Fargo Bank	1,877.50
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	27,032.21
Troy Police Court Bail Account	Bank of America, N.A.	9,639.28
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	3,368.34
Watervliet City Court		
Watervliet City Court - Bail	Wells Fargo Bank	41,825.17
Watervliet City Court - Revenue	Wells Fargo Bank	11,802.59
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	Key Bank	24,756.24
Amsterdam City Court - Revenue	Key Bank	11,770.34
Clinton County Surrogates		
Clinton County Surrogates - Revenue	NBT Bank	1,447.25
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	2,187.75
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	1,080.84
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	3,325.00
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	11,229.98
Glens Falls City Court Bail Acct	Glens Falls National	6,562.27
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	24,807.81
Gloversville City Court Revenue	NBT Bank	6,291.82
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	673.00
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	3,102.02
Johnstown City Court Fines/Fees - Revenue	Key Bank	5,553.50
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	4,150.39
Mechanicville City Ct Revenue Acct	TD Bank	5,334.82
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	742.50
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	8,075.00
Ogdensburg City Court Revenue	Community Bank	4,311.96
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	5,824.39
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	7,750.32
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	6,891.00
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	12,030.52
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	14,249.00
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	51,261.72
Schenectady City Court Revenue	Bank of America, N.A.	37,816.31
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	7,213.25
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	2,958.34
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	1,896.34
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	3,448.34
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	7,661.05
Fulton City Court Revenue	Key Bank	2,587.34
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	1,929.34
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	5,570.54
Lewis County		

Lewis County Clerk	Community Bank	875.00
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	633.00
Little Falls City Court		
Little Falls City Court Bail	M&T Bank	1,000.00
Little Falls City Court Revenue	M&T Bank	2,313.99
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	5,216.50
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	28,629.00
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	37,756.50
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	24,103.24
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	10,897.84
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	4,563.99
Rome City Court		
City Court Of Rome Bail Account - Bail	NBT Bank	970.00
Rome City Court - Revenue	NBT Bank	14,395.85
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	NBT Bank	0.00
Sherrill City Court Fees - Revenue	NBT Bank	1,011.34
Syracuse City Court		
Syracuse City Court - Bail	NBT Bank	253,143.01
Syracuse City Court - Fees - Revenue	NBT Bank	20,393.10
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	68,156.38
Utica City Court Revenue Account	Key Bank	21,835.62
Watertown City Court		
Watertown City Court Bail	Key Bank	31,030.44
Watertown City Court Fees & Fines - Revenue	Key Bank	6,379.20
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	43,642.00
Binghamton City Court Revenue	M&T Bank	16,300.37
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	6,803.00
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	4,099.34
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	782.25
Cortland City Court		
Court City Court Bail	NBT Bank	13,969.22
Court City Court- Revenue	NBT Bank	8,863.00
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	1,424.00
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	1,229.50
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	9,310.57
Elmira City Court Bail	Chemung Canal Trust	33,252.50
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	8,643.00
Ithaca City Court Revenue	Tompkins County Trust	3,746.52
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	5,193.09
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	20,302.00
Norwich City Court Revenue Acct	NBT Bank	3,056.20
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	8,012.00
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	8,786.08
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	3,665.74
Oneonta City Court Bail Account	Community Bank	3,022.00
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	615.50
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	544.50
Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	632.50
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	2,579.68

05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION

Auburn City Court		
Auburn City Court Bail Acct	Key Bank	32,613.55
Auburn City Court Fees & Fines - Revenue	Key Bank	9,838.85
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	21,502.50
Canandaigua City Court Revenue	Canandaigua National Bank	8,717.94
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	1,311.25
Corning City Court		
Corning City Court - Bail	Wells Fargo Bank	8,414.03
Corning City Court - Revenue	Wells Fargo Bank	5,249.00
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	15,889.82
Geneva City Court Revenue Account	Wells Fargo Bank	7,966.34
Hornell City Court		
Hornell City Court Bail Account	Community Bank	9,765.08
Hornell City Court Revenue	Community Bank	2,643.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	4,588.50
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	40,024.00
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	3,669.00
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	481,855.70
Rochester City Revenue	M&T Bank	25,929.55
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	2,129.25
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	1,691.00
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	3,312.25
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	2,447.00

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		
ST of NY Office of The State Comptroller Batavia City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Batavia City Court REVENUE	Wells Fargo Bank	No report received
BUFFALO CITY COURT		
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		
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		
St of NY Office of the State Comptroller Jamestown City Court Bail Account	Wells Fargo Bank	No report received
St of NY Office of the State Comptroller Jamestown City Court Revenue Account	Wells Fargo Bank	No report received
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
St of NY Office of the State Comptroller Lockport City Court Bail Account	Wells Fargo Bank	No report received
St of NY Office of the State Comptroller Lockport City Court Revenue Account	Wells Fargo Bank	No report received
Niagara City Court		
Niagara Falls Bail Bond Account	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		
ST of NY Office of The State Comptroller No. Tonawanda City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller No. Tonawanda Revenue	Wells Fargo Bank	No report received
Olean City Court		
ST of NY Office of The State Comptroller Olean City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Olean City Court Revenue	Wells Fargo 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
St of NY Office of the State Comptroller Salamanca City Court Bail Account	Wells Fargo Bank	No report received
St of NY Office of the State Comptroller Salamanca City Court Revenue Account	Wells Fargo 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
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.	38,205.58
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	1,450.00
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	41,348.34
Middletown City Court		
Middletown City Bail Escrow - Bail	Wells Fargo Bank	85,160.27
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	0.00
Middletown City Court Revenue	Wells Fargo Bank	20,249.18
Mt Vernon City Court		
Mt Vernon City Court State Bail	Wells Fargo Bank	127,984.61
Mt Vernon City Court State Revenue	Wells Fargo Bank	13,519.39
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	271,019.37
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	6,053.38
Newburgh City Court		
Newburgh Bail Account	Wells Fargo Bank	12,914.12
Newburgh City Court Revenue	Wells Fargo Bank	10,481.37
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	7,752.75
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	6,555.04
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	34,537.43
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	10,210.45
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	5,796.00
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	14,983.86
Poughkeepsie City Court -Revenue	Wells Fargo Bank	19,542.01
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	13,150.50
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	12,937.59
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	26.40
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	8,195.00
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	Wells Fargo Bank	57,824.25
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	0.00
White Plains City Court Bail Account	Wells Fargo Bank	56,278.74
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	0.00
White Plains City Court Vehicle And Traffic Acct - Revenue	Wells Fargo Bank	38,354.18
Yonkers City Court		
Yonkers City Bail Account - Bail	Wells Fargo Bank	376,443.18
Yonkers City Revenue Account - Revenue	Wells Fargo Bank	53,613.64
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	59,941.73
Agency Advance Account	Key Bank	10,000.00
Agriculture Producers Sec Fund	Key Bank	20,512.68
Animal Population Control Account	Key Bank	26,085.17

Apple Marketing Order Fund	Key Bank	0.00
Consumer Food Industry Account	Key Bank	124,847.95
Dairy Industry Services Account	Key Bank	8,565.80
Dairy Promotion Order Fund	Key Bank	0.00
Milk Producers Security Fund	Key Bank	28,616.57
NYS Farmers Market Program	Key Bank	432,692.24
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	138.91
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	2,299.49
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	319.40
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	15,961.41
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
Weights & Measures Account	Key Bank	17,665.18
NYS Dept Agriculture & Markets		
Apple Marketing Order Fund	Key Bank	0.00
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products	Key Bank	39,381.77
State Fair		
NYS Fair Operating Account	Solvay Bank	10,484.08
NYS Fair Special Account	Solvay Bank	56,231.36
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.	1,013.00
Examination Application Fees Account	Key Bank	792.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	42,573,375.94
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	1,405.00
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	494,079.68
Conservation Petty Cash Account	M&T Bank	30,000.00
DEC/Exchange Account	M&T Bank	15,037.98
ENCON License Issuing Office	M&T Bank	2,082.72
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,205.49
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,921.20
Hunting Trapping & Fishing Account	M&T Bank	5,382.73
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	156,258.28
Lockbox Account	Wells Fargo Bank	20,968.89
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,329.16
NY Conservationist	Bank of America, N.A.	12,152.48
Program Fee	JPMorgan Chase Bank, N.A.	27,159.48
Revenue Account	Bank of America, N.A.	2,487,276.48
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,265,874.85
State of New York	Key Bank	69,313.10
Region 1		
Marine Permit Account	People's United Bank	53,667.10
Region 3		
Beaverkill & Mongaup Pond	Jeff Bank	0.00
Revenue Region 3 Account	Bank of America, N.A.	5.00
Region 4		
Bear Spring Revenue Account	Wayne Bank	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	438.65
Land & Forest Region SW	TD Bank	20,159.93
NYS Conservation	Glens Falls National	0.00
Recreation (Warrensburg)	City National Bank & Trust	313.91
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	105,552.62
Tree Nursery	Bank of America, N.A.	137,975.02
Region 6		
Fish & Wildlife Watertown	Key Bank	126.92
Lands & Forest District #7	Community Bank	25.00
Lands & Forests District #6	Community Bank	5,452.50
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	1,707.36
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	8,131.43
General Cash Fund	Five Star Bank	832.41

Inmate Occupational Therapy Fund	Five Star Bank	80,140.63
Inmate Savings Account	Five Star Bank	255,416.50
Spendable Fund	Five Star Bank	553,721.99
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Key Bank	3,680.56
Certificate of Deposit	Bank of America, N.A.	15,000.00
Certificate of Deposit	Bank of America, N.A.	90,000.00
Inmate Occupational Therapy Fund	Key Bank	24,076.52
Inmate Spendable Account	Key Bank	303,781.56
Inmate Spendable Savings CD	Key Bank	102,652.92
Misc Revenue	Key Bank	59,478.21
10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	13,000.00
Employee Benefit Fund	Key Bank	9,716.08
General Fund	Key Bank	1,481.16
Inmate Funds	Key Bank	120,300.20
Inmate Funds Money Market Account	Key Bank	819,448.46
Inmate Occupational Therapy Acct	Key Bank	81,160.01
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	3,000.00
Inmate Occupational Therapy Fund	Key Bank	5,972.60
Inmate Spendable Funds	Key Bank	30,219.51
Miscellaneous Receipts	Key Bank	1,008.20
10040 - GREAT MEADOW CORRECTIONAL FACILITY		
Certificate of Deposit	Glens Falls National	100,000.00
Certificate of Deposit	Glens Falls National	150,000.00
Certificate of Deposit	Glens Falls National	25,000.00
Facility Advance	Key Bank	5,543.03
General Fund	Key Bank	0.00
Inmate Fund	Key Bank	301,157.30
Inmate Fund Savings Account	Glens Falls National	52,500.00
Miscellaneous Account	Key Bank	11,263.71
Occupational Therapy	Key Bank	40,834.85
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	2,687.32
Employee Benefits	M&T Bank	9,197.72
Inmate Spending Account	M&T Bank	543,581.96
Inmates Account	M&T Bank	463,128.91
Misc Receipts	M&T Bank	16,210.12
Occupational Therapy Account	M&T Bank	43,154.82
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,550.00
Employee Benefit	Key Bank	1,938.67
Inmate Occupational Therapy Fund	Key Bank	29,330.60
Inmate Savings Account	Key Bank	88,192.79
Inmates Fund Account	Key Bank	81,464.09
Misc. Receipts	Key Bank	16,481.79
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	653.40
General Fund	Key Bank	16,888.10
Inmates Money Market	Key Bank	287,835.83
Inmates Now Checking	Key Bank	660,300.90
Occupational Therapy Fund	Key Bank	127,550.90
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	1,862.03
Employee Benefit Fund	Bank of America, N.A.	13,162.52
Inmate Funds	Bank of America, N.A.	87,375.32
Inmate Funds Savings	Bank of America, N.A.	154,380.78
Misc Receipts	Bank of America, N.A.	8,880.70
Occupational Therapy	Bank of America, N.A.	22,807.85
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	1,909.67
Employee Benefit Fund	Sterling Bank	16,722.89
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	481,016.98
Inmate Occupational Therapy Account	Sterling Bank	33,781.71
Misc. Receipts	Sterling Bank	5,979.14

10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER

Agency Advance Account
Employee Benefit Fund
Inmate CD Account
Inmates Fund
Miscellaneous Receipts
Occupational Therapy Fund

Chemung Canal Trust 2,516.57
Chemung Canal Trust 29,818.42
M&T Bank 213,900.35
Chemung Canal Trust 561,553.50
Chemung Canal Trust 660.26
Chemung Canal Trust 33,604.73

10120 - BEDFORD HILLS CORRECTIONAL FACILITY

Advance Account
Employee Benefit Fund
Inmate Funds
Inmate Funds CD
Inmate Funds Money Market
Misc. Receipts
Occupational Therapy

JPMorgan Chase Bank, N.A. 4,671.83
JPMorgan Chase Bank, N.A. 8,962.71
JPMorgan Chase Bank, N.A. 135,209.56
JPMorgan Chase Bank, N.A. 90,000.00
JPMorgan Chase Bank, N.A. 23,294.98
JPMorgan Chase Bank, N.A. 361.00
JPMorgan Chase Bank, N.A. 69,558.85

10130 - COXSACKIE CORRECTIONAL FACILITY

Agency Advance Account
Employee Benefits Fund
Inmates Fund
Inmates Fund Savings Acct
Misc. Revenue
Money Market Acct
Occupational Therapy Acct

National Bank of Cocksackie 803.24
National Bank of Cocksackie 31,227.22
National Bank of Cocksackie 164,323.93
National Bank of Cocksackie 186,104.17
National Bank of Cocksackie 30.20
National Bank of Cocksackie No report received
National Bank of Cocksackie 54,506.34

10140 - WOODBOURNE CORRECTIONAL FACILITY

CD - Inmate Funds
CD - Inmate Funds
WCF Agency Advance
WCF General Fund
WCF Inmate Fund
WCF Occupational Therapy Fund

First National Bank of Jeffersonville 190,000.00
First National Bank of Jeffersonville 50,000.00
Jeff Bank 1,339.11
Jeff Bank 15,981.99
Jeff Bank 234,280.71
Jeff Bank 40,275.23

10160 - DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION

Agency Advance Account
Employee Benefit Fund
Inmate Escrow Account
Misc. Receipts Account
Special Account

Key Bank 23,679.53
Key Bank 16,183.60
Key Bank 460,638.46
Key Bank 45,203.10
Key Bank 1,125.00

10170 - QUEENSBORO CORRECTIONAL FACILITY

Agency Advance Account
Employee Benefit Fund
Inmate Funds Account
Miscellaneous Receipts Account
Occupational Therapy Fund
Savings Account

JPMorgan Chase Bank, N.A. 7,753.87
JPMorgan Chase Bank, N.A. 8,383.26
JPMorgan Chase Bank, N.A. 203,288.07
JPMorgan Chase Bank, N.A. 1,102.56
JPMorgan Chase Bank, N.A. 1,529.28
JPMorgan Chase Bank, N.A. 15,648.52

10230 - ADIRONDACK CORRECTIONAL FACILITY

ADK QWL
Agency Advance
Employee Benefit Fund
General Fund
Inmate Funds
Inmate Occupational Therapy Fund

Community Bank 7,775.12
Community Bank 785.91
Community Bank 5,383.65
Community Bank 551.50
Community Bank 44,601.83
Community Bank 971.23

10240 - DOWNSTATE CORRECTIONAL FACILITY

Agency Advance
Employee Recreational Funds
Inmate Fund
Inmates Funds Savings
Misc. Receipts
Occupational Therapy

JPMorgan Chase Bank, N.A. 439.03
JPMorgan Chase Bank, N.A. 17,210.17
JPMorgan Chase Bank, N.A. 429,088.40
JPMorgan Chase Bank, N.A. 80,471.39
JPMorgan Chase Bank, N.A. 14,881.79
JPMorgan Chase Bank, N.A. 70,460.62

10250 - TACONIC CORRECTIONAL FACILITY

Employee Benefit Fund
Inmate Funds
Misc. Revenue
Money Market
Occupational Therapy Fund
Taconic Advance Account

JPMorgan Chase Bank, N.A. 2,028.90
JPMorgan Chase Bank, N.A. 65,845.04
JPMorgan Chase Bank, N.A. 820.51
JPMorgan Chase Bank, N.A. 30,991.73
JPMorgan Chase Bank, N.A. 17,894.54
JPMorgan Chase Bank, N.A. 2,958.18

10270 - HUDSON CORRECTIONAL FACILITY

Advance Account
Employee Benefit Fund Account
Inmate Funds Account
Inmate Key Advantage Account
Inmate Occupational Therapy Account
Miscellaneous Receipts Account

Key Bank 3,914.56
Key Bank 5,392.43
Key Bank 43,768.11
Key Bank 50,360.43
Key Bank 6,758.76
Key Bank 4,621.39

10290 - OTISVILLE CORRECTIONAL FACILITY

Cash Advance
General Fund

Jeff Bank 854.58
Jeff Bank 3,495.52

Inmate Funds	Jeff Bank	215,207.45
Inmate Occupational Therapy	Jeff Bank	43,977.89
Inmate Savings	Jeff Bank	51,371.96
Inmate Savings CD	Hornetown Bank	78,756.92
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	1,623.45
Employee Recreation Fund	M&T Bank	1,245.84
Inmate Deposit Account	M&T Bank	26,551.93
Misc Fees	M&T Bank	2,556.76
Work Release Advance Account	M&T Bank	7,183.69
10320 - EDGEcombe CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	596.79
Employee Benefit Account	JPMorgan Chase Bank, N.A.	2,729.77
Inmate Cash Account	JPMorgan Chase Bank, N.A.	23,420.09
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	0.00
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	1,606.51
Work Release Account	JPMorgan Chase Bank, N.A.	No report received
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	No report received
EBF	Community Bank	No report received
Inmate Fund	Community Bank	No report received
Inmate Savings	Community Bank	No report received
Misc. Receipts	Community Bank	No report received
Occupational Therapy	Community Bank	No report received
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,050.01
EBF Checking	Five Star Bank	42,526.18
EBF Savings	Five Star Bank	30,845.44
Inmate Savings	Five Star Bank	257,957.15
Inmate Spendable	Five Star Bank	260,995.10
Misc Receipts	Five Star Bank	1,182.22
Occupational Therapy	Five Star Bank	43,150.81
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,489.52
Employee Benefit Fund Checking	Bank of America, N.A.	33,914.96
Inmate Funds Checking	Key Bank	214,464.49
Inmate Funds Savings	Key Bank	314,493.57
Miscellaneous Revenue	Key Bank	0.00
Occupational Therapy	Key Bank	21,667.81
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	3,809.34
Employee Benefit Account	Alden State Bank	21,744.97
Inmate Savings	Alden State Bank	197,344.28
Inmates Funds	Alden State Bank	212,022.95
Misc. Receipts	Alden State Bank	6,101.77
Occupational Therapy	Alden State Bank	33,887.70
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		
Office of Nutritional Services		
Miscellaneous Receipts	Key Bank	No report received
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Community Bank	2,275.82
Employee Benefit Fund	Community Bank	217.07
Inmate Funds	Community Bank	90,615.82
Miscellaneous Revenue	Community Bank	0.00
Occupational Therapy	Community Bank	11,852.82
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,896.52
Employee Commission Account	Five Star Bank	14,183.13
Inmate Funds Account	Five Star Bank	181,548.58
Inmate Funds Account - Savings	Five Star Bank	108,065.35
Miscellaneous Receipts Account	Five Star Bank	1,287.65
Occupational Therapy Account	Five Star Bank	13,311.51
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	4,850.00
Employee Activities	Community Bank	41,517.68
Inmate Fund Checking	Community Bank	277,151.67
Inmate Savings	Community Bank	130,567.19
Miscellaneous Revenue	Community Bank	8,750.37
Occupational Therapy	Community Bank	12,447.58
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,596.96
Employee Benefit Fund	Bank of America, N.A.	38,684.94
Inmate Funds	Key Bank	219,421.45
Inmate Savings	Key Bank	198,759.65

Misc. Revenue	Key Bank	1,064.10
Occupational Therapy	Key Bank	34,674.50
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	3,825.71
Employee Benefit Fund Account	Bank of America, N.A.	21,852.59
Inmate Fund Account	Key Bank	88,165.55
Misc receipts Acct	Key Bank	0.00
NYS DOCS Marcy CORR Facility	Key Bank	206,822.56
Occupational Therapy fund Acct	Key Bank	39,157.92
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	3,568.32
Moriah Shock Incarceration Occ Therapy	Glens Falls National	2,816.85
Moriah Shock Misc Receipts	Glens Falls National	0.00
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	29,457.71
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,735.22
Employee Benefit Account	Key Bank	17,275.58
Inmate Funds	Key Bank	187,762.31
Inmate Occupational Therapy	Key Bank	15,113.95
Misc. Receipts	Key Bank	3,687.13
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	3,663.66
Employees Vending Benefit	NBT Bank	8,287.51
Inmates Funds	NBT Bank	62,663.07
Misc Revenues General Fund	NBT Bank	260.76
Occupational Therapy	NBT Bank	4,797.07
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	1,669.25
Cert Of Deposit	First National Bank of Groton	87,529.24
Employee Benefit Fund	First National Bank of Groton	5,246.57
Inmate Occupational Therapy Account	First National Bank of Groton	30,780.97
Inmate Spendable	First National Bank of Groton	195,176.53
Misc Receipts	First National Bank of Groton	551.25
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,862.91
Employee Benefit Fund	Key Bank	8,780.43
Inmate Spendable Funds	Key Bank	74,156.32
Miscellaneous Receipts	Key Bank	1,073.68
Occupational Therapy	Key Bank	12,260.62
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,282.06
Inmate Accounts	Key Bank	68,533.93
Inmate Savings Account	Key Bank	105,649.17
Miscellaneous Receipts Account	Key Bank	10,755.74
Occupational Therapy	Key Bank	15,807.83
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,900.00
Employee Benefit Fund	Community Bank	41,979.82
Inmate Occupation Therapy Acct	Community Bank	31,103.66
Inmate Savings	Community Bank	101,750.01
Inmate Spendable Account	Community Bank	142,252.47
Miscellaneous Receipts Account	Community Bank	4,957.30
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	3,700.00
Employee Benefit Fund	Community Bank	13,681.36
Inmate Funds	Community Bank	48,777.31
Inmate Funds - Sav	Community Bank	84,665.65
Miscellaneous Revenue	Community Bank	586.92
Occupational Therapy	Community Bank	714.50
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	0.00
Agency Advance	M&T Bank	1,600.00
Employee Benefit Fund	Bank of America, N.A.	0.00
Employee Benefit Fund	M&T Bank	7,239.10
Inmate Fund	Bank of America, N.A.	0.00
Inmate Fund	M&T Bank	142,616.65
Inmate Funds Savings	Bank of America, N.A.	0.00
Inmate Funds Savings	M&T Bank	12,307.71
Misc Receipts	M&T Bank	277.08
Misc. Receipts	Bank of America, N.A.	0.00
Occupational Therapy	Bank of America, N.A.	0.00

Occupational Therapy	M&T Bank	3,074.53
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	521.14
Employee Benefit Fund	Chemung Canal Trust	14,927.44
Inmate Funds	Chemung Canal Trust	106,790.06
Inmate Funds Account	Chemung Canal Trust	41,613.08
Misc. Receipts Account	Chemung Canal Trust	238.45
Occupational Therapy Account	Chemung Canal Trust	26,220.86
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	2,250.00
Employee Benefit Fund	Bank of America, N.A.	11,494.13
Inmate Funds	Bank of America, N.A.	114,500.82
Inmate Savings	Bank of America, N.A.	108,307.47
Miscellaneous Receipts	Bank of America, N.A.	15,591.59
Occupational Therapy	Bank of America, N.A.	16,331.22
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	No report received
EBF Account	Key Bank	No report received
General Account	Key Bank	No report received
Inmate Account	Key Bank	No report received
Inmate Funds Account Certificate Of Deposit	Glens Falls National	No report received
Inmate Savings Account	Key Bank	No report received
Occupational Therapy Account	Key Bank	No report received
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	6,300.00
Employee Benefit Fund	Five Star Bank	13,431.69
Inmate Occupational Therapy	Five Star Bank	29,115.73
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
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	52,091.31
Inmate Spendable	Five Star Bank	257,742.37
Misc. Receipts Account	Five Star Bank	8,117.08
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	2,000.00
Employee Benefit Fund	National Bank of Coxsackie	22,473.71
Inmate Accounts	National Bank of Coxsackie	126,457.05
Inmate Savings	National Bank of Coxsackie	248,837.11
Misc. Receipts	National Bank of Coxsackie	0.50
Occupational Therapy	National Bank of Coxsackie	49,450.95
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	1,300.00
Inmate Funds	Key Bank	150,390.23
Inmate Funds Account	Key Bank	123,603.25
Misc. Receipts Account	Key Bank	4,854.39
Occupational Therapy Acct	Key Bank	33,406.84
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Key Bank	2,350.00
Inmate Checking	Key Bank	151,715.01
Inmate Savings	Key Bank	100,504.32
Miscellaneous	Key Bank	7,676.68
Occupational Therapy	Key Bank	29,938.21
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	1,266.74
Inmate Occupational Therapy	Community Bank	17,713.48
Inmate Savings	Community Bank	150,010.66
Inmate Spendable Fund	Community Bank	88,776.43
Misc Receipts	Community Bank	12,454.21
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	961.15
Employee Benefit Fund	Community Bank	16,462.00
Inmate Funds	Community Bank	60,001.34
Inmate Occupational Therapy	Community Bank	10,084.85
Misc Receipts	Community Bank	3,158.71
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	No report received
Facility Committees	Key Bank	No report received
Inmate Fund	Key Bank	No report received
Inmate Occupational Therapy Fund	Key Bank	No report received
Miscellaneous Account	Key Bank	No report received
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	645.00
Employee Benefit Fund	Bank of America, N.A.	8,813.83
Inmate Funds	Key Bank	132,828.51

Inmate Interest Bearing Account	Key Bank	15,000.24
Misc Receipts	Key Bank	89.88
Occupational Therapy	Key Bank	24,912.12
10890 - CORRECTIONS AND COMMUNITY SUPERVISION		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	No report received
Parole Supervision Fee	Wells Fargo Bank	No report received
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	3,970.00
Div of Ind Revenue Acct	Key Bank	249,638.38
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		
Federal Student Loan Suspense	US Bank	142,616.46
NYS HESC-Federal Student Loan Suspense	Key Bank	78,432.15
Operating	Key Bank	539,810.89
Operating	US Bank	700,065.53
Retail Lockbox	US Bank	151,946.97
TAP	Key Bank	15,938.42
Wholesale Lockbox	US Bank	1,647,794.88
11260 - BATAVIA SCHOOL FOR THE BLIND		
Misc. Receipts	M&T Bank	1,521.29
Petty Cash	M&T Bank	3,188.18
Student Spending Account	Bank of America, N.A.	8,488.23
11270 - ROME SCHOOL FOR THE DEAF		
Miscellaneous Receipts	NBT Bank	16,219.76
Petty Cash	NBT Bank	2,000.00
Student Activity Fund	NBT Bank	14,878.12
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	5,337,208.12
Endowment - Special Account	Janney Montgomery Scott LLC	No report received
Trust's Board Project Account	Key Bank	188,493.54
12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION		
CSA Rebate Account	Bank of America, N.A.	1,014.70
DOH EPIC Lockbox Acct	Wells Fargo Bank	15,550.53
DOH Main Cash Advance	Key Bank	17,195.11
Early Intervention - Municipal Deposits for Provider Pymts	Key Bank	0.00
Early Intervention - Provider Payments Escrow	Key Bank	104,451.63
Early Intervention - State Funds	Key Bank	24,661.79
EPIC Co Pay Account	Bank of America, N.A.	0.00
Epic Drug Manufacturer Rebate Account	Bank of America, N.A.	3,592.13
EPIC EFT Acct	Bank of America, N.A.	0.00
EPIC Master Funding Acct	Bank of America, N.A.	5,236,217.44
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	40,213.22
General Account	M&T Bank	74,921.12
ICR Audit Fees Account	Bank of America, N.A.	33,480.08
Indian Health Disbursement Account	Bank of America, N.A.	0.00
Indian Health-Master Acct	Bank of America, N.A.	23,566.07
Medicaid	Key Bank	236,486.13
Medicaid Audit Recoveries Acct	Key Bank	0.00
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	4,527,959.49
Nurses Aide Fees (Prometric)	Bank of America, N.A.	66,282.10
Nursing Home Fees Account	Bank of America, N.A.	50,738.73
NYS DOH CLEP Revenue	Key Bank	4,218.78
OBRA Drug Rebate Program Acct	Bank of America, N.A.	33,451.56
SPARCS	Key Bank	25,401.26
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	527,678.75
12030 - HELEN HAYES HOSPITAL		
Misc. Receipts	JPMorgan Chase Bank, N.A.	213,294.55
Petty Cash Account	JPMorgan Chase Bank, N.A.	11,023.55
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	5,812.40
12120 - NYS VETERANS HOME-OXFORD		
Agency Advance	NBT Bank	4,997.58
Exchange Account	NBT Bank	35,218.11
Maintenance Fund	NBT Bank	1,214,382.92
NYS Veterans Home-Oxford (Resident Account, Custodial Account)	NBT Bank	483,227.12
Resident Custodial Account	NBT Bank	48,663.89
Resident Custodial Account	NBT Bank	8,386.22
Resident Custodial Account	NBT Bank	10,238.30
Resident Custodial Account	NBT Bank	3,856.84

Resident Custodial Account	NBT Bank	5,239.91
Resident Custodial Account	NBT Bank	119.85
Resident Custodial Account	NBT Bank	3,468.33
Resident Custodial Account	NBT Bank	1,098.24
Resident Custodial Account	NBT Bank	5,073.53
Resident Custodial Account	NBT Bank	2,982.01
Resident Custodial Account	NBT Bank	1,163.53
12150 - NYS VETERANS HOME-ST ALBANS		
NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	95,833.01
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	691,069.77
St Albans Vet Home Maintenance Acct	NBT Bank	194,628.75
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	5,140.00
Exchange Account	Bank of America, N.A.	14,494.83
Maintenance Account	NBT Bank	711,232.73
Resident Funds	Bank of America, N.A.	47,774.80
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	No report received
Maintenance Acct	NBT Bank	1,596,046.92
Residence Account	Bank of America, N.A.	No report received
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	229.59
Albany Petty Cash Account	Key Bank	442.00
NYC Confidential Account	JPMorgan Chase Bank, N.A.	166.00
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	27,560.00
Exchange Account	Bank of America, N.A.	3,804.51
Fee And Permit Account	Key Bank	534,570.22
Min Wage & Claim Funding Acct	Key Bank	108,273.29
Minimum Wage & Wage Claim Acct	Key Bank	870,274.12
Misc Receipts	Bank of America, N.A.	248,989.73
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	5,541,991.00
UT Fund ACH Transactions	Wells Fargo Bank	2,000,000.00
14010 - WORKERS COMPENSATION BOARD		
DTF/WCB MAC 14	JPMorgan Chase Bank, N.A.	350,357,642.45
16000 - PUBLIC SERVICE COMMISSION		
Cable Account	Key Bank	5,809.49
Petty Cash Account	Key Bank	4,005.20
Special Fee Account	Key Bank	70,575.58
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	No report received
Main Office Advance For Travel	Key Bank	No report received
PARTNERS DOT -HOOCs	Key Bank	No report received
Revenue Unit	Key Bank	No report received
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	No report received
19000 - DEPARTMENT OF STATE		
Atheltic	M&T Bank	9,060.00
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	666,390.62
Main	M&T Bank	45,763.63
Petty Cash Account	Key Bank	19,144.52
Summons	M&T Bank	461,352.05
19001 - TUG HILL COMMISSION		
Agency Advance Account	Key Bank	No report received
19002 - LAKE GEORGE PARK COMMISSION		
Petty Cash Account	Glens Falls National	No report received
Revenue Transfer Account	Glens Falls National	No report received
19005 - COMMISSION ON PUBLIC INTEGRITY		
JCOPE Petty Cash Account	Bank of America, N.A.	No report received
JCOPE Revenue Account	Bank of America, N.A.	No report received
20000 - DEPARTMENT OF TAXATION & FINANCE		
IFTA Funding	JPMorgan Chase Bank, N.A.	46,298.24
Misc Tax Account - Exchange	Bank of America, N.A.	140,596.69
Off Track Betting Tax (MAC 848)	Key Bank	2,645,558.85
Pari Mutuel Betting Tax (MAC 847)	Key Bank	987.52
Petty Cash	Bank of America, N.A.	15,000.00
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	44,900.00
Waste Tire Fee (EFT)	Wells Fargo Bank	37,428.91
Waste Tire Tax	JPMorgan Chase Bank, N.A.	22,612.93
20050 - NEW YORK STATE GAMING COMMISSION		
Charitable Gaming Account	Key Bank	222,570.79
Commercial Gaming Revenue Account	Key Bank	15,930.41
Custody Account	US Bank	12,688.80
Fingerprint Concentration Account	Key Bank	14,995.86

License Revenue Account	Bank of America, N.A.	3,896.06
Lottery Concentration Account	Key Bank	67,199.04
Lottery Prize Payment Account	Key Bank	8,401.00
Lottery Subscriptions Account	Key Bank	707,705.90
Petty Cash Account	Key Bank	882.42
Racing Refund Account	Key Bank	828,358.20
Video Gaming Revenue Account	Key Bank	10,878,520.22
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
21190 - NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY		
NYSERDA Greenbank MAC 26	JPMorgan Chase Bank, N.A.	No report received
NYSERDA Main Checking MAC 30	JPMorgan Chase Bank, N.A.	(5,053,567.20)
21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT		
Checking- General Fund Acct.	Community Bank	83,664.12
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	446,753.35
Money Market	Bank of America, N.A.	0.38
Petty Cash Fund	Bank of America, N.A.	6,500.00
21700 - OFFICE OF THE STATE INSPECTOR GENERAL		
Office Of The State Inspector General Pass Thru Account	Key Bank	0.00
OSIG Petty Cash Account	Key Bank	1,474.13
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.	403.14
Petty Cash Account	Key Bank	902.00
Petty Cash Fund	JPMorgan Chase Bank, N.A.	1,544.90
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	511,523.22
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	23,293.33
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	52,727.45
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	43,250.32
Administrative Adj	M&T Bank	No report received
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	1,500.00
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	No report received
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	146,126.58
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	1,500.00
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	283,480.00
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	206,167.23
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	91,057.74
Chautauqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	52,354.86
Chautauqua County		
Holding Acct-Chautauqua County	Community Bank	No report received
Holding Acct-Chautauqua County	Key Bank	No report received
Holding Acct-Chautauqua County	M&T Bank	No report received
Concentration (CTY)(OSC)		
Concentration (CTY)(OSC)	Key Bank	277,000.00
Concentration (DO)(OSC)		
Concentration (DO)(OSC)	Key Bank	2,472,393.75
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.	956,734.68
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	50,760.00
D.O. Credit Card (Albany Central Office)		

District Office Credit Card Account	JPMorgan Chase Bank, N.A.	3,835,917.94
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Downstate		
Revenue Account - Downstate	Wells Fargo Bank	580,653.21
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	50,000.00
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	62,381.00
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	116,471.55
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.	85,663.70
IRP (Albany Central Office)		
International Registration	M&T Bank	50,000.00
International Registration	Wells Fargo Bank	531,360.63
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	304,410.19
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	81,940.50
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	997,459.45
Long Island/Staten Island JP		
Long Island/Staten Island (Mass/Med)	JPMorgan Chase Bank, N.A.	51,341.25
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	66,788.98
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	242,358.60
Oneida County Fee Account	NBT Bank	38,221.45
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.	4,500.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	60,044.12
Search Exchange (Albany Central Office)		
MV Search	Key Bank	51,711.61
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	696,275.76
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	1,500.00
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	230,594.53
TLC/DOCCS		
TLC/DOCCS	JPMorgan Chase Bank, N.A.	43,749.67
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	No report received
TVB Acct		
TVB Acct	Wells Fargo Bank	131,128.42
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	647,932.63
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	77,520.62
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.	248.03
Brookwood Cash Advance	Key Bank	1,702.58
Brookwood Resid Residential Cash	Key Bank	24,395.57
Check Exchange	Bank of America, N.A.	64.95
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	617.14

Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	2,691.44
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	3,300.00
Goshen Cash Advance	Bank of America, N.A.	2,600.00
Goshen Residents Account	Bank of America, N.A.	11,239.92
Harriet Tubman Advance Account	Key Bank	500.00
Harriet Tubman Residents' Account	Key Bank	680.96
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	2,701.53
Highland Res Ctr Residents Acct	Bank of America, N.A.	4,895.92
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,099.98
Industry Res Account	JPMorgan Chase Bank, N.A.	4,299.76
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	0.00
MacCormick Cash Advance	Tompkins County Trust	2,186.00
MacCormick Residents' Account	Tompkins County Trust	14,597.90
Medicaid Reimbursement Exchange	Bank of America, N.A.	94,483.93
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	15,400.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	16,071.83
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	500.00
Red Hook Res Ctr Resident Cash	Key Bank	182.89
Red Hook Resid Ctr Cash Advance	Key Bank	300.00
SCR Credit Card Revenue Account	Bank of America, N.A.	23,550.00
State Central Register	Bank of America, N.A.	34,612.60
Taberg Cash Advance	NBT Bank	698.85
Taberg Residents Account	NBT Bank	1,085.83
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	288.70
Title IV D Of Social Security	Key Bank	633,792.71
Travel Advance	Key Bank	10,001.14
28010 - SUNY ALBANY		
Fee Account	Key Bank	644,604.22
Loan Services Center Account	Key Bank	140,569.16
Petty Cash/Travel Advance	Key Bank	No report received
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	528,917.74
SUNY Binghamton - Controlled Disb	M&T Bank	No report received
28030 - SUNY BUFFALO		
Controlled Disbursement Account	Bank of America, N.A.	No report received
General Revenue Account	Bank of America, N.A.	No report received
General Revenue Account	Key Bank	707,929.69
Imprest Account	Key Bank	No report received
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	2,310,360.66
Controlled Disbursement	JPMorgan Chase Bank, N.A.	No report received
Fees Depository	JPMorgan Chase Bank, N.A.	3,979,896.51
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	188,882.84
LISVH Fees Depository	Sterling Bank	230,544.76
LISVH Residence Fund	Sterling Bank	386,789.72
Payroll Advance	JPMorgan Chase Bank, N.A.	5,970.69
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	No report received
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	97,743.97
SUNY Eastern Long Island Hospital Depository	JPMorgan Chase Bank, N.A.	291,529.39
SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	581,538.67
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	8,051,109.20
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,909.35
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	211,551.06
EFT Federal Deposits Acct	JPMorgan Chase Bank, N.A.	No report received
Hospital Controlled Disbursement	JPMorgan Chase Bank, N.A.	No report received
Hospital Revenue	JPMorgan Chase Bank, N.A.	1,639,032.05
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	43,466.79
LICH Depository	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
Student Refunds	JPMorgan Chase Bank, N.A.	No report received
28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE		
College Revenue	Key Bank	149,492.55
Controlled Disbursement	Key Bank	No report received
Hospital Revenue	Key Bank	3,525,966.45
Parking	Key Bank	215,639.44
28150 - SUNY BROCKPORT		
Brockport-REOC Account	Key Bank	290.55
Concentration Acct	M&T Bank	304,293.95
Controlled Disb	M&T Bank	No report received
28160 - SUNY BUFFALO STATE COLLEGE		
Controlled Disb	M&T Bank	No report received
Dept Public Safety	M&T Bank	No report received

Special Grant Account	M&T Bank	3,773.14
Students Acct Office	M&T Bank	170,113.51
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	167,802.76
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	No report received
Depository Account	M&T Bank	No report received
28190 - SUNY GENESEO		
Controlled Disbursement Account	Key Bank	No report received
State Fees	Key Bank	79,838.61
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	70,741.92
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	No report received
State Revenue	Key Bank	385,128.08
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	1,704,742.31
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	No report received
General Revenue	Key Bank	83,253.92
Imprest Account	Key Bank	No report received
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	1,174,108.19
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	76,528.33
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	204,721.74
28270 - SUNY INSTITUTE OF TECHNOLOGY UTICA/ROME		
Advance Account	Bank of America, N.A.	No report received
Controlled Disbursement Account	Bank of America, N.A.	No report received
Revenue	Bank of America, N.A.	72,203.54
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	146,584.51
Distribution Center Account	Key Bank	123,936.72
International Wire Account	Key Bank	11,354.00
Zero Balance Controlled Disbursement Account	Key Bank	No report received
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	879,979.04
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	318,047.53
Income Fund	Key Bank	222,968.19
International Program Account	Key Bank	37,521.36
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	117,612.77
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	1,618,962.71
Petty Cash Fund	Delaware National Bank	No report received
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Income Fund	Citibank	711,732.09
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	2,193,619.64
Revenue Account	NBT Bank	11,007.67
28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY		
Agency Advance	Key Bank	No report received
Controlled Disb	Key Bank	No report received
ESF/GSA	Key Bank	No report received
Forestry	Community Bank	515.78
Regular Account	Key Bank	51,142.21
Student Government	Key Bank	No report received
28570 - SUNY MARITIME COLLEGE		
Controlled Disbursement Account	JPMorgan Chase Bank, N.A.	No report received
Cruise Account	JPMorgan Chase Bank, N.A.	No report received
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	799,142.09
Revenue EFT Account	JPMorgan Chase Bank, N.A.	40,280.01
28580 - SUNY COLLEGE OF OPTOMETRY		
General Revenue	JPMorgan Chase Bank, N.A.	259,495.85
Medical Transportation	JPMorgan Chase Bank, N.A.	221.88
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	3,493,765.15
Revenue	Key Bank	80,584.35
37000 - DEPARTMENT OF FINANCIAL SERVICES		

Confidential Investigations	JPMorgan Chase Bank, N.A.	8,189.78
Confidential Investigations	JPMorgan Chase Bank, N.A.	11,202.85
Fire Tax Account (Main)	Key Bank	274,721.95
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	301,041.67
General Fund	Key Bank	2,608,750.15
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	2,829,273.66
Miscellaneous Account	JPMorgan Chase Bank, N.A.	499,477.91
Paid Family Leave	JPMorgan Chase Bank, N.A.	0.00
Petty Cash	Key Bank	9,737.18
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,003.35
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Revenue (SA)	Glens Falls National	47,026.41
SARATOGA REGION CONTRACTORS BID ACCOUNT	Key Bank	88,231.68
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	76,862.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	211,464.73
Revenue (LI)	People's United Bank	25,216.60
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	51,601.57
Revenue (GE)	Bank of Castile	59,515.36
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	833.47
Revenue (NIA)	Evans National Bank	35,082.47
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	4,059.00
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	213,735.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	Key Bank	75,493.47
Petty Cash (ALB)	Key Bank	28,753.20
Revenue (NI, GE, AL, CE, TA)	M&T Bank	42,897.92
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	32,232.68
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	32,947.40
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	13,966.83
Revenue (various)	Wells Fargo Bank	51,125.55
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	658,682.71
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	175,166.10
Statewide Housing Security Deposits	Key Bank	140,640.09
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	20,517.78
Revenue (FL)	Savannah Bank	34,644.51
Revenue (FL-Multi)	Community Bank	541.42
Revenue (FL-Multi-Facilities)	Tompkins County Trust	58,933.54
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	1,574.00
Regional Account (AL)	Five Star Bank	141,904.80
Revenue (AL)	Five Star Bank	77,289.05
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	21,065.27
Revenue (CE, SA, TI)	NBT Bank	36,181.14
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	898.70
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI)	Citizens Bank	35,740.35
Revenue (TI-Multi)	Community Bank	623.88
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	19,037.74
Iterim Assistance Agreement	Bank of America, N.A.	No report received
OMH Medication Grant Program Acct	Bank of America, N.A.	1,241.73
Reimbursement Account	Bank of America, N.A.	No report received
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	5,817.55
Facility Holding Account	JPMorgan Chase Bank, N.A.	12,157.08
Patient Cash Funds	JPMorgan Chase Bank, N.A.	450,963.39
Patients Cash Account	JPMorgan Chase Bank, N.A.	431,781.93
Security Deposit	JPMorgan Chase Bank, N.A.	4,389.49
50020 - KINGSBORO PSYCHIATRIC CENTER		
Advance Account	Banco Popular	1,718.40
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	229,227.42
Medicaid Outpatient Travel	Banco Popular	48.32
Patient Cash Acct (MM)	Banco Popular	453,846.60

Patient Checking Account	Citibank	31,463.40
Patient Savings Account	Banco Popular	334,990.61
Security Deposit	Banco Popular	2,489.32
Urban Oasis/EBT	Banco Popular	56,723.32
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	Key Bank	31,628.46
Facility Holding	Key Bank	3,133.59
Patient Cash Checking	Key Bank	335,426.50
50080 - MANHATTAN PSYCHIATRIC CENTER		
Advance Account	Sterling Bank	5,921.14
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	6,450.46
Patient Cash Checking	Hudson Valley National Bank	1,018,684.60
Patients Money Market	Hudson Valley National Bank	72,898.91
Social Service Tokens	Hudson Valley National Bank	33,967.88
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	32,579.77
Facility Holding	Key Bank	14,446.18
Patients Cash Account	Key Bank	255,022.79
Patients Fund Savings	Key Bank	194,245.77
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	16,645.62
Facility Holding Account	Community Bank	15,704.15
Patients Cash Account	Community Bank	25,484.02
Patients Cash Savings	Community Bank	289,697.32
50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	50,620.48
Certificate Of Deposit	HSBC	150,000.00
Certificate Of Deposit	HSBC	250,000.00
Holding Account	HSBC	15,945.99
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	99,433.18
Patient Cash Account	HSBC	706,331.86
Rent Holding Account	HSBC	1,488.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Exchange	JPMorgan Chase Bank, N.A.	124,501.09
Holding Account	JPMorgan Chase Bank, N.A.	391,842.11
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.	120,356.79
Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	1,179,183.88
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	263,289.02
50180 - NYS PSYCHIATRIC INSTITUTE		
Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	3,914.21
General	JPMorgan Chase Bank, N.A.	54,506.59
Petty Cash	JPMorgan Chase Bank, N.A.	1,003.84
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	16,007.98
Clients Count	Key Bank	149,632.23
Holding Account	Key Bank	17,812.50
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	45,839.29
Facility Holding Acct	JPMorgan Chase Bank, N.A.	166,708.54
Patient Cash	JPMorgan Chase Bank, N.A.	1,157,249.57
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	11,412.94
Facility Holding	Key Bank	1,099.42
Patient Cash Checking	Key Bank	45,483.02
Patient Cash Savings	Key Bank	28,931.52
Security Deposit	Key Bank	7,523.28
50310 - BRONX PSYCHIATRIC CENTER		
CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	18,411.09
Misc. Receipts	JPMorgan Chase Bank, N.A.	27,234.95
Patients Cash MM	JPMorgan Chase Bank, N.A.	88,218.30
Patients Checking Acct	JPMorgan Chase Bank, N.A.	450,278.84
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	7,422.70

Holding Account	Hudson Valley National Bank	30,983.42
Patient Cash Account	Hudson Valley National Bank	111,913.12
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	9,773.10
General Fund	Key Bank	7,407.64
Patient Checking	Key Bank	75,074.09
Patient Savings	Key Bank	246,513.38
Security Deposit	Key Bank	2,743.25
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	12,214.73
Facility Holding Account	Key Bank	3,343.92
Patients Account	Key Bank	180,339.00
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	5,005.00
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	17,779.61
Facility Holding Checking	JPMorgan Chase Bank, N.A.	15,298.77
Family Care Checking	JPMorgan Chase Bank, N.A.	0.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	611,492.95
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	10,912.05
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	Key Bank	1,654.81
Exchange Account	Key Bank	0.00
Patient Cash	Key Bank	35.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	44,592.48
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	4,430.20
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	No report received
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Queens Adv Acct	HSBC	10,438.99
Queens Childrens Account	HSBC	7,796.58
50920 - ELMIRA PSYCHIATRIC CENTER		
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Facility Advance Account	Chemung Canal Trust	12,854.00
General Fund Account	Chemung Canal Trust	4,321.75
IMMA	Chemung Canal Trust	46,662.29
Patients Fund Account	Chemung Canal Trust	271,797.70
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	No report received
Facility Holding Account	Key Bank	No report received
Parking Garage Account	Key Bank	No report received
Patients Cash Checking Account	Key Bank	No report received
Patients Cash Savings Account	Key Bank	No report received
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.	No report received
51210 - HUDSON VALLEY DDSO		
EBT Checking	JPMorgan Chase Bank, N.A.	No report received
Exchange Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Investor's Choice Savings	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
PTS Cash Checking	JPMorgan Chase Bank, N.A.	No report received
51240 - CENTRAL NY DDSO		
Advance Accounts	Key Bank	34,092.50
Clients Account	Key Bank	677,689.11
Consumer Cash - Savings	Adirondack Bank	2,507,898.44
Consumer Cash - Savings	Key Bank	3,416,990.65
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	64,198.00
General Fund	M&T Bank	2,200.00
Patients Cash Checking	M&T Bank	2,160,993.00
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	1,442,830.00
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.	336,725.76
Consumers Money Management	JPMorgan Chase Bank, N.A.	687,311.53
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	171,419.72
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	22,307.11
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	6,641.83
51420 - SUNMOUNT DDSO		
Certificate of Deposit	Community Bank	No report received
Residents Fund	Community Bank	No report received
Sunmount Advance Account	Community Bank	No report received
51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES		
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
51450 - METRO NY DDSO		
Consolidated Acct	JPMorgan Chase Bank, N.A.	38,743.76
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	28,464.87
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	0.00
Metro NY DDSO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	547,398.58
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		
Money Market Account	JPMorgan Chase Bank, N.A.	307,109.52
Patient Fund Account	JPMorgan Chase Bank, N.A.	583,105.28
Petty Cash Fund	JPMorgan Chase Bank, N.A.	13,338.74
51780 - FINGER LAKES DDSO		
Advance Account	JPMorgan Chase Bank, N.A.	No report received
F.L. Newark Resident Checking	Community Bank	No report received
Finger Lakes Resident Checking	JPMorgan Chase Bank, N.A.	No report received
FL Vending Machine Account	Community Bank	No report received
General Account	JPMorgan Chase Bank, N.A.	No report received
Geneseo Client Cash	Bank of America, N.A.	No report received
Kelsey Trust Fund	Bank of America, N.A.	No report received
Mary Moore Trust Fund	Bank of America, N.A.	No report received
Monroe Resident Checking	JPMorgan Chase Bank, N.A.	No report received
Monroe Resident Savings	JPMorgan Chase Bank, N.A.	No report received
Patient Food Stamp Account	JPMorgan Chase Bank, N.A.	No report received
51940 - BROOME DDSO		
Broome DDSO	M&T Bank	No report received
Broome DDSO - Advance Account	M&T Bank	No report received
Broome DDSO - General Fund	M&T Bank	No report received
Disabled Individuals Savings	Key Bank	No report received
Disabled Individuals Savings	M&T Bank	No report received
OMRDD Broome DDSO EBT Checking	M&T Bank	No report received
53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES		
Agency Advance Acct	Key Bank	2,800.00
Creedmoor PNA Account	JPMorgan Chase Bank, N.A.	0.00
Patient Fees	Bank of America, N.A.	106,571.66
Revenue Account	Bank of America, N.A.	31,611.06
53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER		
Petty Cash Advance Account	Bank of America, N.A.	1,149.79
70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION		
CUNY Admin Imprest Cash Account	Citibank	11,006.25
70030 - CUNY HUNTER COLLEGE		
Travel Petty Cash Account	Citibank	50,185.70
70060 - CUNY JOHN JAY COLLEGE		

CUNY JOHN JAY COLLEGE IMPREST FUND	Citibank	16,681.16
70070 - CUNY LEHMAN COLLEGE		
Lehman College	Citibank	4,345.50
70080 - CUNY YORK COLLEGE		
York College Imprest Funds	Citibank	11,288.64
York College Travel Advance Fund	Citibank	817.00
70100 - CUNY COLLEGE OF STATEN ISLAND		
CSI Imprest Cash	TD Bank	4,914.30
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	24,459.45

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

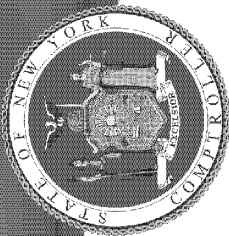
**FUNDS OF THE DIVISION OF THE TREASURY OF WHICH THE COMMISSIONER OF TAXATION AND FINANCE
IS THE SOLE CUSTODIAN WITH BALANCES AS OF 02/28/2021**

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 02/28/2021
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND		
0232 Upstate Community Colleges, Series 2005B	Key Bank	9,275.75
DEPARTMENT OF FINANCIAL SERVICES		
0001 Property/Casualty Insurance Security Fund	Key Bank	145,627.88
0002 Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	500,958.80
0003 Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	467,320.57
DORMITORY AUTHORITY OF THE STATE OF NEW YORK		
0039 Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	339.53
0104 Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	8,359.45
0105 Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	300,845.14
0149 State Advances Repayment Account	Bank of America, N.A.	0.00
HOMELESS HOUSING ASSISTANCE CORPORATION		
0320 Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	3,003,974.41
NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION		
0315 The Egg	Key Bank	2,296.81
NEW YORK CONVENTION CENTER		
0300 Operating Fund	JPMorgan Chase Bank, N.A.	27,764,435.45
NEW YORK JOB DEVELOPMENT AUTHORITY		
0036 Special Purpose Fund	Bank of America, N.A.	951,635.17
0371 Series H Commercial Paper	Bank of America, N.A.	1,425,523.49
0389 Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	339,800.79
0423 Escrow Account for USA Industries Inc.	Key Bank	37,274.67
0424 Escrow Account for Pluritec USA Inc.	Key Bank	19,782.38
0426 Agriculture Loan Program	Key Bank	370,388.91
NYS AFFORDABLE HOUSING CORPORATION		
0491 Disbursement Account	JPMorgan Chase Bank, N.A.	405,665.57
0520 Development Account	Key Bank	1,528,466.65
0522 Repayment Account	Key Bank	522,337.76
0523 Recapture Account	Key Bank	192,034.09
0880 Payroll Account	JPMorgan Chase Bank, N.A.	1,295.33
NYS DEPARTMENT OF HEALTH		
0004 Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	(3,877,864.02)
NYS DEPARTMENT OF TAXATION AND FINANCE		
0510 Excelsior Linked Deposit Fund	Key Bank	0.27
0600 World Trade Center Memorial Foundation Fund Account	Bank of America, N.A.	97,821.52
0625 Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	27,306.00
0626 Criminal Investigation Division	Key Bank	260,094.25
0778 PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800 NYS IRS PIT offset account	Key Bank	0.00
0827 Stock Transfer Incentive Fund	Key Bank	1,178,708.83
0847 Pari-Mutuel Revenue Transfer Account	Key Bank	0.00
0848 Off-Track Bet Tax Revenue Transfer Account	Key Bank	0.00
NYS HOUSING FINANCE AGENCY		
0252 Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	205,927.29
0254 Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	3,676,512.75
0267 Neighborhood Stabilization Program - Round 1	JPMorgan Chase Bank, N.A.	87,646.12
0274 NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	294,213.70
0283 Small Owner's Assistance Program Account	Key Bank	75,277.71
0285 Public Purpose Account	Key Bank	8,451,080.80
0286 Disbursement Account	Key Bank	1,979,878.60
0287 Infrastructure Development Fund	Key Bank	197,817.52
0288 Mobile Home Cooperative Fund	Key Bank	23,793.33
0292 Homeless Housing Initiatives	Key Bank	199,854.21
0294 Housing Plan Fund	Key Bank	13,101,341.66
0301 HFA - Subsidy Repayment Account	Key Bank	3,440,864.72
0305 HPD Disbursement Fund	Key Bank	1,227,149.59
0879 Payroll Account	JPMorgan Chase Bank, N.A.	152,679.05
NYS HOUSING TRUST FUND CORPORATION		
0458 Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	1,138,116.60
0460 Escrow Account	M&T Bank	1,125,974.12
0461 Housing Modernization Account	M&T Bank	770,383.91

0462	General Custodial Account	M&T Bank	70,873,373.12
0465	Home Program Account	M&T Bank	10,532,546.47
0466	Homes for Working Families Account	M&T Bank	8,905,154.95
0467	Section 8 Administrative Account	M&T Bank	9,115,068.67
0469	OCR Community Miscellaneous Programs Account	M&T Bank	8,130,911.24
0470	HCV Main Account	Bank of America, N.A.	22,012,149.17
0471	Empire State Relief Fund	M&T Bank	472,805.55
0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	4,222,868.15
0475	Reserve Account	Bank of America, N.A.	107,444.90
0480	OHP Miscellaneous Programs Account	Bank of America, N.A.	9,849,354.43
0891	Small Cities Community Development Block Grant Program	M&T Bank	949,687.34
0892	Disaster Recovery Initiative Account	M&T Bank	50,643.81
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	4,314,367.19
0899	HTFC Storm Recovery Lockbox	US Bank	41,748.49
NYS TEACHERS RETIREMENT SYSTEM			
0052	Main Account	JPMorgan Chase Bank, N.A.	1,215,026.71
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	2,982,550.26
STATE INSURANCE FUND			
0053	State Insurance Fund	Bank of America, N.A.	63,607,600.09
0054	State Insurance Fund	Bank of America, N.A.	12,406,367.14
0055	State Insurance Fund	Bank of America, N.A.	14,947,703.77
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	27,986.54
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	1,053,115.11
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	31,806.05
0870	Deductions Account	Key Bank	352,170.03

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

FEBRUARY 2021

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

February 28, 2021

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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 FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:												
(3)												
Personal Income Tax	\$ 2,691.9	\$ 23,808.9	\$ -	\$ 2,008.6	\$ 2,691.9	\$ 25,817.5	\$ -	\$ 5,393.8	\$ 51,635.0	\$ 49,913.2	\$ 1,721.8	3.4%
Consumption/Use Taxes	532.7	6,583.3	116.3	1,605.3	499.4	6,009.5	35.7	1,184.1	14,677.2	16,558.8	(1,881.6)	-11.4%
Business Taxes	60.9	4,501.3	57.5	1,412.6	-	-	36.9	155.3	6,403.6	6,531.0	(127.4)	-3.4%
Other Taxes	203.6	1,463.8	-	-	75.2	750.6	11.9	290.7	2,321.6	2,076.3	245.3	11.8%
Miscellaneous Receipts	146.4	6,853.3	1,635.5	15,478.4	16.2	360.3	5,199.2	2,158.5	27,891.2	25,695.8	2,195.4	8.5%
Federal Receipts	-	0.2	3,085.5	69,450.1	27.7	64.6	1,820.0	3,260.2	71,334.9	60,603.1	10,731.8	17.7%
Total Receipts	3,635.5	43,215.8	4,894.8	89,955.0	3,310.4	33,002.5	8,090.2	12,432.6	174,263.5	161,478.2	12,785.3	7.9%
DISBURSEMENTS:												
Local Assistance Grants:												
Education	1,437.0	17,676.1	408.8	8,146.5	-	-	27.2	1,873.0	25,941.5	27,553.8	(1,612.3)	-5.9%
Environment and Recreation	-	0.5	1.5	3.9	-	-	8.0	9.5	155.9	401.1	(245.2)	-61.1%
General Government	11.4	827.3	16.0	4,368.4	-	-	52.1	79.5	5,711.9	6,027.0	(315.1)	-5.5%
Public Health:												
Medicaid	784.9	13,713.0	2,297.9	44,840.7	-	-	-	3,002.8	58,553.7	60,788.8	(2,235.1)	-3.7%
Other Public Health	150.3	2,024.3	634.7	6,836.0	-	-	476.0	823.5	9,336.3	9,077.9	258.4	2.8%
Public Safety	20.0	113.5	289.0	1,927.6	-	-	5.8	314.8	2,092.3	2,029.9	62.9	3.1%
Public Welfare	403.4	2,375.0	506.2	3,303.8	-	-	503.8	925.2	6,182.6	6,482.8	(300.2)	-4.8%
Support and Regulate Business	11.9	76.1	3.2	46.6	-	-	546.4	145.8	673.1	1,031.0	(357.9)	-52.5%
Transportation	4.9	85.3	17.0	2,991.9	-	-	67.9	89.8	5,282.1	4,990.9	291.2	5.8%
Total Local Assistance Grants	2,823.8	36,893.1	4,174.3	72,467.4	-	-	345.8	7,343.9	113,929.4	114,012.0	(82.6)	-0.1%
Departmental Operations:												
Personal Service	654.7	6,364.5	387.4	6,945.8	-	-	-	1,942.1	13,310.3	13,620.6	(310.3)	-2.3%
Non-Personal Service	1,028.9	2,515.2	(479.1)	3,848.0	25.2	49.2	-	575.0	6,412.4	6,282.7	129.7	2.1%
General State Charges	492.8	5,593.3	104.0	2,111.3	-	-	-	596.8	7,704.6	8,189.4	(484.8)	-6.3%
Debt Service, Including Payments on Financing Agreements	-	-	-	102.2	878.8	3,468.4	-	878.8	3,570.6	2,276.7	1,293.9	56.8%
Capital Projects	-	-	(2.3)	-	-	-	549.5	6,388.0	457.2	6,452.2	(65.2)	-1.0%
Total Disbursements	5,000.2	51,366.1	4,184.3	85,474.7	904.0	3,517.6	895.3	10,983.8	151,315.3	150,834.6	480.7	0.3%
Excess (Deficiency) of Receipts over Disbursements	(1,364.7)	(8,150.3)	710.5	4,480.3	2,406.4	29,484.9	(303.4)	1,448.8	22,948.2	10,643.6	12,304.6	115.6%
OTHER FINANCING SOURCES (USES):												
Bond and Note Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	2,927.5	24,994.1	39.4	1,928.7	162.1	2,130.8	574.5	3,703.5	32,326.9	39,962.1	(7,635.2)	-19.1%
Transfers to Other Funds	(565.3)	(5,457.8)	(82.8)	(1,760.1)	(2,892.9)	(24,794.3)	(168.1)	(3,709.1)	(32,544.8)	(40,087.6)	(7,542.8)	-18.8%
Total Other Financing Sources (Uses)	2,362.2	19,536.3	(43.4)	168.6	(2,730.8)	(22,663.5)	406.4	(5.6)	(217.9)	(125.5)	(92.4)	-43.8%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	997.5	11,386.0	667.1	4,648.9	(324.4)	6,821.4	103.0	1,443.2	22,730.3	10,518.1	12,212.2	116.1%
Beginning Fund Balances (Deficits)	19,332.7	8,944.2	10,293.9	6,312.1	7,209.2	63.4	(1,263.9)	35,571.9	14,284.8	9,975.0	4,308.8	43.2%
Ending Fund Balances (Deficits)	\$ 20,330.2	\$ 20,330.2	\$ 10,961.0	\$ 10,961.0	\$ 6,884.8	\$ 6,884.8	\$ (1,160.9)	\$ 37,015.1	\$ 37,015.1	\$ 20,493.1	\$ 16,522.0	80.6%

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					% Increase/ Decrease
	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	\$ Increase/ (Decrease)		
RECEIPTS:															
Personal Income Tax	(3)	\$ 2,691.9	\$ 23,808.9	\$ -	\$ 2,008.6	\$ 2,691.9	\$ 25,817.5	\$ 5,383.8	\$ 51,635.0	\$ 49,913.2	\$ 1,721.8	\$ 3.4%			
Consumption/Use Taxes		532.7	6,588.3	116.3	1,605.3	498.4	6,009.5	1,148.4	14,203.1	15,983.9	(1,780.8)	-11.1%			
Business Taxes		60.9	4,501.3	57.5	1,412.6	-	-	118.4	5,913.9	6,016.3	(102.4)	-1.7%			
Other Taxes		203.6	1,463.8	-	-	76.2	750.6	278.8	2,214.4	1,969.1	245.3	12.5%			
Miscellaneous Receipts		146.4	6,853.3	1,621.6	15,305.9	16.2	360.3	1,784.2	22,519.5	20,875.5	1,644.0	7.9%			
Federal Receipts		-	0.2	(20.1)	(12.9)	27.7	64.6	7.6	51.9	65.3	(13.4)	-20.5%			
Total Receipts		3,635.5	43,215.8	1,775.3	20,319.5	3,310.4	33,002.5	8,721.2	96,537.8	94,823.3	1,714.5	1.8%			
DISBURSEMENTS:															
Local Assistance Grants:															
Education		1,437.0	17,676.1	146.9	5,369.7	-	-	1,583.9	23,045.8	24,167.7	(1,121.9)	-4.6%			
Environment and Recreation		-	0.5	1.1	2.9	-	-	1.1	3.4	6.8	(3.4)	-50.0%			
General Government		11.4	827.3	17.0	150.2	-	-	28.4	977.5	1,190.5	(213.0)	-17.9%			
Public Health:															
Medicaid		784.9	13,713.0	406.3	5,039.0	-	-	1,191.2	18,752.0	23,232.0	(4,480.0)	-19.3%			
Other Public Health		150.3	2,024.3	92.0	821.0	-	-	242.3	2,845.3	2,798.1	47.2	1.7%			
Public Safety		20.0	113.5	12.1	129.5	-	-	32.1	243.0	322.1	(79.1)	-24.6%			
Public Welfare		403.4	2,375.0	-	0.6	-	-	403.4	2,375.6	167.2	2,208.4	167.2	7.6%		
Support and Regulate Business		11.9	78.1	3.1	41.7	-	-	15.0	119.8	190.2	(70.4)	-37.0%			
Transportation		4.9	85.3	10.9	2,933.9	-	-	15.8	3,019.2	3,447.3	(428.1)	-12.4%			
Total Local Assistance Grants		2,823.8	36,893.1	689.4	14,488.5	-	-	3,513.2	51,381.6	57,563.1	(6,181.5)	-10.7%			
Departmental Operations:															
Personal Service		654.7	6,364.5	388.3	4,590.6	-	-	1,043.0	10,955.1	13,032.7	(2,077.6)	-15.9%			
Non-Personal Service		1,028.9	2,515.2	254.2	2,341.8	25.2	49.2	1,308.3	4,906.2	5,031.1	(124.9)	-2.5%			
General State Charges		492.8	5,593.3	55.5	793.9	-	-	548.3	6,387.2	7,881.9	(1,494.7)	-19.0%			
Debt Service, Including Payments on		-	-	-	-	-	-	878.8	3,468.4	2,276.7	1,191.7	52.3%			
Financing Agreements		-	-	-	-	-	-	-	-	-	-	0.0%			
Capital Projects		-	-	-	-	-	-	-	-	-	-	-			
Total Disbursements		5,000.2	51,366.1	1,387.4	22,214.8	904.0	3,517.6	7,291.6	77,098.5	85,785.5	(8,687.0)	-10.1%			
Excess (Deficiency) of Receipts over Disbursements		(1,364.7)	(8,150.3)	387.9	(1,895.3)	2,406.4	29,484.9	1,429.6	19,439.3	9,037.8	10,401.5	115.1%			
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	(2)	2,927.5	24,994.1	47.7	2,506.4	162.1	2,130.8	3,137.3	29,631.3	36,382.8	(6,751.5)	-18.6%			
Transfers to Other Funds	(2)	(565.3)	(5,457.8)	(72.4)	(344.0)	(2,892.9)	(24,794.3)	(3,530.6)	(30,596.1)	(37,770.7)	(7,174.6)	-19.0%			
Total Other Financing Sources (Uses)		2,362.2	19,536.3	(24.7)	2,162.4	(2,730.8)	(22,663.5)	(383.3)	(64.8)	(1,387.9)	423.1	30.5%			
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		987.5	11,386.0	363.2	267.1	(324.4)	6,821.4	1,036.3	18,474.5	7,649.9	10,824.6	141.5%			
Beginning Fund Balances (Deficits)		19,332.7	8,944.2	5,304.6	5,400.7	7,209.2	63.4	31,846.5	14,408.3	12,361.3	2,047.0	16.6%			
Ending Fund Balances (Deficits)		\$ 20,330.2	\$ 20,330.2	\$ 5,667.8	\$ 5,667.8	\$ 6,884.8	\$ 6,884.8	\$ 32,882.8	\$ 32,882.8	\$ 20,011.2	\$ 12,871.6	\$ 64.3%			

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.
(**) Eliminations between Special Revenue - State and Federal Funds are not included.

GOVERNMENTAL FUNDS FOOTNOTES**EXHIBIT A NOTES
FEBRUARY 2021**

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)	\$248.4 million
Urban Development Corporation (Youth Facilities)	13.4
Housing Finance Agency (HFA)	282.3
Housing Assistance Fund	12.9
Dormitory Authority (Mental Hygiene)	462.9
Dormitory Authority and State University Income Fund	478.6
Federal Capital Projects	608.5
State bond and note proceeds	227.0

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	\$2,704.3 million
General Debt Service Fund	324.7
Banking Services Account	32.2
Building Administration Account	8.0
Business Services Center	26.9
Centralized Tech Services	11.5
Court Facilities Incentive Aid Fund	90.6
Dedicated Highway & Bridge Trust Fund	49.5
Dedicated Infrastructure Investment Fund	423.0
Dedicated Mass Transportation - Railroad Account	6.6
Dedicated Mass Transportation - Transit Authority Account	36.7
Dedicated Mass Transportation - (Non MTA)	3.8
Entertainment Diversity Job Training and Development	1.5
Environmental Protection Fund	28.0
Health Insurance Revolving Fund	12.0
Indigent Legal Services	1.2
Mass Transportation Operating Assistance Fund	27.8
Mass Transportation Financial Assistance	244.3
New York Central Business District Trust Fund	137.5
New York City County Clerks' Operations Offset	2.8
Recruitment Incentive Account	2.1
State Fair Receipts	3.0
State University Income Fund	1,012.8

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 (\$7.5m), and the State University Income Fund (\$259.3 m).

\$72.0(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 February 28, 2021 - pursuant to a certification of the Budget Director - the reserve amount is (\$86.2m), which was funded by a transfer from the General Fund.

Special Revenue Funds "Transfers To Other Funds" includes transfers to Mental Health Services Fund and Department of Health Income Fund (\$1,321.7m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities, the General Debt Service Fund (\$4.9m), Medicaid Management Information System Escrow Fund (\$122.3m), SUNY Capital Projects Fund (\$1.1m), State Capital Projects Fund (\$3.6m) and All Other Capital Projects (\$63.8m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Business & Licensing Services Account	\$3.0 million
Clean Air	2.1
Encon Special Revenue	4.7
Federal Department of Health Services Fund	57.7
Federal Education Fund	1.0
Federal Operating Grants Fund	5.3
Federal USDA/Food and Nutrition Services Fund	8.7
HESC Insurance Premium Account	5.3
Mass Transportation Operating Assistance Fund	1.4
Miscellaneous State Special Revenue Fund	2.0
Patron Services Account	1.6
Public Service Account	3.6
State Lottery Fund	4.6
State Police Motor Vehicle Law Enforcement Fund	74.9
SUNY Income Fund	22.4
System and Technology Account	2.6
Unemployment Insurance Administration Fund	16.2
Unemployment Insurance Interest & Penalty Account	11.4
Workers' Compensation Board Account	7.3

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	\$17,936.9 million
Local Government Assistance Tax Fund	2,925.3
Sales Tax Revenue Bond Tax Fund	1,856.3
Clean Water/Clean Air Fund	704.2
Mental Health Services Fund	1,270.0

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 (\$101.5m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund (\$60.7m), the General Debt Service Fund - Lease Purchase (\$108.8m), and the Revenue Bond Tax Fund (\$363.1m).

3. 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 (\$2,008.6m) as of February 28, 2021.

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	11 MOS. ENDED	MONTH OF	11 MOS. ENDED	MONTH OF	11 MOS. ENDED	MONTH OF	11 MOS. ENDED	MONTH OF	11 MOS. ENDED	\$ Increase/ (Decrease)	% Increase/ Decrease
	FEB. 2021	FEB. 28, 2021	FEB. 2021	FEB. 28, 2021	FEB. 2021	FEB. 28, 2021	FEB. 2021	FEB. 28, 2021	FEB. 2020	FEB. 29, 2020		
RECEIPTS:												
Miscellaneous Receipts	\$ 3.7	\$ 61.7	\$ 47.6	\$ 377.3	\$ 51.3	\$ 439.0	\$ 61.1	\$ 601.5			\$ (162.5)	-27.0%
Federal Receipts	4,961.8	50,905.6	-	-	4,961.8	50,905.6	0.9	15.6			50,890.0	326,217.9%
Unemployment Taxes	494.3	14,638.9	-	-	494.3	14,638.9	222.6	1,927.3			12,711.6	659.6%
Total Receipts	5,459.8	65,606.2	47.6	377.3	5,507.4	65,983.5	284.6	2,544.4			63,439.1	2,493.3%
DISBURSEMENTS:												
Departmental Operations:												
Personal Service	0.3	11.4	10.1	123.7	10.4	135.1	9.7	131.3			3.8	2.9%
Non-Personal Service	3.6	47.6	48.5	415.2	52.1	462.8	74.8	464.3			(1.5)	-0.3%
General State Charges	0.2	1.6	4.5	56.5	4.7	58.1	4.5	54.0			4.1	7.8%
Unemployment Benefits	5,455.9	65,535.5	-	-	5,455.9	65,535.5	223.0	1,943.5			63,592.0	3,272.0%
Total Disbursements	5,460.0	65,596.1	63.1	595.4	5,523.1	66,191.5	312.0	2,593.1			63,598.4	2,452.6%
Excess (Deficiency) of Receipts Over Disbursements	(0.2)	10.1	(15.5)	(218.1)	(15.7)	(208.0)	(27.4)	(48.7)			(159.3)	-327.1%
OTHER FINANCING SOURCES (USES):												
Transfers from Other Funds	-	3.0	5.6	95.5	5.6	98.5	4.8	72.5			26.0	35.9%
Transfers to Other Funds	-	-	(0.1)	(3.4)	(0.1)	(3.4)	-	(4.3)			(0.9)	-20.9%
Total Other Financing Sources (Uses)	-	3.0	5.5	92.1	5.5	95.1	4.8	68.2			26.9	39.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(0.2)	13.1	(10.0)	(126.0)	(10.2)	(112.9)	(22.6)	(19.5)			(132.4)	-679.0%
Beginning Fund Balances (Deficits)	43.0	29.7	(413.5)	(297.5)	(370.5)	(267.8)	(234.0)	(276.1)			8.3	3.0%
Ending Fund Balances (Deficits)	\$ 42.8	\$ 42.8	\$ (423.5)	\$ (423.5)	\$ (380.7)	\$ (380.7)	\$ (256.6)	\$ (256.6)			\$ (124.1)	-48.4%

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 FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2020	11 MOS. ENDED FEB. 29, 2020	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	\$ 12.6	\$ 113.2	\$ 0.1	\$ 0.4	\$ 12.7	\$ 113.6	\$ 5.4	\$ 124.7	\$ (11.1)	-8.9%
Total Receipts	<u>12.6</u>	<u>113.2</u>	<u>0.1</u>	<u>0.4</u>	<u>12.7</u>	<u>113.6</u>	<u>5.4</u>	<u>124.7</u>	<u>(11.1)</u>	<u>-8.9%</u>
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	5.6	66.5	-	0.2	5.6	66.7	5.3	62.7	4.0	6.4%
Non-Personal Service	1.2	12.1	-	-	1.2	12.1	1.0	31.7	(19.6)	-61.8%
General State Charges	3.5	38.0	-	0.1	3.5	38.1	3.4	36.8	1.3	3.5%
Total Disbursements	<u>10.3</u>	<u>116.6</u>	<u>-</u>	<u>0.3</u>	<u>10.3</u>	<u>116.9</u>	<u>9.7</u>	<u>131.2</u>	<u>(14.3)</u>	<u>-10.9%</u>
Excess (Deficiency) of Receipts Over Disbursements	2.3	(3.4)	0.1	0.1	2.4	(3.3)	(4.3)	(6.5)	3.2	49.2%
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Total Other Financing Sources (Uses)	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>0.0%</u>
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	2.3	(3.4)	0.1	0.1	2.4	(3.3)	(4.3)	(6.5)	3.2	49.2%
Beginning Fund Balances (Deficits)	(6.8)	(1.1)	14.3	14.3	7.5	13.2	8.0	10.2	3.0	29.4%
Ending Fund Balances (Deficits)	<u>\$ (4.5)</u>	<u>\$ (4.5)</u>	<u>\$ 14.4</u>	<u>\$ 14.4</u>	<u>\$ 9.9</u>	<u>\$ 9.9</u>	<u>\$ 3.7</u>	<u>\$ 3.7</u>	<u>\$ 6.2</u>	<u>167.6%</u>

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR ELEVEN MONTHS ENDED FEBRUARY 28, 2021
(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	\$ 45,500.0	\$ 51,380.0	\$ 51,635.0	\$ 6,135.0	\$ 255.0
Consumption/Use	14,079.0	14,627.0	14,677.2	598.2	50.2
Business	6,562.0	6,116.0	6,403.6	(158.4)	287.6
Other	1,904.0	2,156.0	2,321.6	417.6	165.6
Miscellaneous Receipts	28,373.0	28,255.0	27,891.2	(481.8)	(363.8)
Federal Receipts	62,250.0	72,981.0	71,334.9	9,084.9	(1,646.1)
Total Receipts	158,668.0	175,515.0	174,263.5	15,595.5	(1,251.5)
DISBURSEMENTS:					
Local Assistance Grants	111,331.0	115,026.0	113,929.4	2,598.4	(1,096.6)
Departmental Operations	19,233.0	19,938.0	19,722.7	489.7	(215.3)
General State Charges	7,988.0	7,596.0	7,704.6	(283.4)	108.6
Debt Service	2,623.0	3,580.0	3,570.6	947.6	(9.4)
Capital Projects	8,699.0	7,324.0	6,388.0	(2,311.0)	(936.0)
Total Disbursements	149,874.0	153,464.0	151,315.3	1,441.3	(2,148.7)
Excess (Deficiency) of Receipts over Disbursements	8,794.0	22,051.0	22,948.2	14,154.2	897.2
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	-	-	-	-	-
Transfers from Other Funds	31,233.0	33,124.0	32,326.9	1,093.9	(797.1)
Transfers to Other Funds	(31,215.0)	(33,347.0)	(32,544.8)	1,329.8	(802.2)
Total Other Financing Sources (Uses)	18.0	(223.0)	(217.9)	(235.9)	5.1
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	8,812.0	21,828.0	22,730.3	13,918.3	902.3
Fund Balances (Deficits) at April 1	14,284.0	14,283.0	14,284.8	0.8	1.8
Fund Balances (Deficits) at February 28, 2021	\$ 23,096.0	\$ 36,111.0	\$ 37,015.1	\$ 13,919.1	\$ 904.1

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2021-22 Executive Budget with 30-day amendments dated February 22, 2021.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR ELEVEN MONTHS ENDED FEBRUARY 28, 2021
(amounts in millions)

	STATE OPERATING FUNDS (****)			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 45,500.0	\$ 51,380.0	\$ 51,635.0	\$ 6,135.0
Consumption/Use	13,580.0	14,156.0	14,203.1	623.1
Business	6,034.0	5,913.9	5,913.9	(120.1)
Other	1,796.0	2,049.0	2,214.4	418.4
Miscellaneous Receipts	21,570.0	22,410.0	22,519.5	949.5
Federal Receipts	14.0	46.0	51.9	37.9
Total Receipts	88,494.0	95,658.0	96,537.8	8,043.8
DISBURSEMENTS:				
Local Assistance Grants	52,415.0	51,082.0	51,381.6	(1,033.4)
Departmental Operations	17,343.0	15,909.0	15,861.3	(1,481.7)
General State Charges	7,673.0	6,282.0	6,387.2	(1,285.8)
Debt Service	2,490.0	3,478.0	3,468.4	978.4
Capital Projects	-	-	-	-
Total Disbursements	79,921.0	76,751.0	77,098.5	(2,822.5)
Excess (Deficiency) of Receipts over Disbursements	8,573.0	18,907.0	19,439.3	10,866.3
OTHER FINANCING SOURCES (USES):				
Transfers from Other Funds	29,072.0	29,808.0	29,631.3	559.3
Transfers to Other Funds	(29,036.0)	(30,693.0)	(30,596.1)	1,560.1
Total Other Financing Sources (Uses)	36.0	(85.0)	(964.8)	(1,000.8)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	8,609.0	18,022.0	18,474.5	9,865.5
Fund Balances (Deficits) at April 1	14,408.0	14,407.0	14,408.3	0.3
Fund Balances (Deficits) at February 28, 2021	\$ 23,017.0	\$ 32,429.0	\$ 32,882.8	\$ 9,865.8

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2021-22 Executive Budget with 30-day amendments dated February 22, 2021.

(***) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.

(****) Eliminations between Special Revenue - State and Federal Funds are not included.

**STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR ELEVEN MONTHS ENDED FEBRUARY 28, 2021
(amounts in millions)**

EXHIBIT D

	GENERAL FUND				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	\$ 20,687.0	\$ 23,681.0	\$ 23,808.9	\$ 3,121.9	\$ 127.9
Consumption/Use	6,302.0	6,566.0	6,588.3	286.3	22.3
Business	4,583.0	4,242.0	4,501.3	(81.7)	259.3
Other	1,038.0	1,322.0	1,463.8	425.8	141.8
Miscellaneous Receipts	6,052.0	6,769.0	6,853.3	801.3	84.3
Federal Receipts	-	-	0.2	0.2	0.2
Transfers From:					
PIT / ECET in excess of Revenue Bond Debt Service	16,350.0	17,823.0	17,936.9	1,586.9	113.9
Sales Tax in excess of LGAC / STRBF Debt Service	4,455.0	4,750.0	4,781.6	326.6	31.6
Real Estate Taxes in excess of CW/CA Debt Service	714.0	681.0	704.2	(9.8)	23.2
All Other	1,447.0	1,754.0	1,571.4	124.4	(182.6)
Total Receipts and Other Financing Sources	61,628.0	67,588.0	68,209.9	6,581.9	621.9
DISBURSEMENTS:					
Local Assistance Grants	37,770.0	36,669.0	36,893.1	(876.9)	224.1
Departmental Operations	10,391.0	8,902.0	8,879.7	(1,511.3)	(22.3)
General State Charges	6,718.0	5,447.0	5,593.3	(1,124.7)	146.3
Transfers To:					
Debt Service	1,817.0	317.0	324.7	(1,492.3)	7.7
Capital Projects	2,079.0	3,236.0	3,204.7	1,125.7	(31.3)
State Share Medicaid	-	-	266.8	266.8	266.8
SUNY Operations	1,235.0	1,016.0	1,012.8	(222.2)	(3.2)
Other Purposes	945.0	942.0	648.8	(296.2)	(293.2)
Total Disbursements and Other Financing Uses	60,955.0	56,529.0	56,823.9	(4,131.1)	294.9
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	673.0	11,059.0	11,386.0	10,713.0	327.0
Fund Balances (Deficits) at April 1	8,944.0	8,944.0	8,944.2	0.2	0.2
Fund Balances (Deficits) at February 28, 2021	\$ 9,617.0	\$ 20,003.0	\$ 20,330.2	\$ 10,713.2	\$ 327.2

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2021-22 Executive Budget with 30-day amendments dated February 22, 2021.

(***) 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 2020-2021
FOR ELEVEN MONTHS ENDED FEBRUARY 28, 2021
(amounts in millions)

SPECIAL REVENUE FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Personal Income	\$ 2,064.0	\$ 2,009.0	\$ 2,008.6	\$ -	\$ 2,008.6	\$ (55.4) \$ (0.4)
Consumption/Use	1,578.0	1,607.0	1,605.3	-	1,605.3	27.3 (1.7)
Business	1,451.0	1,375.0	1,412.6	-	1,412.6	(38.4) 37.6
Miscellaneous Receipts	15,327.0	15,422.0	15,478.4	-	15,478.4	151.4 56.4
Federal Receipts	60,268.0	71,058.0	69,450.1	-	69,450.1	9,182.1 (1,607.9)
Transfers from Other Funds (***)	2,616.0	2,551.0	2,506.4	(577.7)	1,928.7	(687.3) (622.3)
Total Receipts and Other Financing Sources	83,304.0	94,022.0	92,461.4	(577.7)	91,883.7	8,579.7
DISBURSEMENTS:						
Local Assistance Grants	69,409.0	73,605.0	72,467.4	-	72,467.4	3,058.4 (1,137.6)
Departmental Operations	8,816.0	11,008.0	10,793.8	-	10,793.8	1,977.8 (214.2)
General State Charges	1,270.0	2,149.0	2,111.3	-	2,111.3	841.3 (37.7)
Debt Service	133.0	102.0	102.2	-	102.2	(30.8) 0.2
Capital Projects	-	2.0	-	-	-	- (2.0)
Transfers to Other Funds (***)	1,943.0	2,710.0	2,337.8	(577.7)	1,760.1	(182.9) (949.9)
Total Disbursements and Other Financing Uses	81,571.0	89,576.0	87,812.5	(577.7)	87,234.8	5,663.8
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,733.0	4,446.0	4,648.9	-	4,648.9	2,915.9
Fund Balances (Deficits) at April 1	6,312.0	6,311.0	6,312.1	-	6,312.1	0.1
Fund Balances (Deficits) at February 28, 2021	\$ 8,045.0	\$ 10,757.0	\$ 10,961.0	\$ -	\$ 10,961.0	\$ 204.0

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2021-22 Executive Budget with 30-day amendments dated February 22, 2021.

(***) 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 2020-2021
FOR ELEVEN MONTHS ENDED FEBRUARY 28, 2021
(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	\$ 2,064.0	\$ 2,009.0	\$ 2,008.6	\$ (55.4)	\$ -	\$ -	\$ -	\$ -
Consumption/Use	1,578.0	1,607.0	1,605.3	27.3	-	-	-	-
Business	1,451.0	1,375.0	1,412.6	(38.4)	-	-	-	-
Miscellaneous Receipts	15,167.0	15,247.0	15,305.9	138.9	175.0	172.5	12.5	(2.5)
Federal Receipts	(24.0)	7.0	(12.9)	11.1	71,061.0	69,463.0	9,171.0	(1,588.0)
Transfers from Other Funds	2,616.0	2,551.0	2,506.4	(109.6)	-	-	-	-
Total Receipts and Other Financing Sources	22,852.0	22,796.0	22,825.9	(26.1)	71,226.0	69,636.5	9,183.5	(1,590.5)
DISBURSEMENTS:								
Local Assistance Grants	14,645.0	14,413.0	14,488.5	(156.5)	59,192.0	57,978.9	3,214.9	(1,213.1)
Departmental Operations	6,926.0	6,979.0	6,932.4	6.4	4,029.0	3,861.4	1,971.4	(167.6)
General State Charges	955.0	835.0	793.9	(161.1)	1,314.0	1,317.4	1,002.4	3.4
Debt Service	-	-	-	-	102.0	102.2	(30.8)	0.2
Capital Projects	-	-	-	-	2.0	-	-	(2.0)
Transfers to Other Funds	261.0	588.0	344.0	83.0	2,122.0	1,993.8	311.8	(128.2)
Total Disbursements and Other Financing Uses	22,787.0	22,815.0	22,558.8	(228.2)	66,761.0	65,253.7	6,469.7	(1,507.3)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	65.0	(19.0)	267.1	202.1	4,465.0	4,381.8	2,713.8	(83.2)
Fund Balances (Deficits) at April 1	5,401.0	5,400.0	5,400.7	(0.3)	911.0	911.4	0.4	0.4
Fund Balances (Deficits) at February 28, 2021	\$ 5,466.0	\$ 5,381.0	\$ 5,667.8	\$ 201.8	\$ 5,376.0	\$ 5,293.2	\$ 2,714.2	\$ (82.8)

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2021-22 Executive Budget with 30-day amendments dated February 22, 2021.

**STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR ELEVEN MONTHS ENDED FEBRUARY 28, 2021
(amounts in millions)**

EXHIBIT D

	DEBT SERVICE FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	\$ 22,749.0	\$ 25,690.0	\$ 25,817.5	\$ 3,068.5	\$ 127.5
Consumption/Use	5,700.0	5,983.0	6,009.5	309.5	26.5
Other	758.0	727.0	750.6	(7.4)	23.6
Miscellaneous Receipts	351.0	394.0	360.3	9.3	(33.7)
Federal Receipts	38.0	39.0	64.6	26.6	25.6
Transfers from Other Funds	3,490.0	2,249.0	2,130.8	(1,359.2)	(118.2)
Total Receipts and Other Financing Sources	33,086.0	35,082.0	35,133.3	2,047.3	51.3
DISBURSEMENTS:					
Departmental Operations	26.0	28.0	49.2	23.2	21.2
Debt Service	2,490.0	3,478.0	3,468.4	978.4	(9.6)
Transfers to Other Funds	22,699.0	24,594.0	24,794.3	2,095.3	200.3
Total Disbursements and Other Financing Uses	25,215.0	28,100.0	28,311.9	3,096.9	211.9
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	7,871.0	6,982.0	6,821.4	(1,049.6)	(160.6)
Fund Balances (Deficits) at April 1	63.0	63.0	63.4	0.4	0.4
Fund Balances (Deficits) at February 28, 2021	\$ 7,934.0	\$ 7,045.0	\$ 6,884.8	\$ (1,049.2)	\$ (160.2)

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2021-22 Executive Budget with 30-day amendments dated February 22, 2021.

**STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR ELEVEN MONTHS ENDED FEBRUARY 28, 2021
(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	\$ 499.0	\$ 471.0	\$ 474.1	\$ -	\$ 474.1	\$ (24.9)
Business	528.0	499.0	489.7	-	489.7	(38.3)
Other	108.0	107.0	107.2	-	107.2	(0.8)
Miscellaneous Receipts	6,643.0	5,670.0	5,199.2	-	5,199.2	(1,443.8)
Federal Receipts	1,944.0	1,884.0	1,820.0	-	1,820.0	(124.0)
Bond and Note Proceeds, net	-	-	-	-	-	-
Transfers from Other Funds	2,161.0	3,316.0	3,585.8	(312.5)	3,273.3	1,112.3
Total Receipts and Other Financing Sources	11,883.0	11,947.0	11,676.0	(312.5)	11,363.5	(519.5)
DISBURSEMENTS:						
Local Assistance Grants	4,152.0	4,752.0	4,568.9	-	4,568.9	416.9
Capital Projects	8,699.0	7,322.0	6,388.0	-	6,388.0	(2,311.0)
Transfers to Other Funds	497.0	532.0	845.1	(312.5)	532.6	35.6
Total Disbursements and Other Financing Uses	13,348.0	12,606.0	11,802.0	(312.5)	11,489.5	(1,858.5)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,465.0)	(659.0)	(126.0)	-	(126.0)	1,339.0
Fund Balances (Deficits) at April 1	(1,035.0)	(1,035.0)	(1,034.9)	-	(1,034.9)	0.1
Fund Balances (Deficits) at February 28, 2021	\$ (2,500.0)	\$ (1,694.0)	\$ (1,160.9)	\$ -	\$ (1,160.9)	\$ 533.1

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2021-22 Executive Budget with 30-day amendments dated February 22, 2021.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR ELEVEN MONTHS ENDED FEBRUARY 28, 2021
(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) Enacted Financial Plan	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan
RECEIPTS:								
Taxes:								
Consumption/Use	\$ 498.0	\$ 471.0	\$ 474.1	\$ (24.9)	\$ -	\$ -	\$ -	\$ -
Business	528.0	499.0	489.7	(38.3)	-	-	-	-
Other	108.0	107.0	107.2	(0.8)	-	-	-	-
Miscellaneous Receipts	6,643.0	5,669.0	5,198.3	(1,444.7)	-	1.0	0.9	(0.1)
Federal Receipts	2.0	2.0	2.1	0.1	1,942.0	1,882.0	1,817.9	(64.1)
Bond and Note Proceeds, net	-	-	-	-	-	-	-	-
Transfers from Other Funds	2,470.0	3,516.0	3,595.8	1,115.8	(309.0)	(200.0)	-	200.0
Total Receipts and Other Financing Sources	10,250.0	10,264.0	9,857.2	(392.8)	1,633.0	1,663.0	1,818.8	135.8
DISBURSEMENTS:								
Local Assistance Grants	3,527.0	4,205.0	4,063.3	536.3	625.0	547.0	505.6	(41.4)
Capital Projects	7,676.0	6,290.0	5,341.5	(2,334.5)	1,023.0	1,032.0	1,046.5	14.5
Transfers to Other Funds	498.0	532.0	532.6	34.6	(1.0)	-	312.5	313.5
Total Disbursements and Other Financing Uses	11,701.0	11,027.0	9,937.4	(1,763.6)	1,647.0	1,579.0	1,864.6	285.6
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,451.0)	(763.0)	(80.2)	1,370.8	(14.0)	104.0	(45.8)	(149.8)
Fund Balances (Deficits) at April 1	(471.0)	(471.0)	(472.2)	(1.2)	(564.0)	(564.0)	(562.7)	1.3
Fund Balances (Deficits) at February 28, 2021	\$ (1,922.0)	\$ (1,234.0)	\$ (552.4)	\$ 1,369.6	\$ (578.0)	\$ (460.0)	\$ (608.5)	\$ (148.5)

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2021-22 Executive Budget with 30-day amendments dated February 22, 2021.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMPARATIVE SCHEDULE OF TAX RECEIPTS
(amounts in millions)

	GENERAL			SPECIAL REVENUE		DEBT SERVICE		CAPITAL PROJECTS		TOTAL GOVERNMENTAL FUNDS		YEAR OVER YEAR	
	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	MONTH OF FEB. 2021	11 MOS. ENDED FEB. 28, 2021	\$ Increase/ (Decrease)	% Increase/ Decrease
PERSONAL INCOME TAX													
Withholding	\$ 5,272.3	\$ 39,134.6	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,886.6	\$ 38,569.0	\$ 565.6	1.5%
Estimated Payments	155.9	16,313.8	-	-	-	-	-	-	-	101.8	16,899.8	(586.0)	-3.5%
Returns	64.0	3,340.7	-	-	-	-	-	-	-	52.9	3,287.8	52.9	1.6%
State/City Offsets	(60.7)	(1,088.1)	-	-	-	-	-	-	-	(40.7)	(1,045.9)	42.2	4.0%
Other Assessments(LLC)	104.1	1,070.2	-	-	-	-	-	-	-	116.6	1,212.7	(142.5)	-11.8%
Gross Receipts	5,535.6	58,771.2	-	-	-	-	-	-	-	4,927.6	58,923.4	(152.2)	-0.3%
Transfers to School Tax Relief Fund	-	(2,008.6)	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(2,691.9)	(25,817.5)	-	-	-	2,691.9	25,817.5	-	-	-	-	-	0.0%
Less: Refunds Issued	(151.8)	(7,136.2)	-	-	-	-	-	-	-	(1,230.8)	(9,010.2)	(1,874.0)	-20.8%
Total	2,691.9	23,006.9	-	-	2,008.6	2,691.9	25,817.5	-	-	3,698.8	49,913.2	1,721.8	3.4%
CONSUMPTION/USE TAXES													
Sales and Use	499.7	6,013.9	71.3	824.5	499.4	6,008.5	-	-	-	1,118.7	14,635.2	(1,787.3)	-12.2%
Auto Rental	-	-	-	8.7	-	-	-	41.8	-	0.1	83.6	(33.1)	-39.6%
Cigarette/Tobacco Products	19.1	292.2	37.2	654.8	-	-	-	-	-	65.8	964.1	(17.1)	-1.8%
Medical Marijuana	-	-	0.8	8.0	-	-	-	-	-	0.5	5.3	2.7	50.9%
Motor Fuel	-	-	7.0	83.4	-	-	24.9	307.2	-	35.7	473.4	(82.8)	-17.5%
Alcoholic Beverage	13.9	252.3	-	-	-	-	-	-	-	12.3	246.4	5.9	2.4%
Highway Use	-	-	-	0.4	-	-	-	125.1	-	9.0	131.4	(5.9)	-4.5%
Vapor Excise	-	-	-	25.5	-	-	-	-	-	2.5	-	25.5	100.0%
Opioid Excise	-	29.9	-	-	-	-	-	-	-	2.5	19.4	10.5	54.1%
Total	532.7	6,588.3	116.3	1,805.3	499.4	6,008.5	-	474.1	-	1,244.6	16,558.8	(1,881.6)	-11.4%
BUSINESS TAXES													
Corporation Franchise	55.8	2,897.4	36.8	796.2	-	-	-	-	-	(70.2)	3,618.4	75.2	2.1%
Corporation and Utilities	(5.9)	260.1	(7.6)	82.2	-	-	(1.4)	6.9	-	0.9	414.7	(65.5)	-15.8%
Insurance	23.0	1,217.1	(1.3)	135.3	-	-	-	-	-	0.2	1,528.2	(175.8)	-11.5%
Bank	(12.0)	126.7	(0.6)	16.2	-	-	-	-	-	24.9	148.3	(21.6)	-14.6%
Petroleum Business	-	-	39.2	382.7	-	-	38.3	485.8	-	80.0	1,075.1	(209.6)	-19.5%
Total	60.9	4,501.3	57.9	1,412.6	-	-	36.9	485.7	-	35.8	6,651.0	(227.4)	-3.4%
OTHER TAXES													
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Estate and Gift	202.7	1,452.7	-	-	-	-	-	-	-	115.5	1,022.5	430.2	42.1%
Parr-Mutuel	0.8	9.5	-	-	-	-	-	-	-	0.9	13.8	(4.3)	-31.2%
Real Estate Transfer	-	-	-	-	75.1	749.1	11.9	107.2	-	84.2	1,036.2	(179.9)	-17.4%
Racing and Exhibitions	-	0.1	-	-	-	-	-	-	-	0.1	2.0	(1.9)	-85.0%
Employer Compensation Expense Tax	0.1	1.5	-	-	0.1	1.5	-	-	-	(0.1)	1.8	1.2	66.7%
Total	203.6	1,463.8	-	-	75.2	750.6	11.9	107.2	-	200.6	2,076.3	245.3	11.8%
Total Tax Receipts	\$ 3,489.1	\$ 36,362.3	\$ 173.8	\$ 5,026.5	\$ 3,266.5	\$ 32,577.6	\$ 84.5	\$ 1,071.0	\$ -	\$ 5,177.8	\$ 75,179.3	\$ (141.9)	-0.2%

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

11 Months Ended February 28																	
	2020	2021											% Increase/ Decrease				
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2021	2020	\$ Increase/ (Decrease)	% Increase/ Decrease	
Beginning Fund Balance	\$ 14,284.8	\$ 20,544.4	\$ 17,650.3	\$ 20,623.6	\$ 28,288.0	\$ 27,457.2	\$ 25,800.5	\$ 23,991.8	\$ 27,525.0	\$ 29,610.1	\$ 35,571.9		\$ 14,284.8	\$ 9,975.0	\$ 4,308.8	43.2%	
RECEIPTS:																	
Taxes:																	
Personal Income Tax:																	
Withholdings	3,187.3	2,928.3	3,086.3	3,400.3	2,976.6	3,147.2	2,919.5	3,023.3	4,648.0	4,626.5	5,272.3		38,534.6	38,569.0	565.6	1.5%	
Estimated Payments	211.6	70.9	1,493.0	6,329.0	121.3	2,510.0	178.8	98.6	335.5	4,810.2	165.9		1,830.0	1,830.0	-	-	
Returns	339.1	124.7	280.9	1,785.1	68.3	83.4	529.0	51.4	32.3	32.5	340.0		3,340.7	3,387.8	52.9	1.6%	
State/City Offsets	(89.6)	(38.6)	(59.4)	(187.0)	(28.1)	(71.7)	(444.9)	(65.9)	(58.9)	(188.1)	(3.5)		(1,088.1)	(1,045.9)	42.2	4.0%	
Other Assessments(LLC)	107.4	63.0	63.0	133.3	75.0	97.9	144.3	90.9	114.3	116.1	104.1		1,070.2	1,212.7	(142.5)	-11.8%	
Gross Receipts	3,775.6	3,144.2	4,854.8	11,410.5	3,114.1	5,766.8	3,312.7	3,263.3	5,076.8	9,571.8	5,535.6		38,771.2	38,923.4	(152.2)	-0.3%	
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-	-	-	-		-	-	-	0.0%	
Transfers to Revenue Bond Tax Fund	-	-	-	-	-	-	-	-	-	-	-		-	-	-	0.0%	
Refunds Issued	(1,709.4)	(945.0)	(488.3)	(1,179.8)	(391.1)	(495.4)	(781.1)	(633.5)	(244.0)	(118.6)	(151.8)		(7,136.2)	(6,010.2)	(1,874.0)	-20.9%	
Total Personal Income Tax	2,066.2	2,199.2	4,388.5	10,230.7	2,723.0	5,271.4	2,531.6	2,574.8	4,832.8	9,453.0	5,383.8		51,635.0	49,913.2	1,721.8	3.3%	
Consumption/Use Taxes:																	
Sales and Use	889.4	799.8	1,210.0	1,132.4	1,146.4	1,540.2	1,146.6	1,165.8	1,500.2	1,280.7	1,070.4		14,835.2	14,835.2	-	-	
Auto Rental	0.5	(1.4)	13.5	2.1	14.5	0.1	0.1	-	19.1	19.1	-		50.5	83.6	(33.1)	-39.6%	
Cigarette/Tobacco Products	98.8	74.0	86.1	97.8	87.0	103.4	81.0	86.0	87.5	88.1	56.3		947.0	984.1	(37.1)	-3.8%	
Medical Marijuana	0.5	0.6	0.7	0.6	0.8	0.7	0.8	0.7	0.8	0.8	0.8		8.0	5.3	2.7	50.9%	
Motor Fuel	30.3	21.4	31.5	39.7	42.5	41.6	39.6	38.7	42.4	30.0	31.9		390.6	473.4	(82.8)	-17.5%	
Alcoholic Beverage	28.7	21.4	22.8	23.1	23.3	23.8	23.9	23.9	18.6	25.3	22.9		252.3	246.4	5.9	2.4%	
Highway Use	8.9	12.4	11.6	12.4	10.3	12.7	10.6	11.5	12.7	11.6	10.8		131.4	131.4	-	-	
Vapor Excise	-	0.1	11.7	(0.4)	(0.1)	7.4	10.6	11.5	12.7	6.8	25.5		25.5	25.5	-	100.0%	
Opioid Excise	7.2	-	-	8.9	-	0.3	6.1	0.1	0.2	7.1	-		19.4	19.4	-	-	
Total Consumption/Use Taxes	1,045.0	915.8	1,387.7	1,312.1	1,321.1	1,744.1	1,302.5	1,327.7	1,688.3	1,443.4	1,184.1		14,672.2	16,538.8	(1,866.6)	-11.3%	
Business Taxes:																	
Business Tax/Franchise	254.4	(134.7)	557.5	563.2	29.7	1,000.7	115.0	90.1	1,079.1	48.0	92.6		3,618.4	3,618.4	-	-	
Corporation and Utilities	15.6	(11.0)	94.9	33.3	2.3	106.3	10.2	0.5	102.0	10.0	349.2		1,349.2	1,414.7	(65.5)	-4.6%	
Insurance	70.2	6.5	364.0	33.3	16.0	391.7	23.1	9.2	421.6	(4.9)	21.7		1,352.4	1,528.2	(175.8)	-11.5%	
Bank	7.4	2.6	91.8	0.7	48.5	15.3	0.4	(0.7)	1.6	(10.1)	(12.6)		142.9	(5.4)	148.3	2,746.3%	
Petroleum Business	88.3	39.8	85.7	87.9	86.4	98.4	88.5	82.8	81.2	76.4	88.5		895.5	1,075.1	(209.6)	-19.5%	
Total Business Taxes	415.9	(66.6)	1,193.9	718.4	181.5	1,612.4	238.2	181.9	1,685.5	117.4	155.3		6,403.6	6,631.0	(227.4)	-3.4%	
Other Taxes:																	
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-		-	-	-	0.0%	
Estate and Gift	72.7	52.0	147.3	147.7	55.8	91.3	135.1	131.5	123.1	293.5	202.7		1,452.7	1,022.5	430.2	42.1%	
Pari-Mutuel	0.7	0.2	0.8	1.0	1.4	0.7	1.6	0.8	0.9	0.6	9.5		13.8	(4.3)	17.2	124.3%	
Racing and Exhibitions	57.2	48.4	49.8	64.9	68.3	82.2	77.8	90.8	107.1	122.8	87.0		858.5	1,036.2	(177.7)	-17.1%	
Employer Compensation Expense Tax	0.2	(0.2)	0.2	0.2	0.2	0.2	0.3	0.2	0.2	0.7	0.2		1.8	1.2	0.6	50.0%	
Total Other Taxes	130.9	100.4	198.1	213.8	126.7	174.4	214.8	223.3	231.9	417.6	290.7		2,321.6	2,076.3	245.3	11.8%	
Total Taxes	3,658.0	3,118.6	7,149.2	12,482.4	4,342.3	8,802.3	4,287.1	4,307.7	8,438.5	11,437.4	7,013.9		75,037.4	75,178.3	(141.9)	-0.2%	
Miscellaneous Receipts:																	
Abandoned Property:																	
Abandoned Property	1.6	0.7	0.8	0.9	25.9	86.0	11.4	215.9	31.4	6.0	1.3		381.9	321.5	60.4	18.8%	
Bottle Bill	0.7	0.3	20.6	18.4	0.1	43.2	2.1	0.7	21.4	0.8	-		108.3	85.7	12.6	13.2%	
Assessments:																	
Business	54.6	66.0	88.0	78.5	48.6	72.7	97.6	19.0	97.4	63.6	40.6		728.6	822.5	(95.9)	-11.7%	
Medical Care	571.2	468.8	506.1	442.6	463.6	520.0	508.0	477.1	507.2	461.0	491.7		5,416.3	5,939.8	(522.5)	-8.8%	
Public Utilities	0.1	-	0.4	4.4	0.4	45.4	(10.1)	(1.6)	0.7	48.1	6.4		55.0	(8.9)	(58.9)	-16.2%	
Other	-	0.1	-	-	-	-	-	0.1	-	-	-		0.2	1.0	(0.8)	-80.0%	
Fees, Licenses and Permits:																	
Alcohol Beverage Control Licensing	2.2	2.9	2.9	4.9	4.8	5.4	5.0	3.8	3.0	4.9	4.9		44.7	68.0	(23.3)	-34.3%	
Audit Fees	-	-	0.1	0.2	0.7	0.7	0.1	0.3	0.1	0.1	2.2		2.6	(0.4)	(1.6)	-15.4%	
Business/Professional:	69.0	71.8	116.0	55.6	58.3	128.6	98.5	47.1	114.5	79.7	47.5		851.7	889.9	(38.2)	-4.3%	
Civil	0.6	3.3	3.3	3.3	88.6	8.6	14.6	8.6	8.6	16.7	179.0		268.3	(9.3)	268.3	32.8%	
Motor Vehicle	(29.8)	187.3	200.9	103.6	103.6	128.9	103.6	114.2	114.4	110.7	100.2		1,345.4	1,248.0	97.4	7.8%	
Recreational/Consumer	43.0	-	36.6	34.2	43.3	155.0	85.3	60.7	57.8	48.3	83.5		865.5	869.5	(4.0)	-0.5%	
Fines, Penalties and Forfeitures	100.9	233.7	18.3	201.3	6.9	16.3	80.1	154.8	11.0	40.3	23.0		866.6	1,337.4	(450.8)	-33.7%	
Gaming:	-	-	-	-	-	-	-	-	-	-	-		-	-	-	-	
Casino	-	-	-	20.8	-	8.0	33.4	10.0	10.2	27.1	10.5		120.0	88.0	32.0	36.4%	
Lottery	157.0	142.1	173.8	202.2	195.9	199.3	199.3	171.0	215.6	256.5	188.9		2,224.5	2,224.5	-	0.0%	
Video Lottery	-	0.6	-	(0.4)	-	33.8	59.6	54.2	58.0	55.4	320.1		897.8	(607.7)	(1,505.5)	-168.4%	
Interest Earnings	32.9	18.2	9.2	5.2	6.7	6.2	5.8	5.9	5.9	6.4	11.3		397.9	(387.9)	(784.5)	-197.1%	
Receipts from Public Authorities:																	
Bond Proceeds	1,122.1	1,018.1	3,842.4	288.9	32.4	384.7	898.6	1.0	982.3	3.9	289.3		8,942.9	3,555.0	5,387.9	151.8%	
Loss Recovery Assessments	0.5	1.4	25.5	24.7	2.3	1.8	30.2	0.5	21.6	4.3	4.6		85.5	83.5	2.0	2.4%	
Non Bond Related	9.0	0.3	0.5	0.3	2.3	0.1	0.8	-	28.6	17.7	30.1		64.6	135.5	(70.9)	-52.3%	
Receipts from Municipalities	9.3	2.5	3.9	3.8	2.0	4.7	3.5	3.5	5.1	4.1	1.0		43.8	69.1	(25.3)	-36.5%	
Rentals	(4.6)	(41.7)	1.8	4.2	7.8	35.9	61.8	12.5	8.5	31.0	53.3		(193.9)	384.3	(578.2)	-296.5%	

**STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)**

	2020			11 Months Ended February 28											
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021	2020	\$ Increase/ (Decrease)	% Increase/ Decrease		
Revenues of State Departments:															
Administrative Recoveries	25.0	8.8	25.4	9.1	8.9	25.6	24.5	8.8	22.6	189.5	208.1	(38.6)	-18.5%		
Commissions	0.6	(0.3)	0.2	0.2	-	1.3	0.2	0.9	14.2	19.2	27.6	(8.4)	-30.4%		
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	68.0	50.0	488.0	(350.0)	-74.8%		
Gifts, Grants and Donations	0.6	2.2	27.9	0.7	1.9	2.1	5.9	0.7	3.4	0.3	45.7	3.5	8.3%		
Indirect Cost Recoveries	5.5	5.4	7.4	5.9	6.1	5.7	5.0	5.5	87.1	67.4	78.9	(11.5)	-14.6%		
Patient/Client Care Reimbursement	526.5	372.8	350.6	221.8	221.8	79.0	291.4	371.4	208.1	208.1	2,480.7	(15.9)	23.7%		
Rebates	7.8	15.3	13.2	17.7	12.7	12.7	12.7	13.8	11.1	12.7	153.6	(15.9)	-10.4%		
Restitution and Settlements	0.6	0.6	0.6	0.3	42.7	5.3	3.6	1.3	2.0	22.6	84.3	23.4	36.4%		
Student Loans	6.1	1.4	3.2	6.4	6.8	5.3	6.0	4.9	4.3	6.0	60.8	(17.5)	-28.8%		
All Other	(19.5)	10.7	30.0	75.6	48.8	65.5	75.7	42.8	41.3	50.6	632.7	(100.6)	-15.9%		
Sales	0.5	0.6	2.6	3.0	0.8	0.7	1.8	0.8	0.6	1.2	21.1	(6.8)	-32.2%		
Tuition	(67.5)	33.5	28.9	30.9	176.3	375.7	172.8	49.7	(32.8)	128.0	1,433.4	(38.4)	-2.7%		
Total Miscellaneous Receipts	2,637.2	2,439.7	5,557.0	1,978.6	1,550.7	2,444.4	2,831.9	1,694.2	2,840.4	17,921.7	25,958.8	21,933.4	8.5%		
Federal Receipts	10,863.1	4,207.0	7,520.2	5,423.2	4,591.2	10,136.1	7,699.2	4,274.8	7,541.3	5,908.6	80,603.1	10,731.8	17.7%		
Total Receipts	17,158.3	9,765.3	20,227.3	19,884.2	10,484.2	21,382.8	14,728.2	10,281.7	18,820.2	19,088.7	161,478.2	12,785.3	7.9%		
DISBURSEMENTS:															
Local Assistance Grants:															
Education	1,149.2	4,132.7	3,964.9	789.2	1,070.5	4,157.3	1,350.8	1,804.3	2,685.5	2,974.1	27,553.8	(1,612.3)	-5.9%		
Environment and Recreation	4.5	3.7	14.0	12.9	20.6	15.6	7.7	10.0	20.8	36.6	40.1	(345.2)	-61.1%		
General Government	48.5	17.7	543.7	67.4	108.0	3,937.2	322.4	159.0	333.9	93.6	2,027.0	3,894.9	181.8%		
Public Health:															
Medicaid	5,410.3	5,096.6	6,092.5	5,357.6	5,329.9	7,004.6	4,298.1	4,812.6	6,709.3	5,415.5	60,788.8	(2,235.1)	-3.7%		
Other Public Health	602.5	639.5	980.4	1,028.7	701.7	1,078.5	816.2	774.3	984.5	1,026.5	9,077.9	2,062.3	2.8%		
Public Safety	95.3	63.6	163.3	285.2	71.2	151.0	634.7	56.8	180.7	95.7	1,656.7	433.6	26.1%		
Public Welfare	211.8	217.7	388.7	850.8	394.1	1,487.5	478.0	394.6	426.5	436.7	6,482.8	(300.2)	-4.6%		
Support and Regulate Business	48.1	15.1	35.9	26.7	84.5	22.3	64.2	54.2	144.9	31.4	1,031.0	(357.9)	-34.7%		
Transportation	90.0	90.9	72.6	825.5	509.6	618.1	745.0	865.3	1,009.2	275.1	4,990.9	291.2	5.8%		
Total Local Assistance Grants	7,660.2	10,278.5	12,246.0	9,234.0	8,224.0	18,472.1	8,705.1	9,022.1	12,355.3	10,387.2	114,012.0	(82.6)	-0.1%		
Departmental Operations:															
Personal Service	1,589.5	1,135.9	1,116.4	1,279.6	1,053.9	1,527.0	1,119.2	1,080.2	1,298.5	1,079.8	13,620.6	(310.3)	-2.3%		
Non-Personal Service	584.1	417.0	584.1	577.1	605.9	756.7	620.6	670.7	620.6	641.0	6,282.7	128.7	2.1%		
General State Charges	535.2	395.0	2,621.5	471.9	414.0	616.1	511.7	500.1	474.5	567.8	8,188.4	(484.8)	-5.9%		
Debt Service, Including Payments on	36.5	23.5	28.9	10.7	337.6	841.8	39.8	30.4	1,320.0	10.6	878.8	2,267.7	56.8%		
Financing Agreements	509.8	405.0	681.8	641.4	667.7	706.7	533.6	608.8	630.5	453.5	6,453.2	(65.2)	-1.0%		
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-		
Total Disbursements	10,895.3	12,656.9	17,199.0	12,213.9	11,303.1	22,920.4	11,530.0	11,745.5	16,731.8	13,135.6	150,834.6	480.7	0.3%		
Excess (Deficiency) of Receipts over Disbursements	6,263.0	(2,891.6)	3,028.3	7,670.3	(818.9)	(1,537.6)	3,196.2	(1,463.8)	2,088.4	5,963.1	10,643.6	12,304.6	115.6%		
OTHER FINANCING SOURCES (USES):															
Bond and Note Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	0.0%		
Transfers from Other Funds	1,063.1	1,868.4	4,185.9	5,857.2	1,887.7	3,319.7	1,887.5	2,244.8	3,331.2	2,997.9	39,962.1	(7,635.2)	-19.1%		
Transfers to Other Funds	(1,066.5)	(1,960.9)	(4,240.9)	(5,863.1)	(1,894.6)	(3,438.8)	(1,889.4)	(2,247.8)	(3,334.5)	(2,999.2)	(40,087.6)	(7,542.8)	-18.8%		
Total Other Financing Sources (Uses)	(3.4)	(2.9)	(55.0)	(5.9)	(11.9)	(119.1)	(6.9)	(3.0)	(3.3)	(1.3)	(125.5)	(92.4)	-73.6%		
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	6,259.6	(2,894.1)	2,973.3	7,664.4	(830.8)	(1,656.7)	3,191.3	(1,466.8)	2,085.1	5,961.8	10,518.1	12,212.2	116.1%		
Ending Fund Balance	\$ 20,544.4	\$ 17,650.3	\$ 20,623.6	\$ 28,288.0	\$ 27,457.2	\$ 25,890.5	\$ 28,091.8	\$ 27,525.0	\$ 29,610.1	\$ 35,571.9	\$ 37,015.1	\$ 16,522.0	80.6%		

(*) Governmental Funds includes General, Special Revenue, Debt Service and Capital Projects Funds combined.

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Beginning Fund Balance	11 Months Ended February 28											% Increase/Decrease
	2020										% Increase/Decrease	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021		
	\$ 14,408.3	\$ 16,171.6	\$ 13,542.7	\$ 14,662.2	\$ 22,665.9	\$ 22,416.0	\$ 22,883.0	\$ 23,825.2	\$ 22,940.5	\$ 25,029.5	\$ 12,381.3	
RECEIPTS:												
Taxes:												
Personal Income Tax:												
Withholdings	3,187.3	2,928.3	3,086.3	3,400.3	2,876.6	3,147.2	2,919.5	3,032.3	4,648.0	4,626.5	5,272.3	565.6
Estimated Payments	211.6	70.9	1,453.0	6,320.0	121.3	2,510.0	176.8	99.6	335.5	4,910.2	18,313.8	16,889.8
Returns	31.3	18.3	28.9	1,825.0	18.3	335.0	335.0	335.0	335.0	22.5	1,313.9	1,313.9
Other (Assessments/LLC)	107.4	60.1	63.0	103.1	75.0	97.9	133.3	90.8	118.3	104.1	1,212.7	4.9
Gross Receipts	3,775.6	3,144.2	4,854.8	11,410.3	3,114.1	5,766.8	3,317.7	3,268.3	5,076.8	9,971.8	58,771.2	58,923.4
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to Revenue Bond Tax Fund	-	-	-	-	-	-	-	-	-	-	-	-
Refunds Issued	(1,708.4)	(845.0)	(466.3)	(1,178.8)	(381.1)	(495.4)	(781.1)	(653.5)	(244.0)	(118.6)	(9,010.2)	(1,874.0)
Total Personal Income Tax	2,066.2	2,199.2	4,388.5	10,231.5	2,733.0	5,271.4	2,531.6	2,574.8	4,832.8	9,433.0	49,133.2	49,133.2
Consumption Use Taxes:												
Sales Tax	889.4	790.8	1,210.0	1,132.4	1,146.4	1,540.2	1,140.6	1,166.8	1,500.2	1,280.7	12,847.9	14,635.2
Auto Rental	(0.1)	(1.5)	3.4	2.1	2.1	10.3	-	-	3.8	-	8.7	(4.2)
Cigarette/Tobacco Products	98.8	74.0	86.1	97.8	87.0	103.4	81.0	86.0	87.5	88.1	964.1	(17.1)
Medical Marijuana	0.5	0.6	0.7	0.6	0.8	0.7	0.8	0.7	0.8	1.0	8.0	5.3
Motor Fuel	6.5	4.7	6.6	8.5	9.1	8.9	8.3	7.0	8.7	6.5	83.4	100.1
Alcoholic Beverage	28.7	21.4	23.1	28.0	23.0	23.7	23.7	22.9	25.3	26.9	13.9	5.9
Highway Use	-	-	-	(0.4)	(0.1)	7.4	-	0.1	-	-	0.5	2.4
Vehicle License	-	-	11.7	-	-	-	-	6.8	-	-	13.6	25.1
Opicod Excise	7.2	-	0.3	8.9	-	-	-	-	0.2	7.1	29.9	10.5
Total Consumption/Use Taxes	1,006.0	890.2	1,341.3	1,275.9	1,288.5	1,832.1	1,260.5	1,255.2	1,626.7	1,414.3	15,683.0	(1,780.6)
Business Taxes:												
Corporation Franchise	254.4	(134.7)	557.5	563.2	29.7	1,000.7	115.0	90.1	1,079.1	46.0	92.6	75.2
Corporation and Utilities	(8.5)	84.3	15.5	33.3	2.2	104.1	95.7	0.5	99.7	9.8	342.3	(61.9)
Insurance	70.2	38.0	391.7	37.5	16.0	391.7	20.1	8.2	421.6	110.9	1,325.4	(175.9)
Business	2.1	2.1	2.1	2.1	2.1	2.1	2.1	2.1	2.1	2.1	2.1	2.1
Petroleum Business	30.3	17.6	37.7	38.8	38.7	43.2	38.7	36.5	38.3	38.7	382.7	(88.8)
Total Business Taxes	377.8	(117.5)	1,145.3	665.7	133.1	1,555.0	187.6	135.6	1,638.4	74.5	4,913.9	(102.1)
Other Taxes:												
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-
Estate and Gift	72.7	52.0	147.3	147.7	55.8	91.3	135.1	131.5	123.1	293.5	1,452.7	430.2
Penn/Mutual	0.7	0.2	0.8	1.0	1.4	0.7	1.8	0.8	0.8	0.6	9.5	13.8
Real Estate Transfer	51.2	48.4	37.5	53.0	56.4	70.3	68.8	78.9	95.2	110.9	934.1	2.0
Recycling and Exhibitions	0.1	-	-	-	-	-	-	-	-	-	0.1	1.9
Employee Compensation Expense Tax	0.2	(0.2)	0.2	0.2	0.2	0.2	0.3	0.2	0.8	0.7	3.0	1.8
Total Other Taxes	130.9	100.4	186.2	201.9	113.8	162.5	202.8	211.4	220.0	405.7	1,999.1	245.3
Total Taxes	3,553.9	3,072.3	7,041.3	12,374.2	4,238.4	8,677.0	4,182.5	4,207.0	8,317.9	11,347.5	73,862.5	83.9
Miscellaneous Receipts:												
Abandoned Property:	1.6	0.7	0.8	0.9	25.9	86.0	11.4	215.9	31.4	6.0	381.9	60.4
Bottle Bill	0.7	0.3	20.6	(4.8)	0.1	43.2	2.1	0.7	21.4	0.8	85.3	12.6
Assessments:												
Business	42.7	21.8	82.4	69.8	33.4	65.5	88.9	6.0	90.8	55.8	655.2	(69.9)
Medical Care	571.2	468.8	506.1	442.6	463.6	520.0	509.0	477.1	481.0	5416.3	5,938.8	(522.5)
Public Utilities	0.1	-	-	-	0.4	46.4	(10.1)	0.7	-	-	55.0	(18.9)
Fees, Licenses and Permits:												
Alcohol Beverage Control Licensing	2.2	2.9	2.9	4.9	4.8	5.4	5.0	3.8	3.0	4.9	68.0	(23.3)
Audit Fees	-	-	0.1	0.2	0.7	0.7	0.3	0.1	-	-	44.7	(0.4)
Business/Professional	67.2	69.8	114.4	54.3	46.0	125.5	64.0	44.8	113.9	79.3	2.6	(0.4)
Civil	4.3	3.3	5.5	3.1	88.8	(9.8)	14.6	33.4	28.5	16.7	859.6	(33.7)
Criminal	0.6	0.4	0.2	1.6	0.2	0.2	0.1	0.2	0.7	4.6	7.8	(3.0)
Accident Indemnity	(82.0)	(33.2)	14.3	14.3	52.3	52.3	52.3	52.3	52.3	52.3	52.3	(4.4)
Retail/Consumer	36.1	38.1	43.0	34.2	40.2	34.2	35.2	60.7	57.0	48.2	838.6	(213.1)
Fines, Penalties and Forfeitures	98.6	231.6	16.1	189.9	3.5	13.8	78.1	153.2	9.6	37.5	1,309.2	(446.2)
Gaming:												
Casino	-	-	-	20.8	8.0	33.4	10.0	10.2	10.2	27.1	261.5	(141.5)
Lotto	157.0	142.1	173.8	202.2	195.9	189.3	168.3	171.0	215.6	256.5	2,224.5	(155.9)
Video Lottery	-	0.8	-	(0.4)	-	58.0	58.0	54.2	58.9	58.9	887.8	(967.7)
Interests from Public Authorities:	29.2	13.8	7.7	4.3	5.4	5.3	5.1	5.0	5.1	5.6	359.6	(263.2)
Bond Proceeds	-	-	-	-	-	-	-	-	0.4	-	4,500.4	100.0%
Cost Recovery Assessments	-	1,000.0	3,500.0	-	-	-	-	-	-	-	43.5	(6.9)

STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2020-2021
(amounts in millions)

	2020												11 Months Ended February 28			% Increase Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2021	\$ (Increase) (Decrease)	
Insurance Fees	0.5	1.4	25.5	24.7	-	1.8	30.2	0.5	21.6	4.3	4.6	-	83.5	115.1	31.6	37.8%
Non Bond Related	9.9	0.3	-	4.2	1.8	-	0.4	0.4	28.2	2.5	0.1	-	82.3	46.4	(35.9)	-43.6%
Receipts from Municipalities	9.3	2.5	3.8	3.8	1.7	4.7	6.1	3.4	5.1	4.0	1.1	-	65.3	42.9	(22.4)	-34.3%
Rentals of State Departments	(5.1)	(42.8)	(0.3)	2.0	4.0	34.7	61.0	7.6	51.5	28.4	7.6	-	356.0	429.9	(22.4)	-5.3%
Administrative Recoveries	25.0	8.8	25.4	9.1	8.9	25.6	24.5	8.8	22.6	8.3	2.5	-	208.1	169.5	(38.6)	-18.5%
Commissions	0.8	(0.3)	0.2	0.2	-	1.3	-	0.2	0.9	14.2	0.7	-	27.6	118.0	(90.4)	-32.4%
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	88.0	50.0	-	-	488.0	78.6	(409.4)	-74.8%
Gifts, Grants and Donations	0.6	1.5	22.1	0.7	0.6	0.5	5.1	0.3	8.7	0.1	1.3	-	7.6	26.9	(19.3)	-363.9%
Indirect Cost Recoveries	5.5	5.4	37.4	5.9	6.1	5.7	5.0	6.5	8.7	6.3	5.9	-	78.8	246.8	(168.0)	-21.3%
Indirect Cost Care Reimbursement	52.5	32.0	32.0	27.0	22.1	75.0	29.3	16.1	39.7	20.3	3.4	-	246.8	3,045.3	(2,798.5)	-11.3%
Revolving Fund	0.1	6.6	5.7	10.2	5.3	5.0	2.3	6.4	4.8	3.7	3.4	-	62.7	18.2	(44.5)	-71.1%
Restitution and Settlements	3.9	0.4	0.6	0.2	41.8	3.9	0.3	0.9	1.2	21.7	0.8	-	52.2	23.5	(28.7)	-55.0%
Student Loans	6.1	1.4	3.2	6.4	6.8	3.7	6.0	3.6	4.9	2.2	(1.0)	-	60.8	505.0	(444.2)	-73.1%
All Other	(20.1)	8.6	18.0	75.3	45.5	51.9	70.9	41.5	38.2	63.1	111.1	-	569.1	(64.1)	(633.2)	-11.3%
Sales	0.5	0.6	2.6	3.0	0.5	0.6	1.8	0.8	0.6	1.1	1.8	-	16.2	14.0	(2.2)	-13.6%
Tuition	(61.9)	33.6	50.9	50.9	113.3	375.7	172.8	48.7	(32.9)	153.4	384.0	-	1,553.4	(2,297.0)	(1,743.6)	-14.1%
Total Miscellaneous Receipts	1,431.2	2,221.8	5,135.0	1,862.9	1,399.1	1,952.7	1,843.9	1,683.9	1,749.9	1,684.2	1,784.2	-	20,673.3	22,319.9	(1,646.6)	-7.9%
Federal Receipts	-	-	4.1	(4.1)	2.5	48.9	12.9	(33.5)	12.5	-	7.6	-	65.3	51.9	(13.4)	-20.5%
Total Receipts	5,051.1	5,394.1	12,178.4	13,972.7	5,640.0	10,677.1	6,039.0	5,783.2	10,053.3	13,011.7	8,721.2	-	94,823.3	96,537.8	(1,714.5)	-1.8%
DISBURSEMENTS:																
Local Assistance Grants:																
Economic Development	754.3	4,095.1	3,409.1	563.6	856.2	3,961.8	1,200.2	1,559.5	2,583.1	2,639.0	1,593.9	-	24,167.7	23,045.8	(1,121.9)	-4.6%
Environment and Recreation	0.1	0.3	-	0.2	(0.1)	0.4	0.7	0.2	0.3	0.2	1.1	-	1.8	3.4	(1.6)	-83.3%
General Government	16.1	4.6	500.0	20.4	33.6	62.5	77.7	18.1	184.1	32.0	28.4	-	1,190.5	977.5	(213.0)	-17.9%
Public Health:																
Medicaid	757.7	1,757.8	2,497.4	2,043.9	1,656.5	2,135.5	1,416.5	1,503.7	2,122.7	1,469.1	1,191.2	-	18,752.0	18,752.0	-	0.0%
Other Public Health	93.5	72.8	307.2	486.1	118.0	438.1	249.0	234.8	263.3	340.2	242.3	-	2,845.3	2,845.3	-	0.0%
Public Welfare	11.1	11.1	11.1	11.1	11.1	11.1	11.1	11.1	11.1	11.1	11.1	-	11.1	11.1	-	0.0%
Public Welfare	77.0	159.2	61.4	578.1	57.1	428.8	70.3	222.3	189.2	152.8	403.4	-	2,208.4	2,375.6	(167.2)	-7.6%
Support and Regulate Business	4.6	7.1	9.0	5.4	11.0	10.9	9.7	26.2	10.9	10.0	15.0	-	119.8	180.2	(60.4)	-50.4%
Transportation	61.7	41.7	18.5	726.3	357.9	243.1	256.4	446.1	781.3	70.4	15.8	-	3,417.3	3,019.2	(398.1)	-11.6%
Total Local Assistance Grants	1,785.9	6,118.7	6,807.1	4,440.9	3,319.6	7,213.7	3,297.8	4,004.2	6,176.9	4,700.6	3,513.2	-	57,563.1	51,381.6	(6,181.5)	-10.7%
Departmental Operations:																
Personal Service	1,494.8	1,094.9	955.5	1,114.0	980.1	1,443.0	987.4	975.5	98.0	953.9	1,043.0	-	13,032.7	10,655.1	(2,377.6)	-18.2%
General State Service	512.5	370.3	2,582.6	388.2	343.3	552.6	434.0	470.8	382.1	(217.5)	545.3	-	7,981.9	6,397.2	(1,584.7)	-19.8%
Debt Service, Including Payments on	36.5	23.5	28.9	10.7	337.6	841.8	39.8	30.4	1,239.8	10.6	878.8	-	2,276.7	3,488.4	(1,211.7)	-53.2%
Financing Agreements	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	4,373.0	7,270.3	10,709.9	5,645.6	5,375.1	10,619.8	5,191.0	5,895.1	8,109.0	5,914.1	7,291.6	-	85,785.5	77,098.5	(8,687.0)	-10.1%
Excess (Deficiency) of Receipts over Disbursements	642.1	(2,576.2)	1,468.5	8,327.1	264.9	57.3	848.0	(115.9)	1,966.3	7,097.6	1,429.6	-	9,037.8	19,439.3	(10,401.5)	-115.1%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds (*)	1,939.1	1,674.9	3,796.1	5,367.5	1,326.8	3,217.1	2,037.9	1,382.5	3,217.2	2,534.9	3,137.3	-	36,382.8	28,631.3	(7,751.5)	-21.3%
Transfers to Other Funds (*)	(817.9)	(1,727.6)	(4,202.1)	(5,633.9)	(1,841.6)	(3,107.4)	(1,643.7)	(2,151.3)	(3,124.5)	(2,815.5)	(3,530.6)	-	(37,770.7)	(30,596.1)	(7,174.6)	-19.0%
Total Other Financing Sources (Uses)	1,121.2	(52.7)	(406.0)	(266.4)	(514.8)	109.7	394.2	(768.8)	92.7	(280.6)	(393.3)	-	(1,387.9)	(64.8)	(1,323.1)	-4.7%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,763.3	(2,628.9)	1,062.5	8,060.7	(249.9)	167.0	1,242.2	(884.7)	2,088.0	6,817.0	1,036.3	-	7,649.9	18,474.5	(10,824.6)	-41.5%
Ending Fund Balance	\$ 16,171.6	\$ 13,542.7	\$ 14,605.2	\$ 22,665.9	\$ 22,416.0	\$ 22,583.0	\$ 23,825.2	\$ 22,940.5	\$ 25,029.5	\$ 31,846.5	\$ 32,882.8	\$ -	\$ 20,011.2	\$ 32,882.8	\$ 12,871.6	64.3%

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal funds) and Debt Service Funds.

(*) Eliminations between State and Federal Special Revenue Funds are not included.

EXHIBIT F

Beginning Fund Balance	2020		2021		2022		2023		2024		2025		2026		2027		2028		2029		2030		2031		2032		2033		2034		2035		2036		2037		2038		2039		2040		2041		2042		2043		2044		2045		2046		2047		2048		2049		2050		2051		2052		2053		2054		2055		2056		2057		2058		2059		2060		2061		2062		2063		2064		2065		2066		2067		2068		2069		2070		2071		2072		2073		2074		2075		2076		2077		2078		2079		2080		2081		2082		2083		2084		2085		2086		2087		2088		2089		2090		2091		2092		2093		2094		2095		2096		2097		2098		2099		2100		2101		2102		2103		2104		2105		2106		2107		2108		2109		2110		2111		2112		2113		2114		2115		2116		2117		2118		2119		2120		2121		2122		2123		2124		2125		2126		2127		2128		2129		2130		2131		2132		2133		2134		2135		2136		2137		2138		2139		2140		2141		2142		2143		2144		2145		2146		2147		2148		2149		2150		2151		2152		2153		2154		2155		2156		2157		2158		2159		2160		2161		2162		2163		2164		2165		2166		2167		2168		2169		2170		2171		2172		2173		2174		2175		2176		2177		2178		2179		2180		2181		2182		2183		2184		2185		2186		2187		2188		2189		2190		2191		2192		2193		2194		2195		2196		2197		2198		2199		2200		2201		2202		2203		2204		2205		2206		2207		2208		2209		2210		2211		2212		2213		2214		2215		2216		2217		2218		2219		2220		2221		2222		2223		2224		2225		2226		2227		2228		2229		2230		2231		2232		2233		2234		2235		2236		2237		2238		2239		2240		2241		2242		2243		2244		2245		2246		2247		2248		2249		2250		2251		2252		2253		2254		2255		2256		2257		2258		2259		2260		2261		2262		2263		2264		2265		2266		2267		2268		2269		2270		2271		2272		2273		2274		2275		2276		2277		2278		2279		2280		2281		2282		2283		2284		2285		2286		2287		2288		2289		2290		2291		2292		2293		2294		2295		2296		2297		2298		2299		2300		2301		2302		2303		2304		2305		2306		2307		2308		2309		2310		2311		2312		2313		2314		2315		2316		2317		2318		2319		2320		2321		2322		2323		2324		2325		2326		2327		2328		2329		2330		2331		2332		2333		2334		2335		2336		2337		2338		2339		2340		2341		2342		2343		2344		2345		2346		2347		2348		2349		2350		2351		2352		2353		2354		2355		2356		2357		2358		2359		2360		2361		2362		2363		2364		2365		2366		2367		2368		2369		2370		2371		2372		2373		2374		2375		2376		2377		2378		2379		2380		2381		2382		2383		2384		2385		2386		2387		2388		2389		2390		2391		2392		2393		2394		2395		2396		2397		2398		2399		2400		2401		2402		2403		2404		2405		2406		2407		2408		2409		2410		2411		2412		2413		2414		2415		2416		2417		2418		2419		2420		2421		2422		2423		2424		2425		2426		2427		2428		2429		2430		2431		2432		2433		2434		2435		2436		2437		2438		2439		2440		2441		2442		2443		2444		2445		2446		2447		2448		2449		2450		2451		2452		2453		2454		2455		2456		2457		2458		2459		2460		2461		2462		2463		2464		2465		2466		2467		2468		2469		2470		2471		2472		2473		2474		2475		2476		2477		2478		2479		2480		2481		2482		2483		2484		2485		2486		2487		2488		2489		2490		2491		2492		2493		2494		2495		2496		2497		2498		2499		2500		2501		2502		2503		2504		2505		2506		2507		2508		2509		2510		2511		2512		2513		2514		2515		2516		2517		2518		2519		2520		2521		2522		2523		2524		2525		2526		2527		2528		2529		2530		2531		2532		2533		2534		2535		2536		2537		2538		2539		2540		2541		2542		2543		2544		2545		2546		2547		2548		2549		2550		2551		2552		2553		2554		2555		2556		2557		2558		2559		2560		2561		2562		2563		2564		2565		2566		2567		2568		2569		2570		2571		2572		2573		2574		2575		2576		2577		2578		2579		2580		2581		2582		2583		2584		2585		2586		2587		2588		2589		2590		2591		2592		2593		2594		2595		2596		2597		2598		2599		2600		2601		2602		2603		2604		2605		2606		2607		2608		2609		2610		2611		2612		2613		2614		2615		2616		2617		2618		2619		2620		2621		2622		2623		2624		2625		2626		2627		2628		2629		2630		2631		2632		2633		2634		2635		2636		2637		2638		2639		2640		2641		2642		2643		2644		2645		2646		2647		2648		2649		2650		2651		2652		2653		2654		2655		2656		2657		2658		2659		2660		2661		2662		2663		2664		2665		2666		2667		2668		2669		2670		2671		2672		2673		2674		2675		2676		2677		2678		2679		2680		2681		2682		2683		2684		2685		2686		2687		2688		2689		2690		2691		2692		2693		2694		2695		2696		2697		2698		2699		2700		2701		2702		2703		2704		2705		2706		2707		2708		2709		2710		2711		2712		2713		2714		2715		2716		2717		2718		2719		2720		2721		2722		2723		2724		2725		2726		2727		2728		2729		2730		2731		2732		2733		2734		2735		2736		2737		2738		2739		2740		2741		2742		2743		2744		2745		2746		2747		2748		2749		2750		2751		2752		2753		2754		2755		2756		2757		2758		2759		2760		2761		2762		2763		2764		2765		2766		2767		2768		2769		2770		2771		2772		2773		2774		2775		2776		2777		2778		2779		2780		2781		2782		2783		2784		2785		2786		2787		2788		2789		2790		2791		2792		2793		2794		2795		2796		2797		2798		2799		2800		2801		2802		2803		2804		2805		2806		2807		2808		2809		2810		2811		2812		2813		2814		2815		2816		2817		2818		2819		2820		2821		2822		2823		2824		2825		2826		2827		2828		2829		2830		2831		2832		2833		2834		2835		2836		2837		2838		2839		2840		2841		2842		2843		2844		2845		2846		2847		2848		2849		2850		2851		2852		2853		2854		2855		2856		2857		2858		2859		2860		2861		2862		2863		2864		2865		2866		2867		2868		2869		2870		2871		2872		2873		2874		2875		2876		2877		2878		2879		2880		2881		2882		2883		2884		2885		2886		2887		2888		2889		2890		2891		2892		2893		2894		2895		2896		2897		2898		2899		2900		2901		2902		2903		2904		2905		2906		2907		2908		2909		2910		2911		2912		2913		2914		2915		2916		2917		2918		2919		2920		2921		2922		2923		2924		2925		2926		2927		2928		2929		2930		2931		2932		2933		2934		2935		2936		2937		2938		2939		2940		2941		2942		2943		2944		2945		2946		2947		2948		2949		2950		2951		2952		2953		2954		2955		2956		2957		2958		2959		2960		2961		2962		2963		2964		2965		2966		2967		2968		2969		2970		2971		2972		2973		2974		2975		2976		2977		2978		2979		2980		2981		2982		2983		2984		2985		2986		2987		2988		2989		2990		2991		2992		2993		2994		2995		2996		2997		2998		2999		3000	
		\$	8,944.2	\$	10,082.5	\$	7,310.2	\$	6,863.6	\$	14,393.0	\$	13,522.7	\$	15,441.8	\$	14,938.8	\$	13,602.2	\$	16,552.4	\$	19,327.7	\$	8,944.2	\$	7,205.7	\$	1,738.5	%	Increase/Decrease																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																											

EXHIBIT F

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EXHIBIT G

2019												2020		2021		11 Months Ended February 28	
Beginning Fund Balance												2020		2021		11 Months Ended February 28	
RECEIPTS:																	
Taxes:																	
Personal Income Tax																	
Consumption/Use Taxes:																	
Sales and Use																	
Auto Rental																	
Tobacco Products																	
Medical Marijuana																	
Motor Fuel																	
Alcoholic Beverage																	
Highway Use																	
Vapor Excise																	
Business Taxes:																	
Corporation Franchise																	
Corporation and Utilities																	
Insurance																	
Bank																	
Penalty Business																	
Total Business Taxes																	
Total Taxes																	
Miscellaneous Receipts:																	
Abandoned Property																	
Assessments:																	
Business:																	
Medical Care																	
Public Utilities																	
Other																	
Fees, Licenses and Permits:																	
Audit Fees																	
Business/Professional																	
Civil																	
Motor Vehicle																	
Recreational/Consumer																	
Fines, Penalties and Forfeitures																	
Gaming:																	
Casino																	
Lottery																	
Video Lottery																	
Interest Earnings:																	
Receipts from Public Authorities:																	
Bond Proceeds																	
Cost Recovery Assessments																	
Non Bond Related																	
Receipts from Municipalities																	
Rentals																	
Revenues of State Departments:																	
Administrative Recoveries																	
Commissions - Asset Conversion																	
Gifts, Grants and Donations																	
Indirect Cost Recoveries																	
Patient/Clinic Care Reimbursement																	
Refunds																	
Rentals and Settlements																	
Student Loans																	
All Other																	
Sales																	
Tuition																	
Total Miscellaneous Receipts																	
Federal Receipts																	
Total Receipts																	

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT G

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (1)	2021 APRIL	11 Months Ended February 28 2020	Increase/ Decrease	% Increase/ Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	383.0	102.6	847.9	234.9	213.2	2,584.4	279.3	347.3	252.9	2,492.2	408.8	-	-	8,146.5	6,963.6	(817.1)	-9.1%
Environment and Recreation	-	0.5	-	0.3	0.1	0.3	0.8	0.2	0.1	0.1	1.5	1.5	-	3.9	5.1	(1.2)	-23.5%
General Government	11.3	6.1	8.5	19.0	39.4	3,866.8	169.6	94.6	114.3	22.8	16.0	-	-	4,368.4	266.9	4,101.5	1,538.7%
Public Health:																	
Other Public Health	5,180.9	3,816.0	3,615.6	4,136.8	3,861.0	5,390.1	3,386.6	3,770.7	5,075.7	4,408.4	2,297.9	-	-	44,840.7	43,067.4	1,773.3	4.1%
Public Safety	509.6	533.0	709.7	555.1	552.9	805.5	670.7	551.3	650.7	761.8	634.7	-	-	6,836.0	6,616.3	219.7	3.3%
Public Welfare	92.4	62.2	159.2	261.6	62.2	136.2	627.1	19.1	133.8	84.8	289.0	-	-	1,927.6	1,418.8	508.8	35.9%
Support and Regulate Business	134.9	25.9	253.6	201.6	253.9	950.4	394.1	164.5	162.9	265.8	506.2	-	-	3,303.8	3,910.1	(606.3)	-15.5%
Transfers to Other Funds	8.3	16.0	16.0	16.0	340.6	245.3	298.5	438.7	764.0	74.5	3.2	-	-	2,491.2	611.9	1,879.3	308.4%
Total Local Assistance Grants	6,377.9	4,591.7	5,623.6	6,126.4	5,341.5	13,983.8	5,378.4	5,484.9	7,156.9	8,112.0	4,174.3	-	-	72,467.4	67,703.4	4,764.0	7.0%
Departmental Operations:																	
Personal Service	675.8	444.6	551.8	540.0	390.7	691.2	821.2	474.9	1,784.0	464.2	387.4	-	-	6,945.8	5,322.5	1,623.3	30.5%
Non-Personal Service	270.9	220.9	327.3	1,075.0	380.6	488.1	437.0	257.0	408.8	418.5	(473.1)	-	-	3,848.0	3,979.7	(131.7)	-3.3%
Capital Projects	73.0	64.5	169.6	136.0	142.9	139.6	124.3	156.0	212.2	645.0	104.0	-	-	2,111.3	1,268.3	843.0	66.5%
Financing Agreements	-	-	-	-	-	-	-	-	102.2	-	(2.3)	-	-	102.2	-	102.2	100.0%
Capital Projects	-	-	-	-	2.3	-	-	-	-	-	(2.3)	-	-	-	-	-	0.0%
Total Disbursements	7,399.6	5,321.7	6,612.2	7,874.4	6,258.0	15,304.9	6,660.9	6,334.8	9,664.1	9,599.7	4,184.3	-	-	85,474.7	75,213.9	10,260.8	13.6%
Excess (Deficiency) of Receipts over Disbursements	4,983.7	4.5	2,455.4	(1,105.9)	(448.2)	(3,127.2)	2,653.2	(926.9)	(412.6)	(319.1)	710.5	-	-	4,488.3	3,609.4	878.9	24.1%
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	222.7	41.5	897.4	135.6	116.0	205.1	505.9	131.0	138.6	63.9	47.7	-	(577.7)	1,928.7	2,197.2	(268.5)	-10.6%
Transfers to Other Funds	(304.5)	(129.8)	(20.3)	(265.6)	(30.3)	(438.6)	(485.6)	(133.0)	(208.3)	(229.5)	(91.1)	-	577.7	(1,760.1)	(2,112.9)	(332.8)	-16.7%
Total Other Financing Sources (Uses)	(81.8)	(88.3)	877.1	(130.0)	85.7	(233.7)	20.3	(2.0)	(69.7)	(165.6)	(43.4)	-	-	168.6	44.3	124.3	288.6%
Excess (Deficiency) of Receipts and Disbursements over Other Financing Sources and Other Financing Uses	4,911.9	(83.8)	3,332.5	(1,240.9)	(362.9)	(3,359.9)	2,673.5	(928.9)	(482.3)	(484.7)	667.1	-	-	4,646.9	3,743.7	903.2	24.2%
Ending Fund Balance	\$ 11,240.0	\$ 11,140.2	\$ 14,472.7	\$ 13,232.7	\$ 12,870.2	\$ 9,516.3	\$ 12,183.8	\$ 11,268.9	\$ 10,778.6	\$ 10,293.9	\$ 10,951.0	\$ -	\$ -	\$ 10,951.0	\$ 7,586.1	\$ 3,364.9	44.5%

(1) Intra-Fund transfer eliminations represent transfers between Special Revenue-State and Federal Funds.

EXHIBIT G

	11 Months Ended February 28											% Increase/ Decrease
	2020	2021										
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	
Beginning Fund Balance	\$ 5,400.7	\$ 5,696.2	\$ 5,710.4	\$ 7,246.4	\$ 6,679.9	\$ 6,748.8	\$ 4,803.9	\$ 5,594.1	\$ 5,211.5	\$ 5,003.3	\$ 5,304.6	
RECEIPTS:												
Taxes:												
Personal Income Tax	-	-	-	-	-	0.1	0.1	1.4	35.0	1,972.0	-	
Consumption/Use Taxes:												
Sales and Use	80.3	51.2	65.6	72.7	73.6	83.3	79.2	76.4	86.3	84.6	71.3	
Auto Rental	(0.1)	(1.5)	3.4	2.1	2.1	(1.1)	-	-	3.8	-	-	
Cigarette/Tobacco Products	68.8	51.3	60.2	68.8	60.4	71.0	55.7	59.1	61.0	61.3	37.2	
Medical Marijuana	0.5	0.6	0.7	0.6	0.8	0.7	0.8	0.7	0.8	1.0	0.8	
Motor Fuel	6.5	4.7	6.6	8.5	9.1	8.9	8.3	8.7	8.7	6.5	7.0	
Alcoholic Beverage	-	-	-	-	-	-	-	-	-	-	-	
Highway Use	-	0.1	-	-	0.1	-	-	0.1	-	-	-	
Vaporizer	-	-	11.7	(0.4)	0.1	7.4	-	6.1	6.1	8.4	20.1	
Total Consumption/Use Taxes	155.0	106.5	148.2	152.3	145.0	170.2	144.0	144.9	187.5	153.4	115.3	
Business Taxes:												
Corporation Franchise	57.0	(3.2)	110.1	114.0	11.7	165.7	40.7	24.5	171.0	67.9	36.8	
Corporation and Utilities	22.0	(6.9)	20.5	17.0	(1.4)	24.4	0.1	24.9	4.9	42.9	(7.6)	
Insurance	7.2	(0.4)	38.6	4.4	0.3	43.3	1.2	0.3	42.1	(0.5)	(1.3)	
Bank	1.3	0.6	12.9	-	6.1	(3.1)	0.5	(0.2)	3.4	0.5	(1.8)	
Petroleum Business	30.3	17.6	37.7	38.8	38.7	43.2	38.6	38.5	36.4	33.7	30.2	
Total Business Taxes	98.0	7.7	219.8	174.2	55.5	273.5	88.1	67.2	274.9	104.2	57.5	
Total Taxes	254.0	114.2	388.0	326.5	201.5	443.8	230.2	207.5	477.4	2,229.6	173.8	
Miscellaneous Receipts:												
Abandoned Property:												
Assessments:												
Business	42.7	21.8	62.4	69.8	33.4	65.5	88.9	6.0	50.8	55.8	28.2	
Medical Care	569.3	464.7	504.4	440.8	461.5	517.3	505.7	470.8	807.2	448.3	487.4	
Public Utilities	0.1	-	0.4	4.4	0.4	-	(10.1)	(1.6)	0.7	-	6.4	
Other	-	-	-	-	-	-	-	-	-	-	-	
Fees, Licenses and Permits:												
Audit Fees	-	-	0.1	0.2	0.7	0.7	0.1	0.3	0.1	-	2.2	
Business/Professional	48.2	70.4	86.5	40.8	36.3	94.8	46.1	73.3	73.3	48.0	37.2	
Civil	3.2	2.4	2.6	6.1	4.7	4.7	5.1	4.2	4.9	4.8	3.7	
Criminal	0.5	0.3	0.1	1.5	-	-	0.4	0.1	0.6	0.1	0.1	
Motor Vehicle	18.4	15.8	17.0	27.0	28.3	28.3	15.8	34.9	15.4	31.5	28.5	
Recreational/Consumer	43.0	-	36.0	34.3	31.8	83.3	55.8	59.6	55.8	44.7	83.5	
Fines, Penalties and Forfeitures	9.7	5.6	1.4	0.2	5.6	65.3	2.8	2.5	2.5	5.6	1.4	
Gaming:												
Casino	-	-	20.8	-	-	8.0	33.4	10.0	10.2	27.1	10.5	
Video Lottery	157.0	142.1	173.8	202.2	195.9	189.3	189.3	171.0	215.6	265.5	196.9	
Video Lottery	-	0.6	(0.4)	(0.4)	33.8	33.8	59.6	54.2	58.9	320.1	887.8	
Interest Earnings	13.5	7.8	6.1	3.4	4.0	3.4	3.3	3.3	3.7	3.9	8.1	
Receipts from Public Authorities:												
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	
Cost Recovery Assessments	-	-	-	-	-	-	-	-	-	-	-	
Insurance Fees	0.5	1.4	5.3	-	-	-	8.9	-	-	-	11.5	
Non Bond Related	8.9	0.3	4.2	4.2	1.8	-	0.4	-	-	0.3	7.2	
Receipts from Municipalities	8.3	2.2	3.7	3.7	1.6	4.7	3.4	1.6	5.1	3.3	16.0	
Rentals	(4.2)	(2.9)	(0.4)	1.9	3.8	34.6	61.0	11.3	11.3	29.3	35.9	
Revenues of State Departments:												
Departmental Recoveries	24.6	8.5	8.7	8.7	8.8	10.1	24.2	8.7	8.6	8.1	121.4	
Commissions - Asset Conversion	0.2	0.1	0.1	0.2	0.3	0.8	0.7	0.8	14.2	0.8	2.4	
Commissions - Grants and Donations	0.6	1.5	22.1	0.7	0.6	0.5	5.1	0.3	1.7	0.1	1.3	
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	
Patient/Cient Care Reimbursement	483.0	305.7	305.8	189.8	167.9	150.1	221.2	165.9	314.0	205.9	165.4	
Rebates	0.1	4.9	6.6	10.2	2.1	3.9	3.0	4.8	3.7	2.6	46.8	
Restitution and Settlements	3.7	0.4	0.6	0.1	41.8	5.0	0.3	0.7	0.5	21.7	0.7	
Student Loans	6.1	1.4	3.2	8.4	6.8	3.7	6.0	3.6	4.9	43.3	60.8	
All Other	(24.9)	13.1	13.1	63.4	38.4	38.4	38.4	38.4	28.6	38.4	48.4	
Sales	67.9	0.6	0.6	0.6	113.3	50.9	172.8	48.7	(32.8)	150.4	384.0	
Tuition	(67.9)	33.6	56.9	50.9	113.3	50.9	172.8	48.7	(32.8)	150.4	384.0	
Total Miscellaneous Receipts	1,346.8	1,654.0	1,381.1	1,214.1	1,186.8	1,790.7	1,832.5	1,139.5	1,483.2	1,518.5	1,821.6	
Federal Receipts	-	-	4.1	(4.1)	2.5	25.4	12.9	(33.6)	-	-	(8.9)	
Total Receipts	1,600.6	1,682.2	1,710.2	1,536.8	1,390.8	2,259.9	1,876.2	1,313.4	1,940.6	3,748.1	1,775.3	

**STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)**

EXHIBIT G

	2020	11 Months Ended February 28											% Increase/ Decrease		
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2021	2020	
DISBURSEMENTS:															
Local Assistance Grants:															
Education	0.1	35.0	297.0	0.3	(0.1)	2,290.3	148.0	148.1	174.7	2,128.4	146.9		5,369.7	5,746.1	-8.6%
Environment and Recreation	-	0.3	-	0.2	-	0.4	0.7	0.2	-	-	1.1		17.0	4.0	-27.5%
General Government	9.3	3.9	6.3	8.0	33.0	10.8	15.3	9.3	15.7	21.6	17.0		150.2	217.5	-30.9%
Public Health:															
Medicaid	528.3	474.2	30.5	823.1	424.7	521.0	417.0	461.8	490.1	482.0	406.3		5,039.0	5,510.6	-8.6%
Other Public Health	29.6	25.5	67.4	52.2	45.3	190.8	55.4	53.3	95.0	114.5	92.0		821.0	817.5	0.4%
Public Safety	18.0	9.7	4.2	14.2	21.5	20.5	10.0	(10.4)	20.4	9.3	12.1		129.5	168.3	-23.1%
Public Welfare	0.1	0.2	-	0.6	-	0.1	-	-	0.9	(1.3)	-		0.6	3.8	(3.2)
Support and Regulate Business	-	0.4	4.4	0.6	6.7	5.3	0.7	18.7	0.8	1.0	3.1		41.7	53.8	-22.5%
Transportation	61.6	41.7	18.5	701.8	345.2	241.1	253.5	432.2	757.0	70.4	10.9		2,933.9	3,337.3	-12.1%
Total Local Assistance Grants	647.0	590.9	428.3	1,601.0	876.3	3,280.3	901.6	1,133.2	1,554.6	2,805.9	689.4	-	14,488.5	15,853.9	-8.6%
Departmental Operations:															
Personal Services	601.1	393.6	390.9	375.2	328.9	697.2	398.4	361.2	397.5	389.3	389.3		4,590.6	4,734.6	-3.0%
Non-Personal Services	205.1	136.8	189.7	182.7	159.9	280.1	246.4	231.1	203.0	237.3	254.2		2,726.1	2,726.1	-0.0%
General State Charges	52.3	39.8	70.7	52.3	72.2	116.3	46.6	128.7	99.8	59.7	55.5		793.9	900.8	-11.9%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-		-	-	0.0%
Total Disbursements	1,530.5	1,201.1	1,048.6	2,221.2	1,434.6	4,263.9	1,586.0	1,824.4	2,244.9	3,472.2	1,387.4	-	22,214.8	24,222.4	-8.3%
Excess (Deficiency) of Receipts over Disbursements	70.1	(32.9)	661.6	(684.4)	(43.9)	(2,004.0)	289.6	(511.0)	(304.3)	275.9	387.9	-	(1,895.3)	(1,079.0)	-75.7%
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	222.7	41.5	897.4	135.6	116.0	206.1	505.9	131.0	138.6	63.9	47.7		2,506.4	2,628.5	-4.6%
Transfers to Other Funds	2.7	5.6	(23.0)	(17.7)	(3.3)	(147.0)	(5.3)	(2.6)	(42.5)	(38.5)	(72.4)		(344.0)	(603.0)	-43.0%
Total Other Financing Sources (Uses)	225.4	47.1	874.4	117.9	112.7	59.1	500.6	128.4	96.1	25.4	(24.7)	-	2,162.4	2,025.5	6.8%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	295.5	14.2	1,536.0	(566.5)	68.9	(1,944.9)	790.2	(382.6)	(208.2)	301.3	363.2	-	267.1	946.5	-71.8%
Ending Fund Balance	\$ 5,696.2	\$ 5,710.4	\$ 7,246.4	\$ 6,679.9	\$ 6,748.8	\$ 4,803.9	\$ 5,594.1	\$ 5,211.5	\$ 5,003.3	\$ 5,304.6	\$ 5,667.8	\$ -	\$ 5,667.8	\$ 6,037.3	\$ (369.5)
															-6.1%

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

	2020												% Increase/ Decrease
	2021												
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ 911.4	\$ 5,527.8	\$ 5,429.8	\$ 7,226.3	\$ 6,552.8	\$ 6,121.4	\$ 4,706.4	\$ 6,589.7	\$ 6,049.4	\$ 5,775.3	\$ 4,989.3		
RECEIPTS:													
Miscellaneous Receipts:													
Abandoned Property:													
Assessments:													
Business:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Medical Care	4.0	40.6	0.2	1.7	7.6	0.1	1.4	5.7	0.1	1.1	5.3	67.8	-7.8%
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	0.3	0.2	0.2	0.2	0.2	0.3	0.1	0.2	0.3	0.3	0.3	2.6	0.0%
Interest Earnings	3.0	3.9	1.4	0.9	1.2	0.8	0.8	0.8	0.7	0.8	0.7	15.0	-52.7%
Receipts from Public Authorities:													
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-45.7%
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%
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	0.1	-	0.1	100.0%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Patient/Client Care Reimbursement	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rebates	7.7	8.7	7.5	7.5	7.4	7.7	7.5	7.4	7.9	7.2	7.6	84.1	-7.3%
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Student Loans	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other	0.3	0.3	-	0.1	0.6	(0.1)	0.1	-	1.3	0.3	-	2.9	-48.2%
Sales	-	-	-	-	-	-	-	-	-	-	-	-	-100.0%
Tuition	15.3	53.7	8.3	10.4	17.0	8.8	9.9	14.1	10.3	9.8	13.9	17.5	0.0%
Total Miscellaneous Receipts	10,777.4	4,104.3	7,348.2	5,218.2	4,402.0	9,909.0	7,428.6	4,086.4	7,300.6	5,782.7	3,105.6	58,566.9	-15.0%
Federal Receipts	10,792.7	4,158.0	7,357.5	5,228.6	4,418.0	9,917.8	7,438.5	4,100.5	7,310.9	5,792.5	3,119.5	58,769.9	0.0%
Total Receipts													18.6%

EXHIBIT G

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EXHIBIT H

172

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT I

	2020			2021			2022			2023			2024			2025			% Increase/ Decrease																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
	APRIL			MAY			JUNE			JULY			AUGUST			SEPTEMBER				OCTOBER			NOVEMBER			DECEMBER			JANUARY			FEBRUARY			MARCH			Intra-Fund Transfer Eliminations (*)																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																											
	\$	(1,034.9)	\$	(1,155.0)	\$	(1,322.2)	\$	(1,207.9)	\$	(930.7)	\$	(1,080.2)	\$	(1,488.9)	\$	(1,423.1)	\$	(1,464.9)		\$	(1,194.7)	\$	(1,263.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)	\$	(1,137.9)	\$	(1,034.9)

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT I

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	11 Months Ended February 28		% Increase/ Decrease
														2021	2020	
DISBURSEMENTS:																
Local Assistance Grants:																
Education	12.0	-	4.9	1.0	1.0	1.4	20.3	45.6	4.2	1.3	27.2	-	-	118.9	168.6	(49.7) (-29.5%)
Environment and Recreation	4.4	3.2	14.0	12.6	20.6	15.3	6.9	9.8	20.4	36.3	8.0	151.5	-	393.2	393.2	(241.7) -61.5%
General Government	30.4	10.9	41.5	36.0	69.0	18.7	90.4	55.6	51.2	60.4	52.1	-	-	516.2	787.1	(270.9) -34.4%
Public Health:																
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	29.0	58.2	30.9	38.7	76.1	25.7	50.9	41.5	45.5	41.0	38.5	-	-	476.0	481.0	(5.0) -1.0%
Public Safety	-	-	3.8	0.9	1.1	0.7	0.3	34.0	1.3	3.3	5.8	-	-	51.2	86.1	(34.9) -40.5%
Public Welfare	-	33.8	73.7	71.7	53.1	110.4	24.6	7.8	96.3	16.8	15.6	-	-	503.8	388.1	135.7 36.5%
Support and Regulate Business	43.2	77.7	20.9	71.6	111.4	26.3	53.5	28.0	133.8	20.8	130.7	-	-	546.4	832.8	(286.4) -34.4%
Transportation	24.4	46.2	50.0	81.9	146.3	269.3	453.6	505.9	220.4	208.6	67.8	-	-	2,284.9	1,487.5	717.4 48.2%
Total Local Assistance Grants	143.4	189.0	243.8	273.7	439.2	552.9	730.5	726.2	573.1	389.5	345.3	-	-	4,588.9	4,694.4	(105.5) -2.3%
Departmental Operations:																
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	508.8	406.0	681.8	641.4	665.4	706.7	533.6	609.8	630.5	453.5	549.5	-	-	6,388.0	6,453.2	(65.2) -1.0%
Total Disbursements	653.2	566.0	925.4	915.1	1,194.6	1,259.6	1,264.1	1,336.0	1,203.6	834.0	895.3	-	-	10,956.9	11,057.6	(100.7) -0.9%
Excess (Deficiency) of Receipts over Disbursements	697.3	(352.8)	(234.0)	(232.2)	(679.4)	(471.7)	(13.4)	(935.0)	200.4	(539.5)	(303.4)	-	-	(2,866.7)	(3,172.6)	305.9 9.0%
OTHER FINANCING SOURCES (USES):																
Bond and Note Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	(805.1)	198.0	360.6	523.4	566.3	250.0	91.3	805.3	124.1	481.9	887.0	-	-	3,273.3	4,050.6	(777.3) -19.2%
Transfers to Other Funds	(12.3)	(12.4)	(12.3)	(14.0)	(36.4)	(187.0)	(12.1)	(12.1)	(54.3)	(11.6)	(480.6)	-	-	(532.6)	(807.0)	(274.4) -34.4%
Total Other Financing Sources (Uses)	(817.4)	185.6	348.3	509.4	529.9	63.0	79.2	896.2	68.8	470.3	406.4	-	-	2,740.7	3,243.6	(502.9) -15.5%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(120.1)	(167.2)	114.3	277.2	(149.5)	(408.7)	65.8	(41.8)	270.2	(69.2)	103.0	-	-	(126.0)	71.0	(197.0) -277.5%
Ending Fund Balance	\$ (1,155.0)	\$ (1,322.2)	\$ (1,207.9)	\$ (930.7)	\$ (1,080.2)	\$ (1,488.9)	\$ (1,423.1)	\$ (1,464.9)	\$ (1,194.7)	\$ (1,263.9)	\$ (1,160.9)	\$ -	\$ -	\$ (1,160.9)	\$ (1,088.9)	\$ (84.0) -8.5%

(*) Intra-Fund transfer eliminations represent transfers from Capital Projects-State and Federal Funds.

EXHIBIT I

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EXHIBIT I

	2020	2021										11 Months Ended February 28				
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2021	2020	\$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	12.0	-	4.9	1.0	1.0	1.4	20.3	45.6	4.2	1.3	27.2		118.9	168.6	(49.7)	-29.5%
Environment and Recreation	4.4	3.2	14.0	12.6	20.6	15.3	6.9	9.8	20.4	36.3	8.0	9.8	151.5	222.2	(70.7)	-31.8%
General Government	30.4	10.9	41.5	36.0	69.0	18.7	90.4	55.6	51.2	60.4	52.1		516.2	787.1	(270.9)	-34.4%
Public Health:																
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	29.0	58.2	30.9	37.5	76.1	25.1	50.9	37.5	45.2	41.0	38.5		473.9	441.9	32.0	7.2%
Public Safety	-	-	0.7	0.9	1.1	0.3	0.6	34.0	0.4	3.3	46.8		46.8	57.5	(10.7)	-18.6%
Public Welfare	-	33.8	73.7	110.4	53.1	110.4	24.6	71.7	96.3	16.8	15.6		503.8	369.1	135.7	36.9%
Support and Regulate Business	43.2	7.7	24.8	20.9	20.8	11.4	53.5	28.0	133.8	20.8	130.7		546.4	832.8	(286.4)	-34.4%
Transportation	2.4	4.7	14.4	50.4	104.0	316.6	432.9	456.5	155.5	154.9	13.5		1,705.8	989.3	706.5	154.7%
Total Local Assistance Grants	121.4	118.5	204.9	231.0	395.5	499.2	679.8	678.8	507.0	334.8	291.4	-	4,063.3	3,877.5	185.8	4.8%
Departmental Operations.																
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	452.1	333.5	541.8	512.4	546.9	547.4	430.2	515.8	575.6	385.8	500.0		5,341.5	5,426.6	(85.1)	-1.6%
Total Disbursements	573.5	452.0	746.7	743.4	943.4	1,046.6	1,110.0	1,194.6	1,082.6	720.6	791.4	-	9,404.8	9,304.1	100.7	1.1%
Excess (Deficiency) of Receipts over Disbursements																
	691.2	(341.5)	(223.3)	(269.6)	(705.0)	(434.0)	(27.1)	(1,018.6)	93.1	(552.0)	(346.6)	-	(3,133.4)	(3,388.6)	255.2	7.5%
OTHER FINANCING SOURCES (USES):																
Bond and Note Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	(805.1)	198.0	360.6	523.4	566.3	250.0	91.3	908.3	124.1	481.9	887.0		3,565.8	4,328.6	(742.8)	-17.2%
Transfers to Other Funds	(12.3)	(12.4)	(12.3)	(14.0)	(36.4)	(187.0)	(12.1)	(12.1)	(54.3)	(11.6)	(168.1)		(532.6)	(806.9)	(274.3)	-34.0%
Total Other Financing Sources (Uses)	(817.4)	185.6	348.3	509.4	529.9	63.0	79.2	896.2	69.8	470.3	718.9	-	3,053.2	3,521.7	(468.5)	-13.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses																
	(126.2)	(155.9)	125.0	239.8	(175.1)	(371.0)	52.1	(122.4)	162.9	(81.7)	372.3	-	(80.2)	133.1	(213.3)	-160.3%
Ending Fund Balance	\$ (598.4)	\$ (754.3)	\$ (629.3)	\$ (389.5)	\$ (564.6)	\$ (935.6)	\$ (883.5)	\$ (1,005.9)	\$ (843.0)	\$ (924.7)	\$ (552.4)	\$ -	\$ (552.4)	\$ (500.1)	\$ (52.3)	-10.5%

EXHIBIT I

	2020				2021								11 Months Ended February 28			
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2021	2020	\$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	\$ (562.7)	\$ (556.6)	\$ (567.9)	\$ (578.6)	\$ (541.2)	\$ (515.6)	\$ (553.3)	\$ (539.6)	\$ (459.0)	\$ (351.7)	\$ (339.2)		\$ (562.7)	\$ (504.7)	\$ (58.0)	-11.5%
RECEIPTS:																
Miscellaneous Receipts:																
Abandoned Property:																
Bottle Bill	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Assessments																
Business Licenses	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fees, Licenses and Permits:																
Business/Professional	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Motor Vehicle	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Recreational/Consumer	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fines, Penalties and Forfeitures	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Interest Earnings	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Issuance Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Receipts from Municipalities	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rentals	0.1	-	0.1	-	0.1	0.1	0.1	0.1	0.1	-	0.1	-	0.8	0.7	0.1	14.3%
Revenues of State Departments:																
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Sales	-	-	-	-	-	0.1	-	-	-	-	-	-	0.1	0.2	-	-50.0%
Total Miscellaneous Receipts	0.1	-	0.1	-	0.1	0.2	0.1	0.1	0.1	-	0.1	-	0.9	0.9	-	0.0%
Federal Receipts	85.7	102.7	167.9	209.1	186.7	175.1	167.7	221.9	238.2	125.9	147.0		1,817.9	1,968.6	(150.7)	-7.7%
Total Receipts	85.8	102.7	168.0	209.1	186.8	175.3	167.8	222.0	238.3	125.9	147.1	-	1,818.8	1,969.5	(150.7)	-7.7%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	-	-	-	-	-	-	-	-	-	-	-	-	-	171.0	(171.0)	0.0%
Environment and Recreation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General Government	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Health:																
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-	39.1	(37.0)	-94.6%
Other Public Health	-	-	-	1.2	-	0.6	-	-	0.3	-	-	-	2.1	28.6	(24.2)	-84.6%
Public Safety	-	-	3.1	0.9	-	0.4	-	-	0.9	-	-	-	4.4	-	-	0.0%
Public Welfare	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Support and Regulate Business	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transportation	22.0	41.5	35.6	41.5	42.7	52.7	50.7	47.4	64.9	45.7	54.4		499.1	488.2	10.9	2.2%
Total Local Assistance Grants	22.0	41.5	38.7	42.7	42.7	53.7	50.7	47.4	66.1	45.7	54.4	-	505.6	776.9	(271.3)	-30.4%
Departmental Operations:																
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	57.7	72.5	140.0	129.0	118.5	159.3	103.4	94.0	54.9	67.7	49.5		1,046.5	1,026.6	19.9	1.9%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	79.7	114.0	178.7	171.7	161.2	213.0	154.1	141.4	121.0	113.4	103.9	-	1,552.1	1,753.5	(201.4)	-11.5%
Excess (Deficiency) of Receipts over Disbursements	6.1	(11.3)	(10.7)	37.4	25.6	(37.7)	13.7	80.6	107.3	12.5	43.2	-	266.7	216.0	50.7	23.5%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	(278.1)	34.4	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	(312.5)	-	-	12.4%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	(312.5)	-	(312.5)	(278.1)	34.4	12.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	6.1	(11.3)	(10.7)	37.4	25.6	(37.7)	13.7	80.6	107.3	12.5	(269.3)	-	(45.8)	(62.1)	16.3	26.2%
Ending Fund Balance	\$ (556.6)	\$ (567.9)	\$ (578.6)	\$ (541.2)	\$ (515.6)	\$ (553.3)	\$ (539.6)	\$ (459.0)	\$ (351.7)	\$ (338.2)	\$ (608.5)	\$ -	\$ (608.5)	\$ (566.8)	\$ (41.7)	-7.4%

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT J

	11 Months Ended February 28														\$ Increase/ (Decrease)	% Increase/ Decrease
	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2021	2020		
Beginning Fund Balance	\$ 29.7	\$ 45.9	\$ 35.9	\$ 35.3	\$ 40.4	\$ 42.2	\$ 42.1	\$ 41.3	\$ 41.0	\$ 38.4	\$ 43.0		\$ 29.7	\$ 26.6	\$ 3.1	11.7%
RECEIPTS:																
Miscellaneous Receipts	4.2	4.8	6.4	6.9	7.7	7.0	4.4	3.9	3.1	9.6	3.7		61.7	75.9	(14.2)	-18.7%
Federal Receipts	2,584.0	5,993.3	10,834.5	8,949.5	3,020.9	2,491.7	2,489.5	2,484.9	2,184.6	4,910.9	4,961.8		50,905.6	15.6	50,890.0	326,217.9%
Unemployment Taxes	1,823.9	2,261.7	2,631.7	1,980.9	1,831.3	1,396.4	613.4	544.2	561.3	498.8	494.3		14,638.9	1,927.3	12,711.6	659.6%
Total Receipts	4,412.1	8,259.8	13,472.6	10,937.3	4,859.9	3,895.1	3,107.3	3,033.0	2,749.0	5,420.3	5,459.8	-	65,606.2	2,018.8	63,587.4	3,149.8%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	1.4	0.9	1.1	1.1	1.3	1.7	1.1	0.9	0.9	0.7	0.3		11.4	16.2	(4.8)	-29.6%
Non-Personal Service	3.6	4.9	5.4	4.9	4.6	4.4	4.1	3.9	4.6	3.6	3.6		47.6	54.3	(6.7)	-12.3%
General State Charges	0.2	0.1	0.2	0.1	0.1	0.2	0.1	0.2	0.2	-	0.2		1.6	1.5	0.1	6.7%
Unemployment Benefits	4,390.7	8,263.9	13,469.5	10,926.1	4,852.1	3,888.9	3,102.8	3,028.3	2,745.9	5,411.4	5,455.9		65,535.5	1,943.5	63,592.0	3,272.0%
Total Disbursements	4,395.9	8,269.8	13,476.2	10,932.2	4,858.1	3,895.2	3,108.1	3,033.3	2,751.6	5,415.7	5,460.0	-	65,596.1	2,015.5	63,580.6	3,154.6%
Excess (Deficiency) of Receipts over Disbursements	16.2	(10.0)	(3.6)	5.1	1.8	(0.1)	(0.8)	(0.3)	(2.6)	4.6	(0.2)	-	10.1	3.3	6.8	206.1%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	3.0	-	-	-	-	-	-	-	-	-	3.0	-	3.0	100.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	3.0	-	-	-	-	-	-	-	-	-	3.0	-	3.0	100.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	16.2	(10.0)	(0.6)	5.1	1.8	(0.1)	(0.8)	(0.3)	(2.6)	4.6	(0.2)	-	13.1	3.3	9.8	297.0%
Ending Fund Balance	\$ 45.9	\$ 35.9	\$ 35.3	\$ 40.4	\$ 42.2	\$ 42.1	\$ 41.3	\$ 41.0	\$ 38.4	\$ 43.0	\$ 42.8	\$ -	\$ 42.8	\$ 29.9	\$ 12.9	43.1%

EXHIBIT K

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EXHIBIT L

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EXHIBIT M

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SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2020-2021
FOR THE MONTH OF FEBRUARY 2021
(amounts in millions)

	BALANCE FEBRUARY 1, 2021	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 28, 2021
GENERAL FUND					
10000-10049-Local Assistance Account	\$ -	\$ 0.037	\$ 2,823.784	\$ 2,823.747	\$ -
10050-10099-State Operations Account	19,302.911	3,635.504	2,176.323	(461.629)	20,300.463
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	29.760	-	0.042	-	29.718
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	-	-	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	19,332.671	3,635.541	5,000.149	2,362.118	20,330.181
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	0.820	-	0.008	-	0.812
20100-20299-Combined Expendable Trust	69.794	0.374	0.267	-	69.901
20300-20349-New York Interest on Lawyer Account	108.612	2.979	0.161	-	111.430
20350-20399-NYS Archives Partnership Trust	(0.002)	0.130	0.034	(0.008)	0.086
20400-20449-Child Performer's Protection	0.305	0.004	0.047	-	0.262
20450-20499-Tuition Reimbursement	8.397	0.302	0.262	(0.077)	8.360
20500-20549-New York State Local Government Records Management Improvement	6.661	0.660	0.419	(0.059)	6.843
20550-20599-School Tax Relief	2.880	-	-	-	2.880
20600-20649-Charter Schools Stimulus	0.578	-	-	-	0.578
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	143.147	458.711	424.537	(11.097)	166.224
20850-20899-Dedicated Mass Transportation Trust	68.150	40.173	3.603	-	104.720
20900-20949-State Lottery	(974.728)	242.438	149.396	-	(881.686)
20950-20999-Combined Student Loan	33.292	(21.109)	0.417	-	11.766
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.965)	-	0.051	(4.016)	(4.016)
21050-21149-Encon Special Revenue	3.559	2.498	6.242	-	(0.185)
21150-21199-Conservation	102.788	1.245	2.722	-	101.311
21200-21249-Environmental Protection and Oil Spill Compensation	13.833	4.144	1.478	(3.656)	12.843
21250-21299-Training and Education Program on OSHA	8.454	0.001	2.623	-	5.832
21300-21349-Lawyers' Fund for Client Protection	8.719	0.010	0.070	-	8.659
21350-21399-Equipment Loan for the Disabled	0.537	-	0.005	-	0.532
21400-21449-Mass Transportation Operating Assistance	189.687	106.631	7.590	(0.078)	288.650
21450-21499-Clean Air	(31.761)	2.135	2.428	-	(32.054)
21500-21549-New York State Infrastructure Trust	0.071	-	-	0.071	0.071
21550-21599-Legislative Computer Services	12.340	0.154	0.074	-	12.420
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.469	-	-	-	0.469
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	-	-	-	-	-
21850-21899-Arts Capital Grants	-	-	-	-	-
21900-22499-Miscellaneous State Special Revenue	0.837	0.001	-	-	0.838
22500-22549-Court Facilities Incentive Aid	1,776.343	153.391	234.598	4.634	1,699.770
	16.049	0.003	11.527	-	4.525

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2020-2021
FOR THE MONTH OF FEBRUARY 2021
(amounts in millions)

	BALANCE FEBRUARY 1, 2021	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 28, 2021
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22550-22599-Employment Training	0.053	-	-	-	0.053
22650-22699-State University Income	1,914.881	681.280	517.964	28.497	2,106.694
22700-22749-Chemical Dependence Service	10.672	0.342	1.110	-	9.904
22750-22799-Lake George Park Trust	(0.023)	0.800	(0.036)	-	0.613
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	71.136	15.598	3.594	(37.473)	45.667
22850-22899-New York Great Lakes Protection	0.436	-	0.011	-	0.425
22900-22949-Federal Revenue Maximization	0.024	-	-	-	0.024
22950-22999-Housing Development	11.279	0.001	(0.025)	-	11.305
23000-23049-NYS/DOT Highway Safety Program	(16.840)	0.014	0.455	-	(17.281)
23050-23099-Vocational Rehabilitation	0.071	0.014	-	-	0.085
23100-23149-Drinking Water Program Management and Administration	(5.351)	-	-	-	(5.351)
23150-23199-NYC County Clerks' Operations Offset	(53.092)	-	2.505	-	(55.597)
23200-23249-Judiciary Data Processing Offset	61.228	0.070	2.740	-	58.558
23250-23449-IFR/CUTRA	163.568	12.879	5.617	-	170.830
23500-23549-USOC Lake Placid Training	0.237	0.002	-	-	0.239
23550-23599-Indigent Legal Services	544.373	0.111	4.147	-	540.337
23600-23649-Unemployment Insurance Interest and Penalty	23.094	4.464	0.207	-	27.351
23650-23699-MTA Financial Assistance Fund	189.137	0.019	-	12.500	201.656
23700-23749-New York State Commercial Gaming Fund	46.514	10.650	0.365	-	56.799
23750-23799-Medical Marijuana Trust Fund	13.508	0.823	0.167	-	14.164
23800-23899-Dedicated Miscellaneous State Special Revenue	4.384	0.439	0.036	-	4.787
24850-24899-Health Care Transformation	447.889	0.043	-	-	447.932
24900-24949-Charitable Gifts Trust Fund	95.941	0.010	-	-	95.951
24950-24999-Interactive Fantasy Sports	23.736	0.796	0.022	-	24.510
40350-40399-State University Dormitory Income	191.903	52.189	-	(17.783)	226.309
TOTAL SPECIAL REVENUE FUNDS-STATE	5,304.624	1,775.219	1,387.438	(24.600)	5,667.805
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	8.931	49.431	161.584	(0.139)	(103.361)
25100-25199-Federal Health and Human Services	3,200.845	2,410.234	2,951.147	(16.290)	2,643.642
25200-25249-Federal Education	(26.889)	237.815	249.976	(2.336)	(41.386)
25300-25899-Federal Miscellaneous Operating Grants	1,899.540	291.673	(634.574)	-	2,825.787
25900-25949-Unemployment Insurance Administration	(79.754)	113.479	56.411	-	(22.686)
25950-25999-Unemployment Insurance Occupational Training	(0.464)	0.030	0.046	-	(0.480)
26000-26049-Federal Employment and Training Grants	(12.922)	16.935	12.312	-	(8.299)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	4,989.287	3,119.597	2,796.902	(18.765)	5,293.217
TOTAL SPECIAL REVENUE FUNDS	10,293.911	4,894.816	4,184.340	(43.365)	10,961.022
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	374.650	8.977	0.389	(364.698)	18.540
40150-40199-General Debt Service	6,792.763	2,969.441	903.611	(2,097.474)	6,761.119
40250-40299-State Housing Debt Service	-	0.004	-	(0.004)	-
40300-40349-Department of Health Income	20.630	7.288	-	(4.159)	23.759
40400-40449-Clean Water/Clean Air	21.122	74.998	-	(94.156)	1.964
40450-40499-Local Government Assistance Tax	-	249.718	-	(170.275)	79.443
TOTAL DEBT SERVICE FUNDS	7,209.165	3,310.426	904.000	(2,730.766)	6,884.825

SCHEDULE 1

**STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2020-2021
FOR THE MONTH OF FEBRUARY 2021
(amounts in millions)**

	BALANCE FEBRUARY 1, 2021	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 28, 2021
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	1,156	476,393	475,237	-
30050-30099-Dedicated Highway and Bridge Trust	(313,520)	408,873	136,083	146,681	105,951
30100-30299-SUNY Residence Halls Rehabilitation and Repair	108,408	0,011	1,651	0,173	106,941
30300-30349-New York State Canal System Development	14,101	0,002	-	-	14,103
30350-30399-Parks Infrastructure	(53,130)	0,066	18,293	-	(71,357)
30400-30449-Passenger Facility Charge	0,015	-	-	-	0,015
30450-30499-Environmental Protection	87,328	13,550	13,435	8,185	95,628
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	17,200	-	-	-	17,200
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 Development Bond	-	-	-	-	-
30900-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(339,208)	147,045	103,869	(312,482)	(608,514)
31450-31499-Forest Preserve Expansion	1,082	-	-	-	1,082
31500-31549-Hazardous Waste Remedial	(81,684)	1,771	4,047	(0,578)	(84,538)
31650-31699-Suburban Transportation	0,540	-	-	-	0,540
31700-31749-Division for Youth Facilities Improvement	(13,011)	0,004	0,383	-	(13,390)
31800-31849-Housing Assistance	(12,942)	-	-	-	(12,942)
31850-31899-Housing Program	(270,116)	-	12,149	-	(282,265)
31900-31949-Natural Resource Damage	18,217	0,001	0,049	-	18,169
31950-31999-DOT Engineering Services	(11,956)	-	-	-	(11,956)
32200-32249-Miscellaneous Capital Projects	96,718	1,326	5,335	29,907	122,616
32250-32299-CUNY Capital Projects	0,037	0,003	-	-	0,040
32300-32349-Mental Hygiene Facilities Capital Improvement	(470,081)	19,348	12,194	-	(462,927)
32350-32399-Correction Facilities Capital Improvement	(214,988)	-	31,404	-	(246,392)
32400-32999-State University Capital Projects	133,537	(1,352)	2,491	(0,687)	129,007
33000-33049-NYS Storm Recovery Fund	(55,800)	-	(0,037)	-	(55,763)
33050-33099-Dedicated Infrastructure Investment Fund	75,764	-	77,541	60,000	58,223
TOTAL CAPITAL PROJECTS FUNDS	(1,263,898)	591,804	896,280	406,436	(1,160,938)
TOTAL GOVERNMENTAL FUNDS	\$ 35,571,849	\$ 12,432,587	\$ 10,983,769	\$ (5,577)	\$ 37,015,090

SCHEDULE 2

STATE OF NEW YORK
 PROPRIETARY FUNDS
 SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
 CHANGES IN FUND BALANCES
 FISCAL YEAR 2020-2021
 FOR THE MONTH OF FEBRUARY 2021
 (amounts in millions)

FUND TYPE	BALANCE FEBRUARY 1, 2021	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 28, 2021
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	\$ 0.121	\$ 0.002	\$ 0.006	\$ -	\$ 0.117
50050-50099-State Exposition Special	0.766	0.003	(0.201)	-	0.970
50100-50299-Correctional Services Commissary	3.833	3.465	3.180	-	4.118
50300-50399-Agencies Enterprise	12.642	0.155	0.957	-	11.840
50400-50449-Sheltered Workshop	2.251	0.010	0.003	-	2.258
50450-50499-Patient Workshop	2.124	0.001	0.005	-	2.120
50500-50599-Mental Hygiene Community Stores	4.868	0.059	0.047	-	4.880
50650-50699-Unemployment Insurance	16.348	5,456.103	5,455.964	-	16.487
TOTAL ENTERPRISE FUNDS	42.953	5,459.798	5,459.961	-	42.790
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(146.970)	30.679	27.436	0.634	(143.093)
55050-55099-Agency Internal Service	(151.175)	14.094	25.647	5.024	(157.704)
55100-55149-Mental Hygiene Revolving	(0.219)	0.064	(0.353)	-	0.198
55150-55199-Youth Vocational Education	0.081	-	0.009	-	0.072
55200-55249-Joint Labor and Management Administration	0.959	-	0.062	(0.001)	0.896
55250-55299-Audit and Control Revolving	(56.598)	-	3.690	(0.080)	(60.368)
55300-55349-Health Insurance Revolving	(8.875)	-	2.741	-	(11.616)
55350-55399-Correctional Industries Revolving	(50.743)	2.843	3.998	-	(51.898)
TOTAL INTERNAL SERVICE FUNDS	(413.540)	47.680	63.230	5.577	(423.513)
TOTAL PROPRIETARY FUNDS	\$ (370.587)	\$ 5,507.478	\$ 5,523.191	\$ 5.577	\$ (380.723)

SCHEDULE 3

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2020-2021
FOR THE MONTH OF FEBRUARY 2021
(amounts in millions)

	BALANCE FEBRUARY 1, 2021	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE FEBRUARY 28, 2021
<u>PENSION TRUST FUNDS</u>					
65000-65049-Common Retirement Administration	\$ (6,818)	\$ 12,590	\$ 10,270	\$ -	\$ (4,498)
TOTAL PENSION TRUST FUNDS	(6,818)	12,590	10,270	-	(4,498)
<u>PRIVATE PURPOSE TRUST FUNDS</u>					
66000-66049-Agriculture Producers' Security	2,990	0,001	0,017	-	2,974
66050-66099-Milk Producers' Security	11,283	0,117	0,013	-	11,387
TOTAL PRIVATE PURPOSE TRUST FUNDS	14,273	0,118	0,030	-	14,361
<u>AGENCY FUNDS</u>					
60050-60149-School Capital Facilities Financing Reserve	17,815	0,239	-	-	18,054
60150-60199-Child Performer's Holding	0,538	-	-	-	0,538
60200-60249-Employees Health Insurance	1,082,369	791,555	837,385	-	1,036,539
60250-60299-Social Security Contribution	15,302	97,696	97,689	-	15,309
60300-60399-Employee Payroll Withholding	40,064	355,835	355,970	-	39,929
60400-60449-Employees Dental Insurance	16,253	5,048	2,564	-	18,737
60450-60499-Management Confidential Group Insurance	0,680	0,476	0,740	-	0,416
60500-60549-Lottery Prize	715,868	129,624	115,654	-	729,838
60550-60599-Health Insurance Reserve Receipts	0,146	(0,146)	-	-	-
60600-60799-Miscellaneous New York State Agency	1,141,962	1,471,548	1,448,579	-	1,164,931
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	28,344	4,627	4,630	-	28,341
60850-60899-CUNY Senior College Operating	48,664	212,913	202,399	-	59,178
60900-60949-Medicaid Management Information System (MMIS) Escrow	247,426	3,753,256	3,774,498	-	226,184
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collector	330,508	(164,674)	-	-	165,834
61100-61999-State University Federal Direct Lending Program	(122,647)	275,586	174,058	-	(21,119)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	3,563,292	6,933,583	7,014,166	-	3,482,709
TOTAL FIDUCIARY FUNDS	\$ 3,570,747	\$ 6,946,291	\$ 7,024,466	\$ -	\$ 3,492,572

STATE OF NEW YORK
SOLE CUSTODY AND INVESTMENT ACCOUNTS
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2020-2021
FOR THE MONTH OF FEBRUARY 2021
(amounts in millions)

(*) 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 February 28, 2021, \$9,545,131.75 (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 2020-2021

PURPOSE	DEBT OUTSTANDING APRIL 1, 2020	DEBT ISSUED		DEBT MATURED		DEBT OUTSTANDING FEBRUARY 28, 2021	INTEREST DISBURSED	
		MONTH OF FEBRUARY	11 MONTHS ENDED FEBRUARY 28, 2021	MONTH OF FEBRUARY	11 MONTHS ENDED FEBRUARY 28, 2021		MONTH OF FEBRUARY	11 MONTHS ENDED FEBRUARY 28, 2021
GENERAL OBLIGATION BONDED DEBT:								
Accelerated Capacity and Transportation Improvements	\$ 11,445,463	\$ -	\$ -	\$ 700,080	\$ 1,453,289	\$ 9,992,174	\$ 81,113	\$ 347,904
Clean Water/Clean Air:								
Air Quality	1,795,354	-	-	440,889	473,909	1,321,445	24,974	51,873
Safe Drinking Water	-	-	-	-	-	-	-	-
Clean Water	298,595,491	-	-	13,557,288	23,959,138	274,636,353	2,779,052	9,444,887
Solid Waste	16,287,590	-	-	3,527,396	5,187,492	11,100,098	264,124	620,377
Environmental Restoration	40,070,447	-	-	2,415,432	3,688,311	36,382,136	144,124	1,078,630
Energy Conservation Through Improved Transportation:								
Rapid Transit and Rail Freight	1,198,754	-	-	-	176,298	1,022,456	-	48,908
Environmental Quality (1972):								
Air	3,184	-	-	3,184	3,184	-	65	129
Land and Wetlands	4,939,861	-	-	39,601	97,855	4,842,006	5,915	129,260
Water	6,370,803	-	-	53,931	768,931	5,601,872	28,407	197,281
Environmental Quality (1986):								
Land Acquisition/Development/Restoration/Forests	5,309,545	-	-	2,083,666	2,573,601	2,735,944	66,324	193,788
Solid Waste Management	91,992,747	-	-	6,787,980	14,436,033	77,556,714	473,820	2,996,600
Housing:								
Low Income	5,840,000	-	-	-	1,060,000	4,780,000	-	87,600
Middle Income	4,035,000	-	-	-	2,240,000	1,795,000	-	80,718
Park and Recreation Land Acquisition	-	-	-	-	-	-	-	-
Pure Waters	15,498,329	-	-	217,460	2,110,339	13,387,990	90,110	512,702
Rail Preservation Development	-	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation:								
Highway Facilities	600,658,226	-	-	20,579,081	26,739,283	573,918,943	3,085,225	14,773,714
Canals and Waterways	9,419,680	-	-	505,192	1,012,350	8,407,330	66,290	281,607
Aviation	41,089,448	-	-	1,447,984	1,447,984	39,641,464	399,263	1,043,214
Rail and Port	92,824,245	-	-	4,036,476	4,036,476	88,787,769	1,074,448	2,487,581
Mass Transit - Dept. of Transportation	12,168,734	-	-	817,598	817,598	11,351,136	53,921	340,538
Mass Transit - Metropolitan Transportation Authority	705,163,311	-	-	6,683,621	13,282,524	691,880,787	5,028,975	20,259,671
Rebuild New York-Transportation Infrastructure Renewal:								
Highways, Parkways, and Bridges	553,992	-	-	24,540	41,155	512,837	225	51,089
Rapid Transit, Rail and Aviation	2,042,563	-	-	-	479,171	1,563,392	-	49,370
Smart Schools Bond Act	161,307,133	-	-	9,908,601	9,908,601	151,398,532	2,015,895	6,047,312
Transportation Capital Facilities:								
Aviation	2,090,099	-	-	-	441,478	1,648,621	-	90,412
Mass Transportation	-	-	-	-	-	-	-	-
Total General Obligation Bonded Debt	\$ 2,130,689,999	\$ -	\$ -	\$ 73,830,000	\$ 116,435,000	\$ 2,014,264,999	\$ 15,682,260	\$ 61,215,165

SCHEDULE 5a

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE ELEVEN MONTHS ENDED FEBRUARY 28, 2021

	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40700-40749)	REVENUE BOND TAX ^(*) (40752)	SALES TAX REVENUE BOND TAX (40754)	COMBINED TOTALS 11 MONTHS ENDED FEBRUARY 28	\$ INCREASE/ (DECREASE)
	\$	\$	\$	\$	\$	\$	\$	2021	2020
Special Contractual Financing Obligations:									
Payments to Public Authorities:									
City University Construction									
Dominion Authority:									
Consolidated Service Contract Refunding									
DASNY Revenue Bond									
Department of Health Facilities									
Mental Health Facilities									
Secured Hospital Program									
SUNY Community Colleges									
SUNY Educational Facilities									
Environmental Facilities Corporation									
Housing Finance Agency									
Local Government Assistance Corporation									
Metropolitan Transportation Authority:									
Transit and Commuter Rail Projects									
Thruway Authority:									
Dedicated Highway and Bridge									
Local Highway and Bridge									
Transportation									
Urban Development Corporation:									
Clarkson University									
Columbia Univer. Telecommunications Center									
Consolidated Service Contract Refunding									
Cornell Univer. Supercomputer Center									
Correctional Facilities									
Debt Reduction Reserve									
UDC Revenue Bond									
University Facilities Grant 95 Refunding									
Total Disbursements for Special Contractual Financing Obligations									
	\$	\$	\$	\$	\$	\$	\$	\$	\$
	212,446,998	25,467,940	8,334,220	2,821,085,549	223,441,555	3,290,776,262	2,078,260,659	1,212,515,603	

(*) Debt Service does not include interest paid on Revenue Anticipation Notes (General Purpose), Series 2020A and 2020B that were reimbursed from the Coronavirus Relief Fund within the Special Revenue Federal Funds.

SCHEDULE 6

STATE OF NEW YORK
SUMMARY OF THE OPERATING FUND INVESTMENTS
FOR THE MONTH OF FEBRUARY 2021
AS REQUIRED OF THE STATE COMPTROLLER
(amounts in millions)

	MONTH OF FEBRUARY 2021	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE
SHORT TERM INVESTMENT POOL (*)			
AVERAGE DAILY INVESTMENT BALANCE (**)	\$ 41,559.7	\$ 30,560.7	\$ 19,871.8
AVERAGE YIELD (**)	0.110%	0.191%	2.085%
TOTAL INVESTMENT EARNINGS	\$ 3,452	\$ 55,260	\$ 385,703

Month-End Portfolio Balances

DESCRIPTION	FEBRUARY 2021 PAR AMOUNT	FEBRUARY 2020 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	\$ 19,240.9	\$ 6,380.1
REPURCHASE AGREEMENTS	119.0	374.2
GOVT. SPONSORED AGENCIES	700.0	-
COMMERCIAL PAPER	20,601.9	16,066.9
CERTIFICATES OF DEPOSIT/SAVINGS	2,331.6	2,942.3
0% COMPENSATING BALANCE CDs	723.0	78.0
	\$ 43,716.4	\$ 25,841.5

(*) 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 not to exceed the end of the fiscal year. 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 2020-2021

APPENDIX A

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY 2021	FEBRUARY	MARCH	11 Months Ended February 28, 2021
OPENING CASH BALANCE	\$ 15,704,540	\$ 95,764,658	\$ 80,082,746	\$ 490,512,199	\$ 186,132,186	\$ 217,721,195	\$ 104,334,501	\$ 181,581,146	\$ 200,742,306	\$ 204,855,179	\$ 143,146,845	\$ -	\$ 15,704,540
RECEIPTS:													
Cigarette Tax	68,786,104	51,352,065	60,187,824	68,788,997	60,405,723	70,852,125	56,756,250	59,085,187	60,989,901	61,273,605	37,284,963		654,842,744
State Share of NYC Cigarette Tax	2,160,000	1,133,000	1,346,000	1,945,000	1,308,000	2,075,000	1,665,000	1,555,000	1,748,000	1,868,000	1,066,000		17,870,000
Vapor Excise Tax	25,877	69,976	11,670,725	(348,272)	(123,922)	7,357,137	6,765	27,573	6,801,844	9,407	20,906		25,618,016
STIP Interest	382,948	298,771		43,864	53,717	52,869	41,598	38,448	48,760	55,912	35,247		1,070,537
Public Asset Transfers	478,443,458	380,720,867	437,012,597	376,078,217	389,681,001	454,153,792	435,070,365	401,657,632	444,521,644	376,057,981	418,420,989		4,601,828,553
Appointments	327,000	46,000	581,000	930,000	776,000	1,404,000	188,000	380,000	2,087,000	1,103,000	168,000		7,871,000
Fees	12,000	4,545,140	5,975,618	9,816,208	2,000,366	4,881,029	2,788,602	3,632,553	4,734,892	3,713,400	1,735,168		43,936,076
Rebates	-	-	-	-	-	-	-	-	-	-	-		-
Restitution and Settlements	-	-	-	-	1,148	-	483	-	22,892	28,674	-		350,435
Miscellaneous	-	-	297,248	-	-	-	-	-	-	-	-		-
Total Receipts	550,137,287	448,725,819	517,109,515	457,384,003	454,112,033	540,875,952	455,529,063	456,366,393	520,945,823	444,110,189	458,711,283	-	5,353,387,367
DISBURSEMENTS:													
Grants	486,021,724	462,778,011	97,733,246	756,144,092	414,416,738	642,214,484	404,418,743	442,807,097	510,453,711	501,400,673	420,299,115		5,118,487,624
Interest - Late Payments	36	22	26,224	11,452	(5,834)	(3,800)	610	203	(642)	84	22		28,374
Personal Service	1,509,162	534,892	1,290,941	270,686	1,523,044	750,054	1,609,108	983,288	345,679	1,628,961	(362,469)		10,053,446
Non-Personal Service	55,996	(291,867)	5,294,609	4,077,923	3,349,094	7,699,763	3,879,285	2,812,150	5,192,277	1,094,488	5,131,981		39,404,689
Employee and Indirect Costs	6,000	6,000	6,000	6,000	6,000	6,000	6,000	6,000	6,000	6,000	6,000		60,000
Total Disbursements	488,199,325	483,320,206	105,199,150	761,142,689	419,851,726	650,395,364	410,979,510	448,996,627	516,992,340	503,138,396	424,537,440	-	3,172,370,951
OPERATING TRANSFERS:													
Transfers to Capital Projects Fund	-	-	-	-	-	-	-	-	-	-	-		-
Transfers to General Fund	-	-	297,248	-	1,147	-	484	-	132,000	1,607	-		432,486
Transfers to Revenue Bond Tax Fund	-	-	-	-	2,276,000	2,650,324	-	-	-	-	-		4,926,324
Transfers to Miscellaneous Special Revenue Fund:													
Application for New York State	989,254	-	-	-	-	222,807	(1)	1	-	-	658,596		1,870,657
Empire State Stem Cell Trust Account	888,590	487,522	883,664	601,328	384,151	384,151	384,116	208,610	208,610	678,612	10,000,000		17,100,000
Transfers to SUNY Income Fund	1,877,844	487,522	1,180,912	601,328	2,671,298	3,267,282	7,484,599	208,611	340,610	680,219	438,277		5,567,631
Total Operating Transfers	1,877,844	487,522	883,664	601,328	384,151	3,267,282	7,484,599	208,611	340,610	680,219	11,096,873	-	29,597,098
Total Disbursements and Transfers	470,077,169	463,807,731	106,080,062	761,744,017	422,232,024	654,262,646	418,282,416	447,205,233	516,932,950	505,818,523	435,634,276	-	5,202,868,040
CLOSING CASH BALANCE	\$ 95,764,658	\$ 80,082,746	\$ 490,512,199	\$ 186,132,186	\$ 217,721,195	\$ 104,334,501	\$ 181,581,146	\$ 200,742,306	\$ 204,855,179	\$ 143,146,845	\$ 166,223,852	\$ -	\$ 166,223,852

APPENDIX B

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2020-21

Program/Purpose	Appropriation Amount (*)	February	11 Months Ended February 28, 2021 (**)
CENTER FOR COMMUNITY HEALTH PROGRAM	\$ 8,827,000.00	(174,737.91)	\$ 2,038,020.18
CENTER FOR COMMUNITY HLTH	8,827,000.00	(174,737.91)	2,038,020.18
CHILD HEALTH INSURANCE PROGRAM	2,134,768,000.00	36,568,776.47	492,880,422.54
CHILD HEALTH INSURANCE	2,134,768,000.00	36,568,776.47	492,880,422.54
COMMUNITY SUPPORT PROGRAM	120,000.00	15,000.00	15,000.00
COMMUNITY SUPPORT	120,000.00	15,000.00	15,000.00
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	384,850,000.00	6,691,479.48	93,859,624.86
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE	384,850,000.00	6,691,479.48	93,859,624.86
HEALTH CARE REFORM ACT PROGRAM	1,490,325,059.03	45,661,834.02	234,205,354.25
AIDS DRUG ASSISTANCE	123,150,000.00	-	20,000,000.00
AMBULATORY CARE TRAINING	3,537,000.00	-	448,825.77
AREA HEALTH EDUCATION CENTER	3,387,000.00	-	583,185.44
COMMISSIONER EMERGENCY DISTRIBUTIONS	24,700,000.00	-	(0.01)
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE	163,200,000.00	40,797,339.50	40,797,339.50
DIVERSITY IN MEDICINE	4,732,000.00	-	-
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)	10,335,000.00	355,992.00	2,755,992.00
HCRA PAYOR / PROVIDER AUDITS	9,440,000.00	450,000.00	2,436,213.15
HEALTH FACILITY RESTRUCTURING DASNY	39,200,000.00	-	15,680,000.00
HEALTH WORKFORCE RETRAINING	18,320,000.00	295,617.52	4,262,889.75
INFERTILITY SERVICES GRANTS	5,733,000.00	-	370,720.57
MEDICAL INDEMNITY FUND	52,000,000.00	-	-
PART 405.4 HOSPITAL AUDITS NYCRR	2,200,000.00	-	102,100,000.00
PHYSICIAN EXCESS MEDICAL MALPRACTICE	359,900,000.00	-	4,137,089.87
PHYSICIAN LOAN REPAYMENT	27,195,000.00	1,193,433.89	4,137,089.87
PHYSICIAN WORKFORCE STUDIES	974,000.00	-	240,000.00
POISON CONTROL CENTERS	6,320,000.00	-	1,756,720.67
POOL ADMINISTRATION	5,300,000.00	857,254.16	1,824,081.29
ROSWELL PARK CANCER INSTITUTE	89,266,000.00	-	30,370,400.00
ROSWELL PARK COMPREHENSIVE CANCER CENTER	50,000.00	-	-
RURAL HEALTH CARE ACCESS	17,050,000.00	-	397,985.62
RURAL HEALTH CARE ACCESS & NETWORK DEVELOPMENT	9,410,000.00	1,712,196.95	4,764,055.03
RURAL HEALTH CARE GRANTS	11,610,000.00	-	-
RURAL HEALTH NETWORK	4,230,000.00	-	1,279,855.60
SCHOOL BASED HEALTH CENTERS	8,460,000.00	-	-
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	489,526,059.03	-	-
TRANSITION ACCT - PRIOR YEAR ALLOCATION	28,631,301,000.00	332,677,714.14	4,318,717,426.61
MEDICAL ASSISTANCE PROGRAM	300,000,000.00	44,300,000.00	44,300,000.00
HOME HEALTH RATE INCREASE	4,999,000,000.00	60,977,714.14	682,017,426.61
MEDICAID INDIGENT CARE	22,349,101,000.00	97,000,000.00	3,462,000,000.00
MEDICAL ASSISTANCE	916,000,000.00	120,500,000.00	120,500,000.00
PSNL CRE WRKR RECR & RETEN NYC (**)	67,200,000.00	9,900,000.00	9,900,000.00
PSNL CRE WRKR RECR & RETEN ROS (***)	102,431,000.00	2,993,661.55	25,571,927.64
NEW YORK STATE OF HEALTH	102,431,000.00	2,993,661.55	25,571,927.64
NEW YORK STATE OF HEALTH ADMINISTRATION	102,431,000.00	2,993,661.55	25,571,927.64
OFFICE OF HEALTH INSURANCE PROGRAM	1,834,000.00	-	-
OFFICE OF HEALTH INSURANCE	1,834,000.00	-	-
OFFICE OF HEALTH SYSTEMS MANAGEMENT	68,916,000.00	542,083.17	7,573,936.63
OFFICE OF HEALTH SYSTEMS MANAGEMENT	68,916,000.00	542,083.17	7,573,936.63
OFFICE OF LONG TERM CARE	2,477,800.00	-	-
ADULT HOME INITIATIVE	2,477,800.00	-	-
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	-	3,677,000.55
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	-	3,677,000.55
TOTAL	32,834,039,859.03	424,975,810.32	5,178,538,713.26
Reclass of SUNY Hospital Disprop Share to Transfer		(208,610.57)	(4,418,864.37)
Reclass of SUNY Hospital Poison Control Centers to Transfer		(919,100.00)	(919,100.00)
Reclass of SUNY Empire Clinical Research Investigator Program to Transfer		(229,666.00)	(229,666.00)
Reconciling Adjustment (P-Card and T-Card)		(131.64)	(131.64)
TOTAL REPORTED AMOUNT	\$ 32,833,365,859.03	\$ 423,618,302.71	\$ 5,172,970,951.25

(*) Includes amounts appropriated in SFY 2020-21, as well as prior year appropriations that were reappropriated.
 (**) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.
 (***) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.
 (****) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

APPENDIX C

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2020-21

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	3rd Quarter OCTOBER - DECEMBER	2021 JANUARY	2021 FEBRUARY	2020-21
OPENING CASH BALANCE	\$ 350,947,309.06	\$ 126,897,506.61	\$ 318,804,091.76	\$ 299,674,693.96	\$ 176,012,956.72	\$ 350,947,309.06
RECEIPTS:						
Patient Services	722,415,689.44	975,374,899.18	859,864,830.97	175,709,345.39	281,558,901.80	3,014,923,666.78
Covered Lives	224,564,997.99	294,913,084.03	252,919,950.64	43,950,805.01	83,044,729.98	899,393,567.65
Provider Assessments	19,621,242.87	22,021,897.80	24,084,713.16	4,939,880.39	5,932,721.12	76,600,455.34
1% Assessments	103,739,180.00	107,280,064.00	105,841,411.19	29,576,999.00	37,756,109.00	384,193,763.19
DASNY - MOE/Recast receivables	-	-	-	-	-	-
Interest Income	13,893.95	16,145.63	8,568.77	3,593.43	3,447.91	45,649.69
Unassigned	(1,563,049.32)	(978,886.85)	6,783,770.57	(5,637,858.63)	43,971.22	(1,352,053.01)
Total Receipts	1,068,791,954.93	1,398,627,203.79	1,249,503,245.30	248,542,764.59	408,339,881.03	4,373,805,049.64
PROGRAM DISBURSEMENTS:						
Poison Control Centers	-	-	(1,920,000.00)	(480,000.00)	-	(2,400,000.00)
School Based Health Center Grants	-	-	-	-	-	-
ECRIP Distributions	-	-	(2,400,000.00)	-	-	(2,400,000.00)
Total Program Disbursements	-	-	(4,320,000.00)	(480,000.00)	-	(4,800,000.00)
Excess (Deficiency) of Receipts over Disbursements	1,068,791,954.93	1,398,627,203.79	1,245,183,245.30	248,062,764.59	408,339,881.03	4,369,005,049.64
OTHER FINANCING SOURCES (USES):						
Transfers From Other Pools:						
Medicaid Disproportionate Share	-	-	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	13,334,232.00	13,201,960.00	12,615,514.00	4,274,213.00	3,461,970.00	46,887,889.00
Transfers From State Funds:						
HCRA Resources Fund	-	-	4,320,000.00	480,000.00	355,992.00	5,155,992.00
Total Other Financing Sources	13,334,232.00	13,201,960.00	16,935,514.00	4,754,213.00	3,817,962.00	52,043,881.00
Transfers To Other Pools:						
Medicaid Disproportionate Share	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers To State Funds:						
HCRA Resources Fund	(1,306,175,989.38)	(1,219,922,578.64)	(1,281,248,157.10)	(376,478,714.83)	(418,420,843.62)	(4,602,246,283.57)
Indigent Care Fund - Matched	-	-	-	-	-	-
Indigent Care Fund - Unmatched	-	-	-	-	-	-
Total Other Financing Uses	(1,306,175,989.38)	(1,219,922,578.64)	(1,281,248,157.10)	(376,478,714.83)	(418,420,843.62)	(4,602,246,283.57)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(224,049,802.45)	191,906,585.15	(19,129,397.80)	(123,661,737.24)	(6,263,000.59)	(181,197,352.93)
CLOSING CASH BALANCE	\$ 126,897,506.61	\$ 318,804,091.76	\$ 299,674,693.96	\$ 176,012,956.72	\$ 169,749,956.13	\$ 169,749,956.13

Source: HCRA - Office of Pool Administration

APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2020-21

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	3rd Quarter OCTOBER - DECEMBER	2021 JANUARY	2021 FEBRUARY	2020-21
OPENING CASH BALANCE	\$ 668.63	\$ 169.31	\$ 333,127.45	\$ 6,834,706.32	\$ 3,582,218.33	\$ 668.63
RECEIPTS:						
Interest Income	422.98	1,460.78	420.06	155.33	114.31	2,573.46
Total Receipts	422.98	1,460.78	420.06	155.33	114.31	2,573.46
PROGRAM DISBURSEMENTS:						
Indigent Care	(188,629,665.12)	(150,799,778.96)	(183,599,073.14)	(44,735,209.09)	(44,486,841.96)	(612,250,568.27)
High Need Indigent Care	-	-	-	-	-	-
Other	506,867.55	(90,700,038.60)	3,733,616.64	-	(17,294,895.00)	(103,754,449.41)
Total Program Disbursements	(188,122,797.57)	(241,499,817.56)	(179,865,456.50)	(44,735,209.09)	(61,781,736.96)	(716,005,017.68)
Excess (Deficiency) of Receipts over Disbursements	(188,122,374.59)	(241,498,356.78)	(179,865,036.44)	(44,735,053.76)	(61,781,622.65)	(716,002,444.22)
OTHER FINANCING SOURCES (USES):						
Transfers From Other Pools:						
Public Goods Pool	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers From State Funds:						
HCRA Resources Indigent Care - Matched	94,314,832.56	113,950,116.17	80,001,388.03	19,594,021.59	19,510,144.82	327,370,503.17
HCRA Resources Indigent Care - Unmatched	(506,129.55)	16,528,236.56	3,716,890.61	(3,252,508.75)	14,463,436.76	30,949,925.63
HCRA Resources Indigent Care - ATB	-	-	-	-	-	-
Federal DHHS Fund	94,314,832.56	113,950,116.15	102,650,182.79	25,141,187.50	25,033,564.82	361,089,883.82
Other	-	-	-	-	-	-
Total Other Financing Sources	188,123,535.57	244,428,468.88	186,368,461.43	41,482,700.34	59,007,146.40	719,410,312.62
Transfers To Other Pools:						
Public Goods Pool	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers To State Funds:						
HCRA Resources Fund Indigent Care Acct	(922.30)	(431.55)	(1,484.03)	(134.57)	(155.33)	(3,127.78)
CSRA Inc (eMedNY) General Fund	(738.00)	(2,596,722.41)	(362.09)	-	-	(2,597,822.50)
Total Other Financing Uses	(1,660.30)	(2,597,153.96)	(1,846.12)	(134.57)	(155.33)	(2,600,950.28)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(499.32)	332,958.14	6,501,578.87	(3,252,487.99)	(2,774,631.58)	806,918.12
CLOSING CASH BALANCE	\$ 169.31	\$ 333,127.45	\$ 6,834,706.32	\$ 3,582,218.33	\$ 807,586.75	\$ 807,586.75

Source: HCRA - Office of Pool Administration

APPENDIX E

STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2020-2021
(amounts in thousands)

	2020 APRIL	2020 MAY	2020 JUNE	2020 JULY	2020 AUGUST	2020 SEPTEMBER	2020 OCTOBER	2020 NOVEMBER	2020 DECEMBER	2021 JANUARY	2021 FEBRUARY	2021 MARCH	2020-2021 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	\$ 427	\$ 2,157	\$ 1,567	\$ 17	\$ 15	\$ 649	\$ -	\$ 829	\$ 90	\$ 161	\$ -	\$ -	\$ 15
Education - EXCEL	(1)	-	59	-	-	-	-	-	-	-	-	-	5,887
Department of Health - All Other	-	-	-	-	-	-	-	-	-	-	-	-	58
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)/RESTORE	525	-	454	444	323	148	14	383	94	125	114	-	2,624
Multi-modal	-	-	24	-	-	20	-	-	-	-	-	-	44
GenNysis	-	-	-	-	-	-	-	-	-	-	-	-	-
CUNY Senior Colleges	24,128	11,443	24,631	18,581	19,061	18,031	10,339	32,044	15,125	25,329	15,108	-	213,820
CUNY Community Colleges	4,766	1,358	5,403	2,217	1,052	2,084	83	4,084	2,211	680	2,039	-	28,007
Brooklyn Court Officer Training Academy	26	-	-	1,153	-	-	-	-	-	-	-	-	1,179
TOTAL DORMITORY AUTHORITY	29,871	14,958	32,138	22,412	20,451	20,942	10,436	37,350	17,520	26,305	17,261	-	249,644
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	\$ 29,871	\$ 14,958	\$ 32,138	\$ 22,412	\$ 20,451	\$ 20,942	\$ 10,436	\$ 37,350	\$ 17,520	\$ 26,305	\$ 17,261	\$ -	\$ 249,644

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	November 30, 2020	December 31, 2020	January 31, 2020	Change	February 28, 2021
10050	GENERAL FUND					
	STATE OPERATIONS AND LOCAL ASSISTANCE	\$ -	\$ -	\$ -	\$ -	\$ -
	TOTAL GENERAL FUND	-	-	-	-	-
CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS						
30051	HIGHWAY AND BRIDGE CAPITAL	251,120,260.33	348,649,284.21	328,865,597.18	(328,865,597.18)	-
30053	AVIATION PURPOSE ACCOUNT	-	-	-	-	-
30101	REHAB/REPAIR MARITIME	-	-	-	-	-
30102	D21RVE- MARITIME	-	-	-	-	-
30103	D56RVE- CENTRAL ADMIN	-	-	-	-	-
30104	RESIDENCE HALL CAMPUS LET BOND PROCEEDS	-	-	-	-	-
30105	REHAB/REPAIR ALBANY	-	-	-	-	-
30106	D01RVE- ALBANY	-	-	-	-	-
30107	REHAB/REPAIR BINGHAMTON	-	-	-	-	-
30108	D07RVE- BINGHAMTON	-	-	-	-	-
30109	REHAB/REPAIR BUFFALO UNIVERSITY	-	-	-	-	-
30110	D28RVE- SUNY BUFFALO	-	-	-	-	-
30111	REHAB/REPAIR STONYBROOK	-	-	-	-	-
30112	D13RVE- STONYBROOK	-	-	-	-	-
30113	REHAB/REPAIR BROOKLYN	-	-	-	-	-
30114	D14RVE- HSC BROOKLYN	-	-	-	-	-
30115	REHAB/REPAIR SYRACUSE	-	-	-	-	-
30116	D15RVE- HSC SYRACUSE	-	-	-	-	-
30117	REHAB/REPAIR BROCKPORT	-	-	-	-	-
30118	D02RVE- BROCKPORT	-	-	-	-	-
30119	REHAB/REPAIR BUFFALO COLLEGE	-	-	-	-	-
30120	D03RVE- SUB BUFFALO	-	-	-	-	-
30121	REHAB/REPAIR CORTLAND	-	-	-	-	-
30122	D04RVE- CORTLAND	-	-	-	-	-
30123	REHAB/REPAIR FREDONIA	-	-	-	-	-
30124	D05RVE- FREDONIA	-	-	-	-	-
30125	REHAB/REPAIR GENESEO	-	-	-	-	-
30126	D06RVE- GENESEO	-	-	-	-	-
30127	REHAB/REPAIR OLD WESTBURY	-	-	-	-	-
30128	D31RVE- OLD WESTBURY	-	-	-	-	-
30129	REHAB/REPAIR NEW PALTZ	-	-	-	-	-
30130	D08RVE- NEW PALTZ	-	-	-	-	-
30131	REHAB/REPAIR ONEONTA	-	-	-	-	-
30132	D09RVE- ONEONTA	-	-	-	-	-
30133	REHAB/REPAIR OSWEGO	-	-	-	-	-
30134	D10RVE- OSWEGO	-	-	-	-	-
30135	REHAB/REPAIR PLATTSBURGH	-	-	-	-	-
30136	D11RVE- PLATTSBURGH	-	-	-	-	-
30137	REHAB/REPAIR POTSDAM	-	-	-	-	-
30138	D12RVE- POTSDAM	-	-	-	-	-
30139	REHAB/REPAIR PURCHASE	-	-	-	-	-
30140	D29RVE- PURCHASE	-	-	-	-	-
30141	REHAB/REPAIR FOR UTICA/ROME	-	-	-	-	-
30142	D27RVE- CAMPUS RESERVE	-	-	-	-	-
30143	REHAB/REPAIR ALFRED	-	-	-	-	-
30144	D22RVE- ALFRED	-	-	-	-	-
30145	REHAB/REPAIR CANTON	-	-	-	-	-
30146	D23RVE- CANTON	-	-	-	-	-
30147	REHAB/REPAIR COBLESKILL	839,392.34	953,069.38	1,135,204.83	88,391.66	1,203,596.49
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	48,651,626.34	55,768,416.64	53,130,282.82	18,226,329.63	71,356,612.45
30501	CWICA IMPLEMENTATION DEC	-	-	-	-	-
30502	CWICA IMPLEMENTATION STATE	-	-	-	-	-
30503	CWICA IMPLEMENTATION ERDA	-	-	-	-	-
30504	CWICA IMPLEMENTATION EFC	-	-	-	-	-
31506	HAZARDOUS WASTE CLEAN UP	99,450,386.33	106,662,837.42	120,224,762.79	2,714,720.20	122,939,482.99
31701	YOUTH FACILITIES IMPROVEMENT	17,665,916.53	12,387,821.98	13,011,358.40	378,678.75	13,390,037.15
31801	HOUSING ASSISTANCE	12,941,967.06	12,941,967.06	12,941,967.06	-	12,941,967.06
31851	HOUSING PROG FD-HSG TR FD CORP	302,876,002.56	116,954,523.32	129,266,936.45	6,948,999.00	136,215,935.45
31852	HOUSING PROG FD AFFORD HSG CORP	44,736,658.81	38,695,121.72	38,695,121.72	-	38,695,121.72
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	108,739,684.37	99,246,517.14	102,446,517.14	5,200,000.00	107,646,517.14
31854	HOUSING PROG FD-HFA	-	-	-	-	-
31951	HIGHWAY FAC PURPOSE	11,956,479.77	11,956,479.77	11,956,479.77	-	11,956,479.77

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	November 30, 2020	December 31, 2020	January 31, 2020	Change	February 28, 2021
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	-	-	-	-	-
32219	NY ENVIRONMENTAL PROTECTION & SPILL REMEDIATION	3,825,768.96	4,785,153.90	5,228,104.01	443,789.06	5,669,893.07
32301	OPWDD-STATE FACILITIES PRE 12/69	-	180.00	-	-	-
32302	DSAS-COMMUNITY FACILITIES	-	-	-	-	-
32303	OMH-COMMUNITY FACILITIES	70,371,273.02	71,862,321.37	72,271,381.76	1,004,470.67	73,275,852.43
32304	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32305	QASAS-COMMUNITY FACILITIES	182,617,289.69	185,432,642.59	184,405,566.97	7,000,000.00	191,405,566.97
32306	DASNY - OMH ADMIN	-	-	-	-	-
32307	DASNY - OPWDD ADMIN	7,628,273.39	11,650,965.39	11,650,968.39	(7,281,116.07)	4,369,852.32
32308	DASNY - QASAS ADMIN	2,581,221.20	2,581,221.20	2,581,221.20	(1,088,008.11)	1,493,213.09
32309	OMH-STATE FACILITIES	155,276,393.23	165,417,218.76	178,340,759.27	(6,776,509.65)	171,564,249.62
32310	OPWDD-STATE FACILITIES	29,377,388.35	31,697,903.16	31,697,903.16	-	31,697,903.16
32311	QASAS-STATE FACILITIES	3,400,362.44	3,203,257.72	3,282,024.25	-	3,282,024.25
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	-	-	-	-	-
32352	DOCS-REHABILITATION PROJECTS	251,945,041.28	194,435,239.85	214,987,658.41	31,404,456.44	246,392,114.85
32353	CORR. FACILITIES CAPITAL CLOSURE	-	-	-	-	-
33001	STORM RECOVERY ACCOUNT	54,495,130.81	55,576,360.02	55,800,568.97	(36,622.69)	55,763,946.28
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	1,660,850,466.81	1,331,292,275.60	1,572,072,134.55	(270,668,018.29)	1,301,404,116.26
STATE SPECIAL REVENUE FUNDS						
20401	DOJ-CHILD PERFORMER PROTECTION ACCOUNT	-	-	-	-	-
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	23,122,890.06	-	43,991,008.24	(43,991,008.24)	-
20818	EPIC PREMIUM ACCOUNT	15,622,758.03	-	-	-	-
20901	LOTTERY-EDUCATION	1,260,608,694.01	1,068,708,130.42	853,561,887.69	(156,005,719.14)	697,556,168.55
20904	VLT EDUCATION	252,710,310.93	345,538,604.22	437,408,602.19	94,561,799.31	531,970,401.50
21001	ENVR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	3,851,203.21	3,912,591.70	3,964,363.48	51,771.78	4,016,135.26
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21064	UTILITY ENVIRONMENTAL REGULATORY ACCOUNT	1,672,099.99	1,672,099.99	3,324,199.99	-	3,324,199.99
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	2,337,334.86	762,637.76	1,421,973.93	662,626.65	2,084,600.58
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	4,118,797.02	3,945,486.63	4,116,249.18	435,517.95	4,551,767.13
21067	ENCON-RECREATION	-	-	-	-	-
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	59,172,374.86	60,694,008.62	60,693,220.74	807,029.58	61,490,250.32
21082	NATURAL RESOURCES ACCOUNT	14,337,266.95	14,690,320.20	14,482,012.46	340,976.32	14,822,988.78
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	-	11,957.03	25.40	323.60	349.00
21202	HEALTH DEPT OIL SPILL	-	2,316.43	87,291.88	(83,287.07)	4,004.81
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	-	270,435.65	-	-	-
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	99,446,068.44	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	-	32,937,539.50	-	-	-
21451	OPERATING PERMIT PROGRAM	32,206,812.95	-	33,386,296.84	430,031.73	33,816,328.57
21452	MOBILE SOURCE	-	-	-	-	-
21902	HEALTH-SPARC'S	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	4,385,613.50	2,912,861.50	7,049,060.11	(1,895,686.86)	5,153,373.25
21907	MENTAL-HYGIENE PROGRAM	-	-	-	-	-
21909	FINANCIAL CONTROL BOARD	-	-	-	-	-
21911	RACING REGULATION ACCOUNT	392,548.02	579,539.40	200,986.13	184,570.94	385,557.07
21912	SU DORM INCOME REIMBURSE	2,675,642.20	3,294,263.41	3,312,997.34	703,976.73	4,016,974.07
21937	CRIMINAL JUSTICE IMPROVEMENT	175,978.44	119,644.65	375,947.73	(235,443.52)	140,504.21
21945	ENV LAB REF FEE	-	-	-	-	-
21959	TRAINING MANAGEMENT AND EVALUATION ACCOUNT	-	-	-	-	-
21981	INDIRECT COST RECOVERY	628,138.35	657,890.69	548,128.76	(36,380.57)	521,748.19
21982	CLINICAL LAB FEE	11,089,563.46	11,548,187.44	9,293,724.14	424,553.75	9,716,277.89
21978	HIGH SCHOOL EQUIVALENCY PROGRAM	-	-	-	-	-
21979	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	22,724.52	24,304.44	32,074.58	(6,577.40)	25,497.18
22017	CAMP SMITH BILLETING ACCOUNT	-	-	-	-	-
22032	BATAVIA SCHOOL FOR THE BLIND	9,514,632.17	10,602,800.05	11,320,507.81	1,360,785.66	12,681,293.47
22034	INVESTMENT SERVICES	-	-	-	-	-
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	November 30, 2020	December 31, 2020	January 31, 2021	Change	February 28, 2021
22039	FINANCIAL OVERSIGHT	517,308.49	827,618.02	275,005.07	274,853.34	549,858.41
22046	REGULATION INDIAN GAMING	95,821,480.92	95,993,465.56	96,973,231.07	895,972.24	97,869,203.31
22053	ROME SCHOOL FOR THE DEAF	4,429,569.30	5,586,537.02	6,114,821.97	1,204,093.54	7,318,915.51
22054	DSP-SIZED ASSETS	859,008.57	808,753.32	659,132.92	(73,886.17)	585,246.75
22055	ADMINISTRATIVE ADJUDICATION	34,239,897.64	37,896,896.77	39,411,493.44	3,238,304.17	42,649,797.61
22056	FEDERAL SALARY SHARING	1,343,372.58	1,484,621.43	1,598,602.46	108,576.84	1,708,179.30
22062	NYC ASSESSMENT ACCT	-	-	-	-	-
22063	CULTURAL EDUCATION ACCOUNT	5,432,522.42	4,786,470.03	3,391,222.79	146,005.79	3,537,228.58
22078	LOCAL SERVICE ACCOUNT	-	-	-	-	-
22086	DACR MORTGAGE SERVICES	1,722,996.43	1,929,393.99	2,131,303.19	260,712.94	2,392,016.13
22090	HOUSING INDIRECT COST RECOVERY	-	-	-	-	-
22100	DHCR-HOUSING CREDIT AGENCY APPLY FEE	-	-	-	-	-
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONTROSE VETERANS HOME	-	-	-	-	-
22151	DEFERRED COMPENSATION ADMIN	56,057.78	119,092.21	171,045.61	7,760.17	7,760.17
22156	RENT REVENUE OTHER - NYC	7,970,306.51	12,415,682.77	16,295,440.90	4,316,076.46	20,611,517.36
22158	RENT REVENUE	-	-	-	-	-
22168	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-
22240	NY'S MEDICAL INDEMNITY FUND ACCOUNT	1,371,046.36	1,502,286.60	1,606,183.66	50,485.65	1,656,669.31
22654	S.U. NON-RESIDENT REV. OFFSET	20,669,171.39	20,671,321.96	20,673,610.47	2,174.51	20,675,784.98
22751	LAKE GEORGE PARK TRUST FUND	-	-	23,185.21	(23,185.21)	-
22802	STATE POLICE MV ENFORCE	-	-	-	-	-
23001	DOT - HIGHWAY SAFETY PRGM	16,319,265.62	16,693,271.87	16,839,996.98	441,217.34	17,281,214.32
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	48,390,644.22	50,730,785.31	53,091,758.53	2,504,641.26	55,596,399.79
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-
23702	COMMERCIAL GAMING REGULATION	-	-	-	-	-
23801	HIGHWAY USE TAX ADMIN	20,807,346.97	21,181,241.86	21,495,412.34	364,580.90	21,859,993.24
23806	FANTASY CHOICE ADMIN	-	-	-	-	-
24951	FANTASY SPORTS ADMINISTRATION	4,356.79	37,509.74	37,509.74	-	59,230.63
	TOTAL STATE SPECIAL REVENUE FUNDS	1,975,108,620.28	1,952,166,417.63	1,787,079,053.48	(88,814,229.95)	1,698,264,823.53
25000-25099	FEDERAL FUNDS					
25100-25199	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	35,147,356.38	14,138,263.68	5,921,211.58	108,763,798.08	114,685,009.66
25200-25249	FEDERAL HEALTH AND HUMAN SERVICES FUND	380,493,084.52	244,158,117.03	463,975,848.19	152,842,521.03	616,818,369.22
25250-25299	FEDERAL EDUCATION GRANTS FUND	43,743,707.94	14,673,179.58	29,762,688.71	22,500,259.98	52,262,948.69
25300-25899	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-
31351	FEDERAL OPERATING GRANTS FUND	473,639,410.90	476,592,572.12	471,249,600.16	22,094,870.40	493,344,470.56
31354	MILITARY AND NAVAL AFFAIRS	8,753,932.66	8,753,932.66	8,753,932.66	-	8,753,932.66
31350-31449	DEPARTMENT OF TRANSPORTATION	369,051,296.52	342,775,368.18	294,284,894.79	265,189,238.83	559,474,133.62
25900-25949	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	110,758,698.75	112,446,385.15	111,552,071.94	1,622,215.12	113,174,287.06
25950	UNEMPLOYMENT INSURANCE ADMINISTRATION	95,365,817.35	164,887,973.83	246,996,095.93	16,724,217.43	263,720,313.36
26001-26049	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	389,238.50	483,839.00	482,563.50	17,650.50	480,214.00
	DOL EMPLOYMENT AND TRAINING GRANTS	1,052,527.92	4,109,419.63	12,922,428.90	(4,623,685.37)	8,298,813.53
	TOTAL FEDERAL FUNDS	1,518,395,067.44	1,362,719,050.76	1,845,681,526.36	585,131,166.00	2,231,072,494.36
60201	AGENCY FUNDS					
60901	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
	MMIS - STATE AND FEDERAL	-	-	-	-	-
	TOTAL AGENCY FUNDS	-	-	-	-	-
50318	ENTERPRISE FUND					
50327	OGS CONVENTION CENTER ACCOUNT	796,325.29	858,561.11	909,948.94	20,982.21	930,931.15
	EMPIRE PLAZA GIFT SHOP	271,994.00	277,839.74	278,641.72	(4,457.03)	274,184.69
	TOTAL ENTERPRISE FUND	1,068,319.29	1,136,400.85	1,188,590.66	16,525.18	1,205,115.84
55001	INTERNAL SERVICE FUNDS					
55002	CENTRALIZED SERVICES-FLEET MGMT	-	-	-	-	-
55003	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-
55004	CENTRALIZED SERVICES-PRINTING	1,345,908.54	1,422,908.23	1,415,556.47	15,338.52	1,430,894.99
55005	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	-	-	134,821.27	91,640.24	226,461.51
55006	CENTRALIZED SERVICES-DONATED FOODS	-	-	-	-	-
55007	CENTRALIZED SERVICES-PERSONAL PROPERTY	2,456,121.37	14,991.22	24,475.44	12,197.30	36,672.74
55008	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	18,472,982.82	2,452,775.52	2,678,600.17	8,093.46	2,686,693.63
55009	CENTRALIZED SERVICES-PASNY	-	20,803,539.76	21,051,905.82	2,300,142.66	23,352,048.48
55010	CENTRALIZED SERVICES-ADMIN SUPPORT	18,577,496.64	18,107,950.66	18,079,001.23	(2,176,401.20)	15,902,600.03
55011	CENTRALIZED SERVICES-DESIGN AND CONSTR	-	1,164,538.81	5,837,106.48	(1,106.75)	5,835,999.73
55012	CENTRALIZED SERVICES-INSURANCE	163,954.30	158,832.30	166,164.30	(6,663.59)	159,500.71
55013	CENTRALIZED SERVICES-SECURITY CARD ACCESS	-	-	-	-	-
55014	CENTRALIZED SERVICES-COPS	-	-	-	-	-
55015	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
	CENTRALIZED SERVICES-HOMER FOLKS	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	November 30, 2020	December 31, 2020	January 31, 2020	Change	February 28, 2021
55016	CENTRALIZED SERVICES-IMMICS	1,447,566.51	1,840,583.09	1,919,964.31	(5,063.08)	1,914,901.23
55017	DOWNSTATE WAREHOUSE	356,668.03	149,896.27	38,884.11	109,865.64	148,749.75
55018	BUILDING ADMINISTRATION	-	-	-	-	-
55019	LEASE SPACE INITIATIVE	-	-	-	-	-
55020	OGS ENTERPRISE CONTRACTING ACCT	87,825,851.34	88,195,248.20	91,664,939.29	(780,727.16)	90,884,212.13
55021	NYS MEDIA CENTER	10,652,731.63	11,155,297.64	11,558,290.64	244,464.49	11,802,755.13
55022	BUSINESS SERVICES CENTER	22,199,281.87	24,238,440.67	26,230,837.21	2,186,410.87	28,417,248.08
55052	ARCHIVES RECORD MGMT I.S.	37,676.44	-	65,304.11	5,528.88	70,832.99
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	-	-	-	-	-
55057	BANKING SERVICES ACCOUNT	108,593.51	30,802.29	38,305.45	180,763.64	219,069.09
55058	CULTURAL RESOURCE SURVEY	2,932,271.19	2,725,647.37	2,963,159.31	240,725.34	3,203,884.65
55059	NEIGHBOR WORK PROJECT	11,602,383.89	11,585,502.98	11,588,001.33	342,122.86	11,930,124.19
55060	AUTOMATIC/PRINT CHARGEBACKS	4,453,300.14	2,734,309.87	3,722,315.71	(3,011,658.53)	710,657.18
55061	OFT NYT ACCT	-	-	-	-	-
55062	DATA CENTER ACCOUNT	48,930,817.34	52,824,404.62	50,058,692.95	1,760,440.91	51,819,133.86
55066	CYBER SECURITY INTRUSION ACCT	1,261,584.27	1,261,584.27	1,261,584.27	-	1,261,584.27
55067	DOMESTIC VIOLENCE GRANT	200,856.41	225,548.29	249,787.03	26,978.60	276,765.63
55069	CENTRALIZED TECHNOLOGY SERVICES	99,463,734.84	103,800,648.53	76,564,331.50	7,636,792.63	84,201,124.13
55071	LABOR CONTACT CENTER ACCT	6,466,266.70	4,203,491.07	4,277,327.23	(2,945,460.03)	1,331,867.20
55072	HUMAN SERVICES CONTACT CNTR ACCT	3,393,732.41	3,170,869.49	4,122,584.84	1,674,441.13	5,797,025.97
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55074	CIVIL RECOVERIES ACCT	2,838,791.78	4,035,844.07	2,668,281.45	715,551.76	3,383,833.21
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	10,766,740.89	11,038,001.16	11,268,754.69	226,483.83	11,495,238.52
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	52,214,425.66	44,661,267.15	45,329,606.22	3,543,728.80	48,873,335.02
55300	HEALTH INSURANCE INTERNAL SERVICE	-	2,988,283.21	3,797,831.95	1,017,402.32	4,815,234.27
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	4,916,106.36	5,003,507.81	5,076,503.25	1,723,901.76	6,800,405.01
55350	CORR INDUSTRIES INTERNAL SERVICE	48,225,119.94	50,777,391.54	50,743,022.72	1,154,765.74	51,897,788.46
	TOTAL INTERNAL SERVICE FUNDS	461,210,964.82	470,772,128.09	454,593,940.75	16,290,701.04	470,886,641.79
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	\$ 5,616,633,438.64	\$ 5,338,086,272.93	\$ 5,460,817,047.80	\$ 241,956,143.98	\$ 5,702,773,191.78

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 56, Part JJ, Section 1, of the Laws of 2020-21.

The loans represent authorizations made by the Legislature to allow certain funds/accounts to make appropriated payments regardless of the fund (cash) balance.

Such loans are made from the State's Short-Term Investment Pool (STIP) and are intended to satisfy temporary cash shortfalls whenever scheduled disbursements exceed available revenues during the fiscal year. Generally, temporary loans are repaid from the first cash receipts of the fund or account; however, in some cases actual revenues are not sufficient to repay all loans made to the fund or account and a transfer from the General Fund "Repayment of Receivables" appropriation is approved by the Budget Director.

The balances reported here in Appendix F are the actual fund balances as of the close of business on the last day of the reporting month and do not include post-closing adjustments.

Please refer to Schedule 1 for a detailed analysis of the "reported" cash balances of the fund group.

(**) Temporary loans to federal funds are typically reimbursed within 2-3 days. Such loans are made pursuant to federal regulations which require the State to disburse funds prior to making a reimbursement claim from the U.S. Treasury.

(***) Per Section 72 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).

STATE OF NEW YORK
DEDICATED INFRASTRUCTURE INVESTMENT FUND(*)
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2020-2021

APPENDIX G

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	11 Months Ended February 28, 2021
OPENING CASH BALANCE	\$ 86,513,214	\$ 49,126,483	\$ 42,662,065	\$ 7,636,110	\$ 165,822,096	\$ 101,117,004	\$ 90,519,037	\$ 33,132,009	\$ 34,311,372	\$ 65,037,383	\$ 75,763,969	-	\$ 86,513,214
RECEIPTS:													
Transfers from General Fund (**)	-	-	-	204,000,000	-	-	-	40,000,000	68,967,000	50,000,000	60,000,000	-	422,967,000
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Receipts	-	-	-	204,000,000	-	-	-	40,000,000	68,967,000	50,000,000	60,000,000	-	422,967,000
DISBURSEMENTS:													
Office for Homeless Housing	-	-	9,481	533,024	-	415,671	516,927	83,421	-	1,251,346	3,445,028	-	6,254,898
Broadband Initiative	1,735,855	1,420,080	-	6,989,621	-	47,334	7,598,310	707,298	5,896,536	-	6,675,852	-	31,068,986
Downtown Revitalization	-	-	-	-	-	47,334	455,489	415,518	238,112	-	422,621	-	1,782,739
Empire State Poverty Reduction Initiatives	2,457,343	88,175	-	1,071,138	565,275	250,000	1,963,105	329,081	444,688	947,002	(454,974)	-	9,928,839
Health Care / Hospital Initiatives	2,586,638	3,634,367	1,781,021	288,010	2,275,903	643,795	468,438	105,191	736,003	-	81,650	-	12,611,015
Information Technology/Infrastructure for Behavioral Sciences	-	-	-	-	-	-	-	-	-	-	-	-	-
Infrastructure Improvements	-	-	5,540,794	1,292,017	2,270,353	144,374	4,447,962	792,375	6,319,850	469	599,236	-	21,407,431
Jacob Javits Center Expansion	-	-	-	-	55,700,000	-	22,620,551	28,196,264	-	32,443,444	28,176,402	-	167,138,661
Life Sciences Initiative	2,500,000	1,500,000	-	-	-	-	5,811,363	-	-	-	-	-	9,811,363
Municipal Restructuring / Consolidation Competition	3,054,840	(2,778,292)	-	562,372	-	830,000	2,063,090	1,237,295	503,423	701,627	1,328,610	-	7,502,966
Penn Station Access	-	-	-	-	(6,035)	-	(10,425)	-	-	-	-	-	-
Resiliency, Mitigation, Security and Emergency Response	-	-	-	-	55,274	(14,282)	20,642	24,656	(4,552)	-	(103,393)	-	398,000
Southern Tier / Hudson Valley Farm Initiative	-	-	-	30,000	-	-	-	-	-	-	-	-	3,345
Thruway Stabilization Program	-	-	22,587,449	24,055,020	2,944,322	4,284,912	5,814,301	4,625,918	11,485,752	70,474	21,844,909	-	53,871,704
Transomarine Economic Development Projects	10,440,876	79,325	4,146,161	282,274	-	1,476,166	-	-	-	-	-	-	60,668,155
Transportation Planning	-	-	-	-	-	-	-	-	-	-	-	-	-
Upstate Revitalization Program	14,611,179	2,520,763	361,049	10,700,538	900,000	-	5,619,275	2,301,620	12,620,169	3,444,591	15,524,953	-	68,604,137
Total Disbursements	37,386,731	6,464,418	35,025,955	45,814,014	64,705,092	10,597,967	57,387,028	38,820,637	38,240,989	39,273,414	77,540,894	-	451,257,139
OPERATING TRANSFERS:													
Transfers to General Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Disbursements and Transfers	37,386,731	6,464,418	35,025,955	45,814,014	64,705,092	10,597,967	57,387,028	38,820,637	38,240,989	39,273,414	77,540,894	-	451,257,139
CLOSING CASH BALANCE	\$ 49,126,483	\$ 42,662,065	\$ 7,636,110	\$ 165,822,096	\$ 101,117,004	\$ 90,519,037	\$ 33,132,009	\$ 34,311,372	\$ 65,037,383	\$ 75,763,969	\$ 58,223,075	\$ -	\$ 58,223,075

(*) 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

STATE OF NEW YORK

MEDICAL ASSISTANCE DISBURSEMENTS - STATE FUNDS⁽¹⁾
FISCAL YEAR 2020-2021

APPENDIX H

	FEBRUARY 2021			11 MONTHS ENDED FEBRUARY 28		
	Department of Health	Other State Agencies	February	Department of Health	Other State Agencies	Year to Date
Adult State Share Medicaid	\$ -	\$ (87,910,400.00)	\$ (87,910,400.00)	\$ -	\$ 80,533,908.00	\$ 80,533,908.00
State Share Medicaid	13,950,132.00	1,415,837.82	15,365,969.82	107,677,876.00	20,840,899.37	128,518,775.37
Medical Assistance (OPWDD)	-	(518,791,764.00)	(518,791,764.00)	-	27,281,997.97	27,281,997.97
Medical Assistance Administration	6,630,094.98	1,579,588.00	8,209,682.98	49,480,365.15	281,704,462.00	331,184,827.15
Population Health Improvement	-	-	-	2,134,333.54	-	2,134,333.54
Traumatic Brain Injury Services	264,368.78	-	264,368.78	10,488,284.71	-	10,488,284.71
Nursing Home Transition & Diversion	46,930.37	-	46,930.37	1,015,056.45	-	1,015,056.45
Reducing Maternal Mortality	59,330.14	-	59,330.14	716,652.18	-	716,652.18
New York Connects	-	2,484,446.28	2,484,446.28	-	13,497,392.59	13,497,392.59
Facilitated Enrollment	145,693.83	-	145,693.83	2,647,136.84	-	2,647,136.84
Emergency Medical Transportation	-	-	-	750,000.00	-	750,000.00
Managed Long-Term Care Ombudsman	368,769.95	-	368,769.95	4,651,221.76	-	4,651,221.76
Major Academic Pool	-	-	-	-	-	-
Women's Health & Multiple Births	-	-	-	-	-	-
Vital Access Program (OASAS)	-	-	-	-	-	-
Vital Access Program (OMH)	-	-	-	-	-	-
Vital Access Provider Services	-	-	-	1,600,000.00	-	1,600,000.00
General Hospitals Safety-Net Providers	-	-	-	35,239,490.00	-	35,239,490.00
Rural Transportation	970,496.99	-	970,496.99	-	-	-
AIDS Epidemic	-	-	-	8,771,715.35	-	8,771,715.35
Fluoridation Systems	-	-	-	750,709.02	-	750,709.02
Expanding Caregiver Support Services	1,972,306.16	-	1,972,306.16	22,779,175.40	-	22,779,175.40
Provide Affordable Housing	1,288,770.59	-	1,288,770.59	20,299,893.28	14,230,665.38	34,530,558.66
Health Homes Establishment	-	-	-	376,446.03	-	376,446.03
Community Provider Network	-	-	-	18,531,501.45	-	18,531,501.45
Inpatient Services	47,034,907.29	-	47,034,907.29	346,163,894.00	-	346,163,894.00
Patient Centered Medical Homes	(46,974,452.85)	-	(46,974,452.85)	-	-	-
Outpatient & Emergency Room Services	(2,465,700.69)	-	(2,465,700.69)	159,159,264.72	-	159,159,264.72
Clinic Services	13,630,652.93	-	13,630,652.93	159,043,184.52	-	159,043,184.52
Nursing Home Services	56,892,170.14	-	56,892,170.14	935,275,147.05	-	935,275,147.05
Other Long Term Care Services	721,103,952.95	-	721,103,952.95	6,077,273,308.01	-	6,077,273,308.01
Managed Care Services	(21,523,873.20)	-	(21,523,873.20)	4,206,874,872.02	-	4,206,874,872.02
Pharmacy Services	13,413,053.21	-	13,413,053.21	142,389,118.36	-	142,389,118.36
Transportation Services	14,025,797.62	-	14,025,797.62	101,382,359.91	-	101,382,359.91
Dental Services	273,279.72	-	273,279.72	2,839,230.13	-	2,839,230.13
Non-Institutional & Other	556,652,320.98	10,763,555.00	567,415,875.98	987,027,247.62	22,335,198.00	1,009,362,445.62
Medical Services State Facilities	3,532,296.26	-	3,532,296.26	1,210,469,412.95	-	1,210,469,412.95
CSEA Family Health Plus Buy In	-	-	-	1,437,931.96	-	1,437,931.96
DC37 & Teamster Local 858	-	-	-	-	-	-
Medical Assistance (HCRA)	97,000,000.00	-	97,000,000.00	3,462,000,000.00	-	3,462,000,000.00
Indigent Care	60,977,714.14	-	60,977,714.14	682,017,426.61	-	682,017,426.61
Provider Assessments	73,845,000.00	-	73,845,000.00	724,697,000.00	-	724,697,000.00
NYC Personal Care Workforce Recruitment and Retention Rates (HCRA)	120,500,000.00	-	120,500,000.00	120,500,000.00	-	120,500,000.00
Personal Care Workforce Recruitment and Retention Rates (HCRA)	9,900,000.00	-	9,900,000.00	9,900,000.00	-	9,900,000.00
Home Health Rate Increase (HCRA)	44,300,000.00	-	44,300,000.00	44,300,000.00	-	44,300,000.00
Additional DSH Payments SUNY	-	-	-	169,029,951.20	-	169,029,951.20
TOTAL⁽¹⁾	1,787,814,012.29	(590,458,736.90)	1,197,355,275.39	19,829,689,206.22	460,424,523.31	20,290,113,729.53
Reclassification of Medical Assistance payments for care and treatment of patients at State-operated health, mental hygiene and State University facilities to Transfers.						
	(6,168,186.78)	-	(6,168,186.78)	(1,538,086,365.13)	-	(1,538,086,365.13)
TOTAL REPORTED MEDICAID	\$ 1,781,645,825.51	\$ (590,458,736.90)	\$ 1,191,187,088.61	\$ 18,291,602,841.09	\$ 460,424,523.31	\$ 18,752,027,364.40

⁽¹⁾ 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.
⁽²⁾Source: Statewide Financial System

STATE OF NEW YORK
MEDICAL ASSISTANCE DISBURSEMENTS - FEDERAL FUNDS^(*)
FISCAL YEAR 2020-2021

APPENDIX I

	FEBRUARY 2021			11 MONTHS ENDED FEBRUARY 28		
	Department of Health	Other State Agencies	February	Department of Health	Other State Agencies	Year to Date
Medical Assistance & Survey Certification Program	\$ 16,235,716.74	\$ -	\$ 16,235,716.74	\$ 117,269,548.41	\$ -	\$ 117,269,548.41
Medical Assistance Administration	105,453.10	1,487,545.00	1,592,998.10	81,823,452.62	263,961,055.00	345,784,507.62
Partnership Plan	-	-	-	746,230,284.57	-	746,230,284.57
Inpatient Services	226,524,444.42	-	226,524,444.42	3,916,410,671.69	-	3,916,410,671.69
Outpatient & Emergency Room Services	23,934,369.10	-	23,934,369.10	518,940,594.41	-	518,940,594.41
Clinic Services	102,640,994.65	-	102,640,994.65	631,676,098.98	-	631,676,098.98
Nursing Home Services	100,609,250.54	-	100,609,250.54	1,402,013,767.85	-	1,402,013,767.85
Other Long Term Care Services	779,107,203.63	-	779,107,203.63	12,976,986,608.99	-	12,976,986,608.99
Managed Care Services	454,508,724.33	-	454,508,724.33	17,860,221,527.75	-	17,860,221,527.75
Pharmacy Services	30,291,294.19	-	30,291,294.19	371,107,499.08	-	371,107,499.08
Transportation Services	35,626,653.29	-	35,626,653.29	432,886,562.91	-	432,886,562.91
Dental Services	727,366.86	-	727,366.86	9,422,535.92	-	9,422,535.92
Non-Institutional & Other	136,106,716.45	-	136,106,716.45	157,285,273.79	24,103,605.00	181,388,878.79
Medical Services State Facilities	-	-	-	1,073,973,623.08	-	1,073,973,623.08
Additional DSH Payments SUNY	-	-	-	221,268,617.80	-	221,268,617.80
TOTAL^(**)	1,906,418,187.30	1,487,545.00	1,907,905,732.30	40,517,516,667.85	288,064,660.00	40,805,581,327.85
Reclassification of Medical Assistance payments for care and treatment of patients at State-operated health, mental hygiene and State University facilities to Transfers and adjustments for timing of payments at month end.	(16,263,232.37)	-	(16,263,232.37)	(1,003,858,433.07)	-	(1,003,858,433.07)
TOTAL REPORTED MEDICAID^(***)	\$ 1,890,154,954.93	\$ 1,487,545.00	\$ 1,891,642,499.93	\$ 39,513,658,234.78	\$ 288,064,660.00	\$ 39,801,722,894.78

^(*) 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.