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**NEW YORK STATE**

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# **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 45 days following publication in the *Register* of a Notice of Proposed Rule Making, or a Notice of Emergency Adoption and Proposed Rule Making; and for 30 days after publication of a Notice of Revised Rule Making, or a Notice of Emergency Adoption and Revised Rule Making in the *Register*. When a public hearing is required by statute, the hearing cannot be held until 45 days after publication of the notice, and comments must be accepted for at least 5 days after the last required hearing. When the public comment period ends on a Saturday, Sunday or legal holiday, agencies must accept comment through the close of business on the next succeeding workday.

***For notices published in this issue:***

- the 45-day period expires on January 13, 2018
- the 30-day period expires on December 29, 2017

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**NEW YORK STATE DEPARTMENT OF STATE**

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# NEW YORK STATE REGISTER

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## 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](http://www.dos.ny.gov)) may send public comment via electronic mail to those recipients who provide an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings.

To be considered, comments should reach the agency before expiration of the public comment period. The law provides for a minimum 45-day public comment period after publication in the *Register* of every Notice of Proposed Rule Making, and a 30-day public comment period for every Notice of Revised Rule Making. If a public hearing is required by statute, public comments are accepted for at least five days after the last such hearing. Agencies are also required to specify in each notice the last date on which they will accept public comment.

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

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

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

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

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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](http://www.dos.ny.gov))

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# RULE MAKING ACTIVITIES

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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.

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## Education Department

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### EMERGENCY RULE MAKING

#### Requirements Relating to the McKinney-Vento Homeless Assistance Act

**I.D. No.** EDU-21-17-00008-E

**Filing No.** 1010

**Filing Date:** 2017-11-14

**Effective Date:** 2017-11-14

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(x) of Title 8 NYCRR.

**Statutory authority:** Education Law, sections 101, 207, 215, 305, 3202, 3209, 3713; Title VII-B of the McKinney-Vento Homeless Assistance Act

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

**Specific reasons underlying the finding of necessity:** The proposed amendment to section 100.2(x) of the Regulations of the Commissioner of Education is necessary to timely implement the statutory changes to Education Law § 3209, as amended by Chapter 56 of the Laws of 2017, to implement changes to McKinney-Vento made at the federal level as a result of the Every Student Succeeds Act.

A Notice of Emergency Adoption and Proposed Rule Making was published in the *State Register* on May 24, 2017. Following the 45-day public comment period required under the State Administrative Procedure Act, the Department received no comments on the proposed amendment. However, the Department decided to make one substantive amendment to the proposed amendment. As a result, a Notice Emergency Adoption and Revised Rule Making was published in the *State Register* on October 4,

2017. Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for regular (non-emergency) adoption, after expiration of the required 30-day public comment period provided for in the State Administrative Procedure Act (SAPA) for a proposed rulemaking, would be the November 2017 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the November meeting, would be November 29, 2017, the date a Notice of Adoption would be published in the *State Register*. The emergency rule adopted at the September Regents meeting will expire on November 17, 2017. Emergency adoption action is therefore necessary for the preservation of general welfare to conform to the provisions of the new law for the 2017-2018 school year and to provide school districts in New York State with sufficient notice of the new requirements so that they can make educational placement decisions for homeless children and unaccompanied youth in the 2017-2018 school year and to ensure that the revised rule remains continuously in effect until it can be adopted as a permanent rule.

**Subject:** Requirements relating to the McKinney-Vento Homeless Assistance Act.

**Purpose:** Implement provisions of the McKinney-Vento Assistance Act for the Education of Homeless Children and Youths.

**Substance of emergency rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/2017>):**

Below is a summary of the proposed amendment to Commissioner's regulation § 100.2(x) which conforms to the new federal and State statutory provisions by revising the definitions section of the regulation to:

- a. Define feeder school and receiving school;
- b. Eliminate "awaiting foster care placement" from the definition of homeless child as of December 10, 2016;
- c. Define preschool; and
- d. Define school of origin to include feeder schools and preschools.

To be consistent with the recent McKinney-Vento changes, the proposed amendment allows the parent or guardian, or in the case of an unaccompanied youth, the youth (known as the designator) to make the initial designation of the school district and school he/she wants his/her child to attend and upon receipt of such designation, the school district will be required to determine whether the designation made by the designator is consistent with the best interests of the homeless child or youth.

In determining a homeless child's best interest, the school district must presume that keeping the homeless child or youth in the school of origin is in the child's or youth's best interest, except when doing so is contrary to the request of the designator.

When making a best interest determination, the school district must consider student-centered factors, including but not limited to factors related to the impact of mobility on achievement, education, the health and safety of the homeless child, giving priority to the request of the child's or youth's parent or guardian or the youth in the case of an unaccompanied youth.

If after considering student-centered factors, the LEA determines that it is not in the homeless child's best interest to attend the school of origin or the school designated by the designator, the local educational agency must provide a written explanation of the reasons for its determination, in a manner and form understandable to such parent, guardian, or unaccompanied youth. The information must also include information regarding the right to a timely appeal. The homeless child or youth must be enrolled in the school in which enrollment is sought by the designator during the pendency of all available appeals.

To conform to the new federal changes, the proposed amendment also requires the designated school district to immediately enroll the homeless child even if the child or youth is unable to produce records of immunization and/or other required health records and/or even if the child has missed application or enrollment deadlines during any period of homelessness, if applicable. However, the amendment does not require the immediate attendance of an enrolled student lawfully excluded from school

temporarily pursuant to Education Law § 906 because of a communicable or infectious disease that imposes a significant risk to others.

The proposed amendment also requires that a student be allowed to maintain enrollment in the same school for the duration of homelessness, through the remainder of the school year in which the student becomes permanently housed, and possibly one additional year if it is the terminal grade for the student in that school.

The proposed amendment further requires that local departments of social services give completed designation forms to school districts and eliminates the requirement that school districts submit designation forms to the New York State Education Department (NYSED or “the Department”) for all students identified as homeless, only those for whom the district is seeking tuition reimbursement (which is consistent with current practice).

The proposed amendment also makes the following revisions to the transportation provisions:

a. Clarifies that transportation beyond 50 miles is subject to a best interest determination using the same factors that school districts must use in reviewing school designations; and

b. Requires transportation to the school of origin, which includes preschool, through the remainder of the school year in which the student becomes permanently housed and for one additional year if it is the student’s terminal year in the school.

The provisions relating to the responsibilities of LEAs is also revised to:

a. Require continued enrollment and transportation during any enrollment dispute pending final resolution of all available appeals, including those commenced pursuant to Education Law § 310 (i.e., elimination of the stay provision);

b. Ensure that homeless children are provided with services comparable to services offered to other students in the designated district of attendance including preschool and other educational programs or services for which a homeless student meets the eligibility criteria, such as programs for students with disabilities, English language learners, after-school programs, school nutrition programs and transportation, career and technical education, and programs for gifted and talented students, and to the extent such child or youth is eligible, services under ESSA;

c. Include the updated LEA McKinney-Vento Liaison responsibilities in ESSA; and

d. Require that information about a homeless child’s living situation (e.g., homeless status, temporary address) be treated as a student education record and not be deemed to be directory information.

For the full text of the terms please visit: <http://www.counsel.nysed.gov/rules/2017>

**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-21-17-00008-P, Issue of May 24, 2017. The emergency rule will expire January 12, 2018.

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

#### **Regulatory Impact Statement**

##### **1. STATUTORY AUTHORITY:**

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

Ed.L. § 207 authorizes the Regents and Commissioner to adopt rules and regulations implementing State law regarding education.

Ed.L. § 215 provides the Commissioner with authority to require schools to submit reports containing such information as the Commissioner may prescribe.

Ed.L. § 305(1) designates the Commissioner as chief executive officer of the State system of education and the Regents, and authorizes the Commissioner to enforce laws relating to the educational system and to execute the Regents’ educational policies. Ed.L. § 305(2) authorizes the Commissioner to have general supervision over schools subject to the Education Law.

Ed.L. § 3202(1) specifies the school district of residence as the school district in which children residing in New York State are entitled to attend school without the payment of tuition. That section is intended to assure that each child residing within the State is able to attend school on a tuition-free basis in accordance with Article XI, section 1 of the New York State Constitution. Moreover, it is the policy of the Legislature, as expressed in Ed.L. section 3205(1) to require instruction for each child of compulsory school age within the State.

Ed.L. § 3202(8) provides that a homeless child, as defined in Ed.L. § 3209(1), over the age of five and under twenty-one years of age, who has not received a high school diploma, shall be entitled to attend a public school without the payment of tuition, in accordance with the provisions of Ed.L. § 3209.

Ed.L. § 3209 sets forth requirements for the education of homeless children. Ed.L. 3209 authorizes the Commissioner to promulgate regulations to carry out the provisions of the statute.

Ed.L. § 3713(1) and (2) authorizes the State and school districts to accept federal law making appropriations for educational purposes and authorizes the Commissioner to cooperate with federal agencies to implement such law.

##### **2. LEGISLATIVE OBJECTIVES:**

The proposed amendment is consistent with the authority conferred by the above statutes, and is necessary to conform Commissioner’s regulations to the federal McKinney-Vento Homeless Assistance Act (42 U.S.C. section 11431 et seq.), as amended by Title IX of the Every Student Succeeds Act of 2015 (Public Law 114-95) and Part C of Chapter 56 of the Laws of 2017.

##### **3. NEEDS AND BENEFITS:**

The Education for Homeless Children and Youth program is administered under Title VII-B of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11431 et seq.) (“McKinney-Vento”), originally authorized in 1987 and most recently re-authorized in December 2015 by ESSA. Under McKinney-Vento, State educational agencies (SEAs) must ensure that each homeless child and youth has equal access to the same free, appropriate public education, including a public preschool education, as other children and youths. Several changes were made as a result of ESSA, including, but not be limited to:

1. Removes “awaiting foster care placement” from the definition of homeless (December 10, 2016);

2. Expands the definition of “school of origin” to include preschool and feeder schools;

3. Requires continued enrollment and transportation during any enrollment dispute pending final resolution of the dispute, including all available appeals;

4. Expands transportation to the school of origin through the remainder of the school year in which the student becomes permanently housed;

5. Requires SEAs and local educational agencies (LEAs) have policies to remove barriers to identification, enrollment and retention of children and youth who are homeless, including barriers to enrollment and retention due to outstanding fees or fines or absences;

6. Requires SEAs to have procedures that ensure that students who are homeless and who meet the relevant eligibility criteria do not face barriers to accessing academic and extra-curricular activities, including magnet schools, summer school, career and technical education, advanced placement courses, online learning and charter schools;

7. Requires that the State Plan describe how youth who are homeless will receive assistance from counselors to advise such youth and improve their readiness for college;

8. Requires that the State Plan ensure appropriate access to secondary education, including procedures to remove barriers that prevent youth from receiving appropriate for full or partial coursework completed while attending a prior school;

9. Requires LEAs to immediately enroll children and youth who are homeless even if they have missed application or enrollment deadlines during any period of homelessness;

10. Allows LEA liaisons to refer students and their families to needed housing services and to affirm eligibility for students and their families for homeless assistance programs funded by the United States Department of Housing and Urban Development if the liaison has received training;

11. Requires that information about a homeless child’s living situation (e.g., homeless status, temporary address) be treated as a student education record and not be deemed to be directory information.

In order to conform State law to the ESSA-related changes in McKinney-Vento, the Legislature and the Governor passed Part C of Chapter 56 of the Laws of 2017 amending Ed/L. § 3209. The proposed amendment conforms to the new federal and State statutory provisions by revising the definitions section of the regulation to:

a. Define feeder school and receiving school;

b. Eliminate “awaiting foster care placement” from the definition of homeless child as of December 10, 2016;

c. Define preschool; and

d. Define school of origin to include feeder schools and preschools.

To be consistent with the recent McKinney-Vento changes, the proposed amendment allows the parent or guardian, or in the case of an unaccompanied youth, the youth (known as the designator) to make the initial designation of the school district and school he/she wants his/her child to attend and upon receipt of such designation, the school district will be required to determine whether the designation made by the designator is consistent with the best interests of the homeless child or youth.



In determining a homeless child's best interest, the school district must presume that keeping the homeless child or youth in the school of origin is in the child's or youth's best interest, except when doing so is contrary to the request of the designator.

When making a best interest determination, the school district must consider student-centered factors, including but not limited to factors related to the impact of mobility on achievement, education, the health and safety of the homeless child, giving priority to the request of the child's or youth's parent or guardian or the youth in the case of an unaccompanied youth.

If after considering student-centered factors, the LEA determines that it is not in the homeless child's best interest to attend the school of origin or the school designated by the designator, the LEA must provide a written explanation of the reasons for its determination, in a manner and form understandable to such parent, guardian, or unaccompanied youth. The information must also include information regarding the right to a timely appeal. The homeless child or youth must be enrolled in the school in which enrollment is sought by the designator during the pendency of all available appeals.

The proposed amendment also requires the designated school district to immediately enroll the homeless child even if the child or youth is unable to produce records of immunization and/or other required health records and/or even if the child has missed application or enrollment deadlines during any period of homelessness, if applicable. However, the amendment does not require the immediate attendance of an enrolled student lawfully excluded from school temporarily pursuant to Ed.L. § 906 because of a communicable or infectious disease that imposes a significant risk to others.

The proposed amendment also requires that a student be allowed to maintain enrollment in the same school for the duration of homelessness, through the remainder of the school year in which the student becomes permanently housed, and possibly one additional year if it is the terminal grade for the student in that school.

The proposed amendment further requires that local departments of social services give completed designation forms to school districts and eliminates the requirement that school districts submit designation forms to NYSED for all students identified as homeless, only those for whom the district is seeking tuition reimbursement (consistent with current practice). It also makes the following revisions to transportation:

- a. Clarifies that transportation beyond 50 miles is subject to a best interests determination using the same factors that school districts must use in reviewing school designations; and
- b. Requires transportation to the school of origin, which includes preschool, through the remainder of the school year in which the student becomes permanently housed and for one additional year if it is the student's terminal year in the school.

The responsibilities of LEAs are also revised to:

- a. Require continued enrollment and transportation during any enrollment dispute pending final resolution of all available appeals, including those commenced pursuant to Ed.L. § 310 (i.e., elimination of the stay provision);
- b. Ensure that homeless children are provided with services comparable to services offered to other students in the designated district of attendance including preschool and other educational programs or services for which a homeless student meets the eligibility criteria, such as programs for students with disabilities, ELLs, after-school programs, school nutrition programs and transportation, career and technical education, and programs for gifted and talented students, and to the extent such child or youth is eligible, services under ESSA;
- c. Include the updated LEA McKinney-Vento Liaison responsibilities in ESSA; and
- d. Require that information about a homeless child's living situation (e.g., homeless status, temporary address) be treated as a student education record and not be deemed to be directory information.

#### 4. COSTS:

**Cost to the State:** The proposed amendment is necessary to conform Commissioner's Regulations to federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA of 2015 (Public Law 114-95) and Part C of Chapter 56 of the Laws of 2017. The State is required to comply with federal statutes as a condition to its receipt of federal funding. The proposed amendment will not impose any costs on the State beyond those imposed by State and federal statutes.

**Costs to local government:** The proposed amendment will not impose any costs on school districts beyond those imposed by State and federal statutes.

**Cost to private regulated parties:** The proposed amendment applies to school districts and does not impose any costs or compliance requirements on private parties.

**Cost to regulating agency for implementation and continued administration of this rule:** The proposed amendment will not impose any additional costs on NYSED beyond those imposed by State and federal statutes.

#### 5. LOCAL GOVERNMENT MANDATES:

The proposed amendment is necessary to conform Commissioner's Regulations to federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L. 114-95) and Part C of Ch.56 of the L.of 2017. The proposed amendment will not impose any additional program, service, duty or responsibility beyond those imposed by State and federal statutes.

#### 6. PAPERWORK:

The proposed amendment will not impose any additional recordkeeping or other paperwork requirements beyond those imposed by State and federal statutes.

#### 7. DUPLICATION:

The proposed amendment does not duplicate, overlap or conflict with State and federal rules or requirements, and is necessary to conform Commissioner's Regulations to federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L. 114-95) and Part C of Ch.56 of the L.of 2017.

#### 8. ALTERNATIVES:

There were no significant alternatives and none were considered. The proposed amendment is necessary to conform Commissioner's Regulations to federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L. 114-95) and Part C of Ch.56 of the L.of 2017.

#### 9. FEDERAL STANDARDS:

The proposed amendment is necessary to conform Commissioner's Regulations to federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L. 114-95) and Part C of Ch.56 of the L.of 2017.

#### 10. COMPLIANCE SCHEDULE:

It is anticipated parties will be able to achieve compliance with the rule by its effective date. The proposed amendment does not impose any compliance requirements beyond those required by State and federal statutes.

#### *Regulatory Flexibility Analysis*

##### Small Businesses:

The proposed amendment is necessary to conform Commissioner's Regulations to federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L. 114-95) and Part C of Ch.56 of the L.of 2017. As a result it does not impose any adverse economic impact, reporting, record keeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses, no further measures were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

##### Local Governments:

##### 1. EFFECT OF RULE:

The proposed amendment applies to each of the 689 public school districts in the State.

##### 2. COMPLIANCE REQUIREMENTS:

The Education for Homeless Children and Youth program is administered under Title VII-B of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11431 et seq.) ("McKinney-Vento"), originally authorized in 1987 and most recently re-authorized in December 2015 by ESSA. Under McKinney-Vento, State educational agencies (SEAs) must ensure that each homeless child and youth has equal access to the same free, appropriate public education, including a public preschool education, as other children and youths. Several changes were made as a result of ESSA, including, but not be limited to:

1. Removes "awaiting foster care placement" from the definition of homeless (December 10, 2016);
2. Expands the definition of "school of origin" to include preschool and feeder schools;
3. Requires continued enrollment and transportation during any enrollment dispute pending final resolution of the dispute, including all available appeals;
4. Expands transportation to the school of origin through the remainder of the school year in which the student becomes permanently housed;
5. Requires SEAs and local educational agencies (LEAs) have policies to remove barriers to identification, enrollment and retention of children and youth who are homeless, including barriers to enrollment and retention due to outstanding fees or fines or absences;
6. Requires SEAs to have procedures that ensure that students who are homeless and who meet the relevant eligibility criteria do not face barriers to accessing academic and extra-curricular activities, including magnet schools, summer school, career and technical education, advanced placement courses, online learning and charter schools;
7. Requires that the State Plan describe how youth who are homeless will receive assistance from counselors to advise such youth and improve their readiness for college;

8. Requires that the State Plan ensure appropriate access to secondary education, including procedures to remove barriers that prevent youth from receiving appropriate for full or partial coursework completed while attending a prior school;

9. Requires LEAs to immediately enroll children and youth who are homeless even if they have missed application or enrollment deadlines during any period of homelessness;

10. Allows LEA liaisons to refer students and their families to needed housing services and to affirm eligibility for students and their families for homeless assistance programs funded by the United States Department of Housing and Urban Development if the liaison has received training;

11. Requires that information about a homeless child's living situation (e.g., homeless status, temporary address) be treated as a student education record and not be deemed to be directory information.

In order to conform State law to the ESSA-related changes in McKinney-Vento, the Legislature and the Governor passed Part C of Chapter 56 of the Laws of 2017 amending Ed/L. § 3209. The proposed amendment conforms to the new federal and State statutory provisions by revising the definitions section of the regulation to:

a. Define feeder school and receiving school;

b. Eliminate "awaiting foster care placement" from the definition of homeless child as of December 10, 2016;

c. Define preschool; and

d. Define school of origin to include feeder schools and preschools.

To be consistent with the recent McKinney-Vento changes, the proposed amendment allows the parent or guardian, or in the case of an unaccompanied youth, the youth (known as the designator) to make the initial designation of the school district and school he/she wants his/her child to attend and upon receipt of such designation, the school district will be required to determine whether the designation made by the designator is consistent with the best interests of the homeless child or youth.

In determining a homeless child's best interest, the school district must presume that keeping the homeless child or youth in the school of origin is in the child's or youth's best interest, except when doing so is contrary to the request of the designator.

When making a best interest determination, the school district must consider student-centered factors, including but not limited to factors related to the impact of mobility on achievement, education, the health and safety of the homeless child, giving priority to the request of the child's or youth's parent or guardian or the youth in the case of an unaccompanied youth.

If after considering student-centered factors, the LEA determines that it is not in the homeless child's best interest to attend the school of origin or the school designated by the designator, the LEA must provide a written explanation of the reasons for its determination, in a manner and form understandable to such parent, guardian, or unaccompanied youth. The information must also include information regarding the right to a timely appeal. The homeless child or youth must be enrolled in the school in which enrollment is sought by the designator during the pendency of all available appeals.

The proposed amendment also requires the designated school district to immediately enroll the homeless child even if the child or youth is unable to produce records of immunization and/or other required health records and/or even if the child has missed application or enrollment deadlines during any period of homelessness, if applicable. However, the amendment does not require the immediate attendance of an enrolled student lawfully excluded from school temporarily pursuant to Ed.L. § 906 because of a communicable or infectious disease that imposes a significant risk to others.

The proposed amendment also requires that a student be allowed to maintain enrollment in the same school for the duration of homelessness, through the remainder of the school year in which the student becomes permanently housed, and possibly one additional year if it is the terminal grade for the student in that school.

The proposed amendment further requires that local departments of social services give completed designation forms to school districts and eliminates the requirement that school districts submit designation forms to NYSED for all students identified as homeless, only those for whom the district is seeking tuition reimbursement (consistent with current practice). It also makes the following revisions to transportation:

a. Clarifies that transportation beyond 50 miles is subject to a best interests determination using the same factors that school districts must use in reviewing school designations; and

b. Requires transportation to the school of origin, which includes preschool, through the remainder of the school year in which the student becomes permanently housed and for one additional year if it is the student's terminal year in the school.

The responsibilities of LEAs are also revised to:

a. Require continued enrollment and transportation during any enrollment dispute pending final resolution of all available appeals, including

those commenced pursuant to Ed.L. § 310 (i.e., elimination of the stay provision);

b. Ensure that homeless children are provided with services comparable to services offered to other students in the designated district of attendance including preschool and other educational programs or services for which a homeless student meets the eligibility criteria, such as programs for students with disabilities, ELLs, after-school programs, school nutrition programs and transportation, career and technical education, and programs for gifted and talented students, and to the extent such child or youth is eligible, services under ESSA;

c. Include the updated LEA McKinney-Vento Liaison responsibilities in ESSA; and

d. Require that information about a homeless child's living situation (e.g., homeless status, temporary address) be treated as a student education record and not be deemed to be directory information.

### 3. PROFESSIONAL SERVICES:

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

### 4. COMPLIANCE COSTS:

The proposed amendment does not impose any additional costs on school districts or charter schools beyond those required by federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L.114-95) and Part C of Ch.56 of the L. of 2017.

### 5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed amendment does not impose any new technological requirements or costs on school districts or charter schools beyond those required by federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L.114-95) and Part C of Ch.56 of the L. of 2017.

### 6. MINIMIZING ADVERSE IMPACT:

The proposed amendment does not impose any additional compliance requirements or costs on school districts or charter schools beyond those required by federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L.114-95) and Part C of Ch.56 of the L. of 2017.

### 7. LOCAL GOVERNMENT PARTICIPATION:

Copies of the rule have been provided to District Superintendents with the request that they distribute them to school districts within their supervisory districts for review and comment. Copies were also provided for review and comment to the chief school officers of the five big city school districts and to charter schools.

### *Rural Area Flexibility Analysis*

#### 1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

The proposed amendment applies to each of the 689 public school districts in the State, including those in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

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

The proposed rule generally does not impose any additional compliance requirements upon local governments beyond those required by federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L.114-95) and Part C of Ch.56 of the Laws of 2017. The proposed rule does not impose any additional professional services requirements on entities in rural areas.

#### 3. COSTS:

The proposed amendment does not impose any costs on school districts or BOCES across the State, including those located in rural areas of the State beyond those required by federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L.114-95) and Part C of Ch.56 of the Laws of 2017.

#### 4. MINIMIZING ADVERSE IMPACT:

The proposed amendment does not impose any additional compliance requirements or costs on school districts or charter schools beyond those required by federal McKinney-Vento Homeless Assistance Act (42 U.S.C. § 11431 et seq.), as amended by Title IX of ESSA (P.L.114-95) and Part C of Ch.56 of the Laws of 2017. Therefore, no alternatives were considered.

#### 5. RURAL AREA PARTICIPATION:

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

### *Job Impact Statement*

The proposed amendment necessary to conform Commissioner's regulations to the federal McKinney-Vento Homeless Assistance Act (42 U.S.C. section 11431 et seq.), as amended by Title IX of the Every Student Succeeds Act of 2015 (Public Law 114-95) and Part C of Chapter 56 of the Laws of 2017. Because of the nature of the proposed amendment, 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, and

no further steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

#### **Assessment of Public Comment**

The agency received no public comment

## **EMERGENCY RULE MAKING**

### **edTPA Safety Net**

**I.D. No.** EDU-39-17-00006-E

**Filing No.** 1011

**Filing Date:** 2017-11-14

**Effective Date:** 2017-12-11

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

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

**Statutory authority:** Education Law, sections 2017, 215, 3001, 3004 and 3009

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

**Specific reasons underlying the finding of necessity:** As a result of recommendations from the edTPA Task Force, the Department is currently in the process of implementing a new edTPA passing score, an edTPA handbook review process, and a Multiple Measures Review Process for candidates who do not pass the edTPA. The existing Safety Net for the edTPA (take and pass the Assessment of Teaching Skills—Written (ATS-W) after receiving a failing edTPA score) is set to expire on June 30, 2018, or when the Commissioner approves a new passing score as recommended by a new standard setting panel, whichever is earlier. This new passing score will be implemented in January 2018, at which time the ATS-W Safety Net for the edTPA would expire under current regulations. The Department has presented emergency regulations to extend the existing safety net until June 30, 2018 even though the new passing score will be in effect, so that candidates will still be able to take advantage of this before the Department has fully implemented the Multiple Measures Review Process.

The proposed amendment was adopted as an emergency measure at the September 2017 Regents meeting. Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (non-emergency) adoption, after publication in the State Register and expiration of the 45-day public comment period provided for in the State Administrative Procedure Act (SAPA) sections 202(1) and (5), is the December 2017 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed amendment, if adopted at the December Regents meeting, is December 27, 2017, the date a Notice of Adoption would be published in the State Register. However, the emergency rule adopted at the September Regents meeting will expire on December 10, 2017. Therefore, emergency action to adopt the proposed rule is necessary now for the preservation of the general welfare in order to ensure that teacher candidates who will be taking the edTPA from the time the new passing score is implemented until the implementation of the Multiple Measures Review Process are able to take advantage of the Safety Net and are not at a disadvantage and to ensure that the emergency rule adopted at the September 2017 Regents meeting remains in effect until it can be adopted as a permanent rule.

**Subject:** edTPA Safety Net.

**Purpose:** To extend the edTPA Safety Net and revise the eligibility criteria for the Multiple Measures Review Process.

**Text of emergency rule:** 1. Subdivision (c) of section 80-1.5 of the Regulations of the Commissioner of Education shall be amended, effective September 12, 2017, to be read as follows:

(c) Except as otherwise prescribed in this subdivision, notwithstanding any applicable provisions of Subparts 80-1, 80-3, 80-4 and 80-5 of this Part or any other provision of rule or regulation to the contrary, a candidate who applies for and meets all the requirements for a certificate on or before June 30, 2018, except that such candidate does not achieve a satisfactory level of performance on one or more of the new certification examinations the teacher performance assessment or the revised content specialty examination(s), as prescribed by the commissioner, that is/are required for the certificate title sought, may instead use one or more of the following safety net options, in lieu of taking, retaking one or more of such new and/or revised certification examinations:

(1) Teacher performance assessment. A candidate who takes and fails to achieve a satisfactory level of performance on the teacher performance

assessment (after completing and submitting for scoring the teacher performance assessment), may, in lieu of retaking the teacher performance assessment:

(i) receive a satisfactory score on the written assessment of teaching skills after receipt of his/her score on the teacher performance assessment and prior to [either the date a new passing score for the edTPA is approved by the commissioner after a recommendation is made by a new standard setting panel or] June 30, 2018[, whichever is earlier]; or

(ii) pass the written assessment of teaching skills on or before April 30, 2014 (before the new certification examination requirements became effective), provided the candidate has taken and failed the teacher performance assessment prior to [either the date a new passing score for the edTPA is approved by the commissioner after a recommendation is made by a new standard setting panel or] June 30, 2018[, whichever is earlier].

2. Subdivision (d) of section 80-1.5 of the Regulations of the Commissioner of Education shall be amended, effective September 12, 2017, to be read as follows:

(d) Multiple Measures Review Process for the edTPA.

(1) A candidate may apply for a waiver of the edTPA requirement on or after the effective date of this section through a multiple-measures review process. Provided however, that this process will only apply if and when a new standard setting panel has been convened and makes a recommendation to the Commissioner for a new passing score for the edTPA and such score has been approved by the Commissioner for use with the edTPA, and the candidate meets the requirements set forth in paragraph (2) of this subdivision.

(2) To be eligible for a waiver of the requirement for the edTPA through the multiple-measures review process, a candidate shall:

(i) receive a score within [one standard deviation] *two points* below the new passing score set by the standard setting panel, as determined by the Commissioner;

(ii) . . .

(iii) . . .

(iv) . . .

(3) . . .

**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-39-17-00006-EP, Issue of September 27, 2017. The emergency rule will expire January 13, 2018.

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

### **Regulatory Impact Statement**

#### **1. STATUTORY AUTHORITY:**

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

Education Law 215 authorizes the Commissioner to require reports from schools under State educational supervision.

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

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

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

#### **2. LEGISLATIVE OBJECTIVES:**

The purpose of the proposed amendment is to extend the existing edTPA Safety Net until June 30, 2018. This extension will help candidates transition to the Multiple Measures Review Process, which is anticipated to begin in early 2018. The amendment also revises the eligibility criteria for the Multiple Measures Review Process from “one standard deviation below the passing score” to “two points below the passing score” to be aligned with the recommendations of the edTPA standard setting panel. This means that candidates falling two points below the new edTPA passing score will be eligible to use the Multiple Measures Review Process.

#### **3. NEEDS AND BENEFITS:**

Based on recommendations from the edTPA Task Force presented in January 2017, the Department convened a 31-member edTPA standard setting panel in June 2017 to review the edTPA passing score. This panel included higher education faculty with experience in teacher preparation as well as P-12 educators. The panel was demographically and geographically diverse. The panel recommended a passing score of 40 to be implemented after a four-year phase-in period.

Under the recommended phase-in period beginning January 1, 2018, the new passing score for the edTPA will be 38. When the Multiple Measures Review Process in Section 80-1.5 of the Regulations is implemented, candidates who fail the edTPA with a score of 36 or 37 will be eligible for this review of their edTPA score to determine if they have



demonstrated to their faculty and their teacher/mentor that they have the knowledge, skills, and abilities to become a teacher of record despite failing the edTPA.

#### Proposed Amendment

Currently, the Regulations authorize candidates to take advantage of the edTPA Safety Net until either the date a new passing score for the edTPA is approved by the Commissioner after a recommendation is made by a new standard setting panel or until June 30, 2018, whichever is earlier. In order to help candidates transition to the Multiple Measures Review Process, the proposed amendment will extend the existing edTPA Safety Net until June 30, 2018. This extension of the Safety Net will help candidates transition to the Multiple Measures Review Process, which is anticipated to begin in early 2018. The amendment also revises Section 80-1.5(d) to change the eligibility criteria for the Multiple Measures Review Process from “one standard deviation below the passing score” to “two points below the passing score” to be aligned with the recommendation of the edTPA standard setting panel. This means that candidates falling two points below the new edTPA passing score will be eligible to use the Multiple Measures Review Process.

#### 4. COSTS:

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

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

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

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

#### 5. LOCAL GOVERNMENT MANDATES:

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

#### 6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

#### 7. DUPLICATION:

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

#### 8. ALTERNATIVES:

The proposed amendment is the result of the extensive work of the edTPA Task Force as well as the edTPA standard setting panel. Alternative recommendations were discussed by the Task Force and standard setting panel, and the resulting recommendations represent consensus of the groups.

#### 9. FEDERAL STANDARDS:

There are no applicable Federal standards.

#### 10. COMPLIANCE SCHEDULE:

If adopted by the Board of Regents at its September meeting, the proposed amendment will become effective as an emergency measure on September 12, 2017. Following the 45-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendment will be presented to the Board of Regents for adoption at its December 2017 meeting and would become effective as a permanent rule on December 27, 2017.

#### Regulatory Flexibility Analysis

The purpose of the proposed emergency amendment is to amend section 80-1.5 of the Regulations of the Commissioner of Education to extend the existing edTPA Safety Net until June 30, 2018. This extension of the Safety Net will help candidates transition to the Multiple Measures Review Process, which is anticipated to begin in early 2018. The amendment also revises Section 80-1.5(d) to change the eligibility criteria for the Multiple Measures Review Process from “one standard deviation below the passing score” to “two points below the passing score” to be aligned with the recommendation of the edTPA standard setting panel. This means that candidates falling two points below the new edTPA passing score will be eligible to use the Multiple Measures Review Process.

The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one was taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required and one has not been prepared.

#### Rural Area Flexibility Analysis

##### 1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

This proposed amendment applies to all teacher certification candidates where the edTPA is a certification requirement, including those in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

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

Based on recommendations from the edTPA Task Force presented in January 2017, the Department convened a 31-member edTPA standard setting panel in June 2017 to review the edTPA passing score. This panel included higher education faculty with experience in teacher preparation as well as P-12 educators. The panel was demographically and geographically diverse. The panel recommended a passing score of 40 to be implemented after a four-year phase-in period.

Under the recommended phase-in period beginning January 1, 2018, the new passing score for the edTPA will be 38. When the Multiple Measures Review Process in Section 80-1.5 of the Regulations is implemented, candidates who fail the edTPA with a score of 36 or 37 will be eligible for this review of their edTPA score to determine if they have demonstrated to their faculty and their teacher/mentor that they have the knowledge, skills, and abilities to become a teacher of record despite failing the edTPA.

#### Proposed Amendment

Currently, the Regulations authorize candidates to take advantage of the edTPA Safety Net until either the date a new passing score for the edTPA is approved by the Commissioner after a recommendation is made by a new standard setting panel or until June 30, 2018, whichever is earlier. In order to help candidates transition to the Multiple Measures Review Process, the proposed amendment will extend the existing edTPA Safety Net until June 30, 2018. This extension of the Safety Net will help candidates transition to the Multiple Measures Review Process, which is anticipated to begin in early 2018. The amendment also revises Section 80-1.5(d) to change the eligibility criteria for the Multiple Measures Review Process from “one standard deviation below the passing score” to “two points below the passing score” to be aligned with the recommendation of the edTPA standard setting panel. This means that candidates falling two points below the new edTPA passing score will be eligible to use the Multiple Measures Review Process.

#### 3. COSTS:

The proposed amendment does not impose any costs on teacher certification candidates.

#### 4. MINIMIZING ADVERSE IMPACT:

The proposed amendment seeks to extend the safety net for candidates taking the edTPA, and to conform the eligibility criteria for the Multiple Measures Review Process to the recommendations from the edTPA standard setting panel. The amendment creates no adverse impact on teacher certification candidates.

#### 5. RURAL AREA PARTICIPATION:

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

#### Job Impact Statement

The purpose of the proposed emergency amendment to section 80-1.5 of the Regulations of the Commissioner of Education is to extend the existing edTPA Safety Net until June 30, 2018. This extension of the Safety Net will help candidates transition to the Multiple Measures Review Process, which is anticipated to begin in early 2018. The amendment also revises Section 80-1.5(d) to change the eligibility criteria for the Multiple Measures Review Process from “one standard deviation below the passing score” to “two points below the passing score” to be aligned with the recommendation of the edTPA standard setting panel. This means that candidates falling two points below the new edTPA passing score will be eligible to use the Multiple Measures Review Process.

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

#### Assessment of Public Comment

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

##### 1. COMMENT:

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

##### DEPARTMENT RESPONSE:

The intent behind the regulatory changes related to the edTPA is to make implementation of the exam in New York more effective and to address significant concerns raised by test takers and the field. The concerns included feedback from candidates related to the difficulty of the exams. The recommendations of the Task Force also included actions such as eliminating the Academic Literacy Skills Test (ALST), extending the safety net for those who cannot pass the edTPA until June 30, 2018, reviewing the edTPA passing score, and creating a Multiple Measures Review Process for those candidates who fall within 2 points of the new



edTPA passing score but meet certain other requirements demonstrating that they have the knowledge, skills, and abilities to step into the classroom. The new passing score for the edTPA, beginning on January 1, 2018, will be 38, which is lower than the current passing score of 41. Ultimately, under the recommended phase-in period, the new passing score will be a 40 beginning on January 1, 2022. In addition, the safety nets for the EAS and the more recently released and/or revised content specialty tests have been extended.

**2. COMMENT:**

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

**DEPARTMENT RESPONSE:**

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

**3. COMMENT:**

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

**DEPARTMENT RESPONSE:**

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

**4. COMMENT:**

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

**DEPARTMENT RESPONSE:**

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

**5. COMMENT:**

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

**DEPARTMENT RESPONSE:**

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

**6. COMMENT:**

Several commenters disagree with lowering standards for teacher certification as a solution to the teacher shortage and suggests that the Department solve this problem by making it more desirable to become a teacher, increasing teacher salaries, and creating better working conditions for teachers.

**DEPARTMENT RESPONSE:**

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

**7. COMMENT:**

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

**DEPARTMENT RESPONSE:**

Please see response to COMMENT #2 above.

**8. COMMENT:**

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

**DEPARTMENT RESPONSE:**

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

**9. COMMENT:**

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

**DEPARTMENT RESPONSE:**

While this comment is outside the scope of the regulation changes related to the edTPA, please see the following website for information related to the reissuance of an expired teaching certificate: <http://www.highered.nysed.gov/tcert/certificate/reissue.html>.

**10. COMMENT:**

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

**DEPARTMENT RESPONSE:**

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

**11. COMMENT:**

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

**DEPARTMENT RESPONSE:**

See Response to Comment #6.

**12. COMMENT:**

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

**DEPARTMENT RESPONSE:**

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

**13. COMMENT:**

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

**DEPARTMENT RESPONSE:** See Response to #2.

**14. COMMENT:**

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

## DEPARTMENT RESPONSE:

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

## 15. COMMENT:

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

## DEPARTMENT RESPONSE:

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

## 16. COMMENT:

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

## DEPARTMENT RESPONSE:

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

## 17. COMMENT:

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

## DEPARTMENT RESPONSE:

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

## 18. COMMENT:

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

## DEPARTMENT RESPONSE:

See Response to Comment #1. These changes were made based on recommendations from the edTPA Task Force, which includes representatives from CUNY, SUNY, C1cu, the Teacher Education Advisory Group, the United University Professions, the Professional Staff Congress and P-12.

## 19. COMMENT:

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

## DEPARTMENT RESPONSE:

Please see Responses to COMMENTS #2 and #6 above.

## 20. COMMENT:

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

## DEPARTMENT RESPONSE:

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

## EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### Mandatory Quality Review Program/Mandatory Peer Review Program

**I.D. No.** EDU-48-17-00006-EP

**Filing No.** 1008

**Filing Date:** 2017-11-14

**Effective Date:** 2017-11-14

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

**Proposed Action:** Amendment of sections 29.10, 70.7, 70.8 and 70.10 of Title 8 NYCRR.

**Statutory authority:** Education Law, sections 207(not subdivided), 6504(not subdivided), 6507(2)(a), 6509(9), 7408, 7410; L. 2017, ch. 364

**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 364 of the Laws of 2017, which became effective October 23, 2017. Chapter 364 of the Laws of 2017 (“Chapter 364”) amended the Education Law to eliminate the exemption from the mandatory quality review requirement for sole proprietorship firms and firms with two or fewer accounting professionals. Chapter 364 also replaces the word “quality” with the word “peer” in Education Law §§ 7408 and 7410, thus, the mandatory quality review program is now referred to as the mandatory peer review program.

Prior to Chapter 364, sole proprietorship firms and firms with two or fewer accounting professionals were not required to undergo a mandatory quality review of their firms’ attest services every three years as a condition of renewal of their registrations. New York State was the only state that had an exemption from the mandatory quality/peer review requirement for these types of firms. Chapter 364 ensures that all firms, regardless of their size, that perform audit and attest services are required to undergo a mandatory quality/peer review. Mandatory quality/peer review furthers public protection by improving the dependability of information used for guidance in financial transactions by ensuring that all certified public accounting firms follow best practices, which assists in maintaining adequate quality control. Therefore, it is imperative that all firms be subject to the mandatory peer review requirements as soon as possible.

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

Therefore, emergency action is necessary at the November 2017 Regents meeting for the preservation of the public health and general welfare in order to enable the State Education Department to immediately establish requirements to timely implement Chapter 364, which is already in effect, so that all firms will be subject to the mandatory peer review requirements.

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

**Subject:** Mandatory Quality Review Program/Mandatory Peer Review Program.

**Purpose:** Eliminates the exemption from the program for sole proprietorship and firms with two or fewer accounting professionals.

**Substance of emergency/proposed rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/2017>):**

The Commissioner of Education proposes to amend § 29.10 of the Rules of the Board of Regents and §§ 70.7, 70.8 and 70.10 of the Regulations of the Commissioner of Education relating to the mandatory quality/peer review program in public accountancy. The proposed amendment will conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 364 of the Laws of 2017 (“Chapter 364”), which amended the Education Law to eliminate the exemption from the mandatory quality review requirement for sole proprietorship firms and firms with two or fewer accounting professionals, effective

October 23, 2017. Chapter 364 also replaces the word “quality” with the word “peer” in Education Law § 7408 and 7410. Thus, the mandatory quality review program is now referred to as the mandatory peer review program. The following is a summary of the proposed rule:

The proposed amendment to subdivision (a) of § 29.10 of the Rules of the Board of Regents relates to the requirement that a firm meet the competency requirements by receiving a “pass” or “pass with deficiency” in its peer review report. Under the previous law, those firms that were exempt from the peer review program or received a “fail” on the peer review report were still required to maintain competency. It required the licensees to demonstrate competency by requiring the licensee to have 1,000 hours of experience within the previous five years providing attest services or reporting on the financial statements. As such, the rule must be amended to make the peer review a requirement, rather than an option. For firms that receive a “fail” on the peer review report, the 1,000 hours of experience will still be required.

The proposed amendment to subdivision (a) of § 70.7 and subdivision (f) of § 70.8 of the Regulations of the Commissioner of Education replace the word “quality” with the word “peer.”

The proposed amendment to § 70.10 of the Regulations of the Commissioner of Education replaces the word “quality” with the word “peer,” as nationally and internationally the term “peer review” is widely used for the peer review program of public accountancy firms.

The proposed amendment also makes various conforming and other changes based on a review of policy. Since the program’s inception in 2012, the policy changes reflect the program’s operations that have taken place over the past five years.

**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 February 11, 2018.

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

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

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

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

#### **Regulatory Impact Statement**

##### **1. STATUTORY AUTHORITY:**

Section 207 of the Education Law grants general 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 admission to and regulation of the practice of the professions.

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

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

Subparagraph (5) of paragraph (c) of subdivision (3) of section 7408 of the Education Law, as amended by Chapter 364 of the Laws of 2017, replaces the word “quality” with the word “peer” in reference to the mandatory quality/peer review requirement.

Section 7410 of the Education Law, as amended by Chapter 364 of the Laws of 2017, sets forth the requirements for the mandatory peer review in the profession of public accountancy and authorizes the Commissioner of Education to promulgate regulations to establish the mandatory peer review of public accounting firms’ attest services.

##### **2. LEGISLATIVE OBJECTIVES:**

The proposed amendment carries out the legislative intent of the aforementioned statutes that the Board of Regents and the Department regulate the practice of the professions, including establishing the requirements of the mandatory peer review program (MPRP) in the profession of public accountancy. The proposed amendment will conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 364 of the Laws of 2017 (“Chapter 364”) which amended the Education Law to eliminate the exemption from the mandatory quality review requirement for sole proprietorship firms and firms with two or fewer accounting professionals, effective October 23, 2017. Chapter 364 also replaces the word “quality” with the word “peer” in Education Law § 7408 and 7410, thus, the mandatory quality review program is now referred to as the mandatory peer review program.

Prior to Chapter 364, sole proprietorship firms and firms with two or fewer accounting professionals were not required to undergo a mandatory

quality review of their firms’ attest services every three years as a condition of renewal of their registrations. New York State was the only state that had an exemption from the mandatory quality/peer review requirement for these types of firms. Chapter 364 ensures that all firms, regardless of their size, that perform audit and attest services are required to undergo a mandatory quality/peer review. Mandatory quality/peer review furthers public protection by improving the dependability of information used for guidance in financial transactions by ensuring that all certified public accounting firms follow best practices, which assists in maintaining adequate quality control.

The proposed amendment to subdivision (a) of section 29.10 of the Rules of the Board of Regents relates to the requirement that a firm meet the competency requirements by receiving a “pass” or “pass with deficiency” in its peer review report. Under the previous law, those firms that were exempt from the peer review program or received a “fail” on the peer review report were still required to maintain competency. It required the licensees to demonstrate competency by requiring the licensee to have 1,000 hours of experience within the previous five years providing attest services or reporting on the financial statements. As such, the rule must be amended to make the peer review a requirement, rather than an option. For firms that receive a “fail” on the peer review report, the 1,000 hours of experience will still be required.

The proposed amendment to subdivision (a) of section 70.7 and subdivision (f) of section 70.8 of the Regulations of the Commissioner of Education replace the word “quality” with the word “peer.”

The proposed amendment to section 70.10 of the Regulations of the Commissioner of Education replaces the word “quality” with the word “peer,” as nationally and internationally the term “peer review” is widely used for the peer review program of public accountancy firms.

The proposed amendment also makes various conforming and other changes based on a review of policy. Since the program’s inception in 2012, the policy changes reflect the program’s operations that have taken place over the past five years.

##### **3. NEEDS AND BENEFITS:**

The proposed amendment is necessary to conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 364. The proposed amendment implements Chapter 364, which amended the Education Law to eliminate the exemption from the mandatory quality review requirement for sole proprietorship firms and firms with two or fewer accounting professionals. The proposed amendment also implements the statute by subjecting all firms to mandatory quality/peer review and its associated requirements, which furthers public protection by improving the dependability of information used for guidance in financial transactions by ensuring that all certified public accounting firms follow best practices, which in turn assists in maintaining adequate quality control.

**4. COSTS:** The proposed rule imposes no additional costs on the State or local governments or the regulatory agency.

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

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

(c) Costs to private regulated parties. The proposed amendment does not impose any additional costs on regulated parties beyond those imposed by statute. As required by Chapter 364, sole proprietorship firms and firms with two or fewer accounting professionals, who were formerly exempt from the mandatory quality/peer review requirements, are now subject to those requirements. As amended by Chapter 364, section 7410 of the Education Law now requires all registered public accounting firms to undergo a quality/peer review of the firm’s attest services every three years. These firms must provide the Department with a copy of the report for an acceptable peer review conducted within the prior three years, each time the firm registers. Firms are enrolled in the American Institute of Certified Public Accountants peer review program, which is either administered by the national peer review committee or another administering entity/sponsoring organization. In New York State, the mandatory quality/peer review program is administered by a Department approved sponsoring organization. A sponsoring organization administers the program by overseeing and facilitating peer reviews by a reviewer in accordance with the statutory requirements as well as the requirements of section 70.10 of the Regulations of the Commissioner of Education. The formerly exempt firms, like all other firms, will incur costs related to their required participation in the mandatory quality/peer review program, including sponsoring organization mandatory quality/peer review program enrollment fees and fees charged by the peer reviewer to complete the mandatory quality/peer review. These fees are not set by the Department and, based on information and belief, these fees are not made public and may vary, based on, among other things, the size of the firm. Thus, the Department is unable to estimate these firms’ costs of complying with the requirements.



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

**5. LOCAL GOVERNMENT MANDATES:**

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

**6. PAPERWORK:**

The proposed amendment subjects the formerly exempt firms to the same reporting or other paperwork requirements as the other firms that are subject to the mandatory quality/peer review requirement, including utilizing the national peer review integrated management application system. However, in conducting required reviews, the peer reviewer will be reviewing these firms' existing workpapers and reports for audit and attestation engagements.

**7. DUPLICATION:**

The proposed amendment does not duplicate any other existing State or federal requirements and is necessary to implement Chapter 364.

**8. ALTERNATIVES:**

The proposed amendment is necessary to conform to the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 364, which amended the Education Law to eliminate the exemption from the mandatory quality/peer review requirement for sole proprietorship firms and firms with two or fewer accounting professionals. There are no significant alternatives to the proposed amendment and none were considered.

**9. FEDERAL STANDARDS:**

There are numerous Federal standards that require a public accounting firm that performs attest services to be enrolled into a peer review program; however, the Federal government does not issue accounting firm licenses. The Federal government does not regulate the firm registration requirements for public accounting firms. There are applicable federal standards pertaining to the requirement that the firm be enrolled in a peer review program; however, the proposed amendment does not exceed any minimum federal standards for the same or similar subject areas pertaining to the sponsoring organization requirements.

**10. COMPLIANCE SCHEDULE:**

The proposed amendment is necessary to conform to the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 364. It is anticipated that the regulated parties will be able to comply with the proposed amendments by the effective date.

***Regulatory Flexibility Analysis***

The purpose of the proposed amendment is to implement Chapter 364 of the Laws of 2017 ("Chapter 364"), which eliminated the exemption from the mandatory quality review requirement for sole proprietorship firms and firms with two or fewer accounting professionals, effective October 23, 2017. Chapter 364 also replaced the word "quality" with the word "peer" in Education Law § § 7408 and 7410. Thus, the mandatory quality review program is now referred to as the mandatory peer review program.

Prior to Chapter 364, sole proprietorship firms and firms with two or fewer accounting professionals were not required to undergo a mandatory quality/peer review of their firms' attest services every three years as a condition of renewal of their registrations. New York State was the only state that had an exemption from the mandatory quality/peer review requirement for these types of firms. The proposed amendment implements Chapter 364 by ensuring that all firms, regardless of their size, that perform audit and attest services are required to undergo a mandatory quality/peer review. Mandatory quality/peer review furthers public protection by improving the dependability of information used for guidance in financial transactions by ensuring that all certified public accounting firms follow best practices, which assists in maintaining adequate quality control.

Section 7410 of the Education Law, as amended by Chapter 364, requires all registered public accounting firms to undergo quality/peer review of the firm's attest services every three years. The firms must provide the Department a copy of the report for an acceptable quality/peer review conducted within the prior three years, each time the firm registers with the Department.

The proposed amendment does not impose any additional costs on regulated parties beyond those required by statute. As required by Chapter 364, sole proprietorship firms and firms with two or fewer accounting professionals, who were formerly exempt from the mandatory quality/peer review requirements, are now subject to those requirements. As amended by Chapter 364, section 7410 of the Education Law now requires all registered public accounting firms to undergo a quality/peer review of the firm's attest services every three years. These firms must provide the Department with a copy of the report for an acceptable peer review conducted within the prior three years, each time the firm registers. Firms are enrolled in the American Institute of Certified Public Accountants peer review program, which is either administered by the national peer review committee or another administering entity/sponsoring organization. In

New York State, the mandatory quality/peer review program is administered by a Department approved sponsoring organization. A sponsoring organization administers the program by overseeing and facilitating peer reviews by a reviewer in accordance with the statutory requirements as well as the requirements of section 70.10 of the Regulations of the Commissioner of Education. The formerly exempt firms, like all other firms, will incur costs related to their required participation in the mandatory quality/peer review program, including sponsoring organization mandatory quality/peer review program enrollment fees and fees charged by the peer reviewer to complete the mandatory quality/peer review. These fees are not set by the Department and, based on information and belief, these fees are not made public and may vary, based on, among other things, the size of the firm. Thus, the Department is unable to estimate these firms' costs of complying with the requirements.

The proposed amendment will affect all firms that were formerly exempt from the mandatory quality/peer review requirements. The Department estimates that there are approximately 6,166 registered public accounting firms in New York State. However, the Department does not know the exact number of such firms that are small businesses. The Department does not collect this information and has no other way to estimate how many of these firms might be small businesses.

The proposed amendment subjects the formerly exempt firms to the same reporting or other paperwork requirements as the other firms that are subject to the mandatory quality/peer review requirement, including utilizing the national peer review integrated management application system. However, in conducting required reviews, the peer reviewer will be reviewing these firms' existing workpapers and reports for audit and attestation engagements. Thus, any of the proposed amendment's requirements that may involve paperwork should be minimal.

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

***Rural Area Flexibility Analysis***

The proposed rule is necessary to implement Chapter 364 of the Laws of 2017 ("Chapter 364"), which amended the Education Law to eliminate the exemption from the mandatory quality review requirement for sole proprietorship firms and firms with two or fewer accounting professionals, effective October 23, 2017. Chapter 364 also replaced the word "quality" with the word "peer" in Education Law § § 7408 and 7410. Thus, the mandatory quality review program is now referred to as the mandatory peer review program.

Prior to Chapter 364, sole proprietorship firms and firms with two or fewer accounting professionals were not required to undergo a mandatory quality review of their firms' attest services every three years as a condition of renewal of their registrations. New York State was the only state that had an exemption from the mandatory quality/peer review requirement for these types of firms. Chapter 364 ensures that all firms, regardless of their size, that perform audit and attest services are required to undergo a mandatory quality/peer review. Mandatory quality/peer review furthers public protection by improving the dependability of information used for guidance in financial transactions by ensuring that all certified public accounting firms follow best practices, which assists in maintaining adequate quality control.

The proposed amendment subjects sole proprietorship firms and firms with two or fewer accounting professionals to the same mandatory quality/peer review requirements as all other firms that perform audit and attest services. Chapter 364 does not provide any exceptions from the mandatory quality/peer review requirements for firms located in rural areas but applies the requirement uniformly to all other firms that perform audit and attest services regardless of location. 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 area flexibility analysis is not required and one has not been prepared.

***Job Impact Statement***

The proposed amendment implements Chapter 364 of the Laws of 2017 (Chapter 364) by eliminating the exemption from the mandatory quality review requirement for sole proprietorship firms and firms with two or fewer accounting professionals, which will further public protection by improving the dependability of information used for guidance in financial transactions by ensuring that all certified public accounting firms follow best practices, which in turn assists in maintaining adequate quality control. The proposed rule, as required by Chapter 364, also replaces the word "quality" with the word "peer" in Education Law § § 7408 and 7410,

thus, the mandatory quality review program will now be referred to as the mandatory peer review program.

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

### NOTICE OF ADOPTION

#### Requirements Relating to McKinney-Vento Homeless Assistance Act

**I.D. No.** EDU-21-17-00008-A

**Filing No.** 1009

**Filing Date:** 2017-11-14

**Effective Date:** 2017-11-29

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(x) of Title 8 NYCRR.

**Statutory authority:** Education Law, sections 101, 207, 215, 305, 3202, 3209, 3713; Title VII-B of the McKinney-Vento Homeless Assistance Act

**Subject:** Requirements relating to McKinney-Vento Homeless Assistance Act.

**Purpose:** Implement provisions of the McKinney-Vento Assistance Act for the Education of Homeless Children and Youths.

**Text or summary was published** in the May 24, 2017 issue of the Register, I.D. No. EDU-21-17-00008-P.

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

**Text of rule and any required statements and analyses may be obtained from:** Kirti Goswami, NYS Education Department, 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 2020, which is no later than the 3rd year after the year in which this rule is being adopted.

#### Assessment of Public Comment

The agency received no public comment.

### PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

#### Licensing of Licensed Pathologists' Assistants

**I.D. No.** EDU-48-17-00005-P

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

**Proposed Action:** Amendment of section 29.2; addition of section 52.48 and Subpart 79-20 to Title 8 NYCRR.

**Statutory authority:** Education Law, sections 207(not subdivided), 212(3), 6504(not subdivided), 6507(2)(a), 6509(9), 8850, 8851, 8852, 8853, 8854, 8855, 8856; L. 2016, ch. 497

**Subject:** Licensing of Licensed Pathologists' Assistants.

**Purpose:** Establishes requirements for licensure including professional education, examination, fee and limited permit requirements.

**Text of proposed rule:** 1. Subdivision (a) of section 29.2 of the Rules of the Board of Regents is amended, as follows:

(a) Unprofessional conduct shall also include, in the professions of: acupuncture, athletic training, audiology, certified behavior analyst assistant, certified dental assisting, chiropractic, creative arts therapy, dental hygiene, dentistry, dietetics/nutrition, licensed behavior analyst, *licensed pathologists' assistants*, licensed perfusionist, licensed practical nursing, marriage and family therapy, massage therapy, medicine, mental health counseling, midwifery, occupational therapy, occupational therapy assistant, ophthalmic dispensing, optometry, pharmacy, physical therapist assistant, physical therapy, physician assistant, podiatry, psychoanalysis, psychology, registered professional nursing, respiratory therapy, respiratory therapy technician, social work, specialist assistant, speech-language pathology (except for cases involving those professions licensed, certified or registered pursuant to the provisions of article 131 or 131-B of the Education Law in which a statement of charges of professional misconduct

was not served on or before July 26, 1991, the effective date of chapter 606 of the Laws of 1991):

- (1) . . .
- (2) . . .
- (3) . . .
- (4) . . .
- (5) . . .
- (6) . . .
- (7) . . .
- (8) . . .
- (9) . . .
- (10) . . .
- (11) . . .
- (12) . . .
- (13) . . .
- (14) . . .

2. Section 52.48 of the Regulations of the Commissioner of Education is added, as follows:

#### § 52.48 Licensed Pathologists' Assistants

*In addition to meeting all the applicable provisions of this Part, to be registered as a program recognized as leading to licensure as a pathologists' assistant, which meets the requirements of section 79-20.1 of this Title, the program shall:*

(a) *be a pathologists' assistant program or a substantially equivalent program as determined by the department, which leads to a bachelor's or higher degree;*

(b) *include courses in each of the following subjects or their equivalent as determined by the department:*

(1) *practices in anatomic pathology, which shall encompass surgical and autopsy pathology, including, but not limited to:*

(i) *principles and methodologies;*

(ii) *performance of procedures;*

(iii) *correlation of clinical information and gross pathology with proper technique;*

(iv) *problem solving;*

(v) *troubleshooting techniques;*

(vi) *principles and practices of quality assurance/quality improvement; and*

(vii) *laboratory management;*

(2) *anatomy and basic microanatomy;*

(3) *human physiology;*

(4) *anatomic pathology, including, but not limited to:*

(i) *surgical pathology techniques:*

(a) *adult; and*

(b) *pediatric;*

(ii) *autopsy techniques:*

(a) *medical autopsy techniques:*

(1) *adult; and*

(2) *pediatric;*

(b) *forensic autopsy techniques:*

(1) *adult;*

(2) *pediatric; and*

(3) *toxicology collection techniques;*

(iii) *histological methods and techniques:*

(a) *concepts of immunohistochemistry;*

(iv) *concepts of molecular diagnostics;*

(v) *microbiology/immunology;*

(vi) *clinical pathology;*

(vii) *embryology;*

(viii) *laboratory safety;*

(ix) *laboratory information systems;*

(x) *laboratory management;*

(xi) *medical ethics;*

(xii) *medical terminology; and*

(xiii) *biomedical photography;*

(5) *application of laboratory safety governmental regulations and standards as applied to anatomic pathology, including, but not limited to:*

(i) *principles and practices of professional conduct;*

(ii) *principles of interpersonal and interdisciplinary communication and team-building skills;*

(iii) *principles and practices of administration and supervision as applied to clinical laboratory science; and*

(iv) *educational methodologies;*

(6) *learning experiences, including, but not limited to courses, practica and/or other required activities, must be properly sequenced and include necessary content and activities to enable students to achieve entry level competencies in each of the major disciplines listed in this section.*

#### SUBPART 79-20

#### LICENSED PATHOLOGISTS' ASSISTANTS



**§ 79-20.1 Professional study for licensed pathologists' assistants.**

(a) As used in this section, an acceptable accrediting body for pathologists' assistants' education programs shall mean an organization acceptable to the department as a reliable authority for the purpose of accreditation of pathologists' assistants' education programs at the postsecondary level, which applies its criteria for granting accreditation of programs in a fair, consistent, and nondiscriminatory manner.

(b) To meet the professional educational requirement for licensure as a pathologists' assistant, the applicant shall present satisfactory evidence of holding a bachelor's or higher degree in pathologists' assistant awarded upon the successful completion of a bachelor's or higher degree program in pathologists' assistant, registered as leading to licensure pursuant to section 52.48 of this Title or accredited by an acceptable accrediting body for pathologists' assistants' education programs, or a bachelor's or higher degree program that is substantially equivalent to such a registered program as determined by the department.

**§ 79-20.2 Licensing examinations for licensed pathologists' assistants.**

(a) Content. The licensing examination shall consist of an examination designed to test knowledge, skills and judgment relating to all areas of pathologists' assistant, including, but not limited to, the basic science of pathology, clinical applications of pathology, all pertinent areas of anatomic pathology, and the practice of pathologists' assistant as defined in subdivision (4) of section 8850 of the Education Law.

(b) The department may accept a passing score on an examination determined by the department to be acceptable for licensure as a licensed pathologists' assistant.

**§ 79-20.3 Fees.**

(a) Applicants shall pay a fee of \$50 for an initial license and a fee of \$150 for the first registration period.

(b) Licensees shall pay a fee of \$150 for each triennial registration period.

**§ 79-20.4 Limited permits.**

As authorized in section 8855 of the Education Law, the department may issue a limited permit to practice as a licensed pathologists' assistant in accordance with the requirements of this section.

(a) An applicant for a limited permit to practice as a licensed pathologists' assistant shall:

(1) file an application with the department on a form prescribed by the department together with a fee of \$105 for the limited permit;

(2) meet all the requirements for licensure as a licensed pathologists' assistant, except the examination requirement; and

(3) practice as a pathologists' assistant only under the direction and supervision of a licensed physician who practices anatomic pathology and pursuant to the order and direction of that licensed physician.

(b) The limited permit in pathologists' assistant shall be valid for a period of not more than 12 months, provided that a limited permit may be extended for an additional 12 months at the discretion of the department for good cause as determined by the department. The time authorized by such limited permit and subsequent extension shall not exceed 24 months in total.

**§ 79-20.5 Special provisions.**

An individual who meets the requirements for a license as a licensed pathologists' assistant except for examination and education and who has been performing the duties of a pathologists' assistant for two of the past five years prior to November 28, 2017 may be licensed without meeting additional requirements, provided that such individual submits an application to the department on or before November 27, 2019. As part of the application, the applicant's supervising physician or physicians, who practice anatomic pathology, must attest to the applicant's experience and competence.

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

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

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

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

**Regulatory Impact Statement****1. STATUTORY AUTHORITY:**

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

Subdivision (3) of section 212 of the Education Law authorizes the Department to charge fees for other certifications or permits for which fees are not otherwise provided, as fixed by regulations of the Department.

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

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

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

Section 8850 of the Education Law, as added by Chapter 497 of the Laws of 2016, establishes and defines the new profession of licensed pathologists' assistants.

Section 8851 of the Education Law, as added by Chapter 497 of the Laws of 2016, establishes protection of the title "pathologists' assistant."

Section 8852 of the Education Law, as added by Chapter 497 of the Laws of 2016, establishes the education, examination, age, moral character, and fee requirements for applicants seeking licensure as licensed pathologists' assistants.

Section 8853 of the Education Law, as added by Chapter 497 of the Laws of 2016, establishes a time limited licensure pathway for individuals who meet the requirements for license as a licensed pathologists' assistant, except for examination and education, if they: have been performing the duties of a pathologists' assistant for two of the five years prior to the November 28, 2017 effective date of this statute; submit an application to the Department on or before November 27, 2019; and their supervising physician, who must practice anatomic pathology, attests to their experience and competence.

Section 8854 of the Education Law, as added by Chapter 497 of the Laws of 2016, authorizes the Board of Regents, upon the recommendation of the Commissioner, to appoint a State Committee for Pathologists' Assistants, as a committee of the State Board of Medicine, to advise solely on matters relating to pathologists' assistants, and to assist on matters of licensing and professional conduct.

Section 8855 of the Education Law, as added by Chapter 497 of the Laws of 2016, establishes the limited permit requirements for applicants for licensure as licensed pathologists' assistants.

Section 8856 of the Education Law, as added by Chapter 497 of the Laws of 2016, establishes exemptions from the licensed pathologists' assistant licensure requirements.

**2. LEGISLATIVE OBJECTIVES:**

The proposed rule carries out the legislative intent of the aforementioned statutes that the Board of Regents and the Department regulate the practice of the professions for the benefit of the public. The proposed rule will conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 497 of the Laws of 2016, which added Article 168 to the Education Law, by establishing the requirements for licensure as a licensed pathologists' assistant, which include, but are not limited to, professional education, examination, fee and limited permit requirements. The proposed rule also implements the statute by subjecting licensed pathologists' assistants to the general unprofessional conduct provisions for the health professions. In addition, the proposed rule implements the statute by establishing the program registration requirements for licensed pathologists' assistants' education programs, which include registration and curriculum requirements for programs offered in New York State that lead to licensure.

Finally, Chapter 497 of the Laws of 2016 also provides a grandparenting licensure pathway for individuals who meet the requirements for a license as a licensed pathologists' assistant except for examination and education and who have been performing the duties of a pathologists' assistant for two of the five years prior to the November 28, 2017 effective date of Article 168 of the Education Law, if they submit an application to the Department on or before November 27, 2019, as long as their supervising physician, who must practice anatomic pathology, attests to their experience and competence. Although this pathway will expire, the licenses issued under it will not.

**3. NEEDS AND BENEFITS:**

The proposed rule is necessary to conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 497 of the Laws of 2016. Prior to Chapter 497, pathologists' assistants were neither a licensed profession nor defined in the Education Law. Thus, in order to practice, many pathologists' assistants practiced under the limited license authority for clinical laboratory technologists and certified histological technicians pursuant to Chapter 336 of the Laws of 2013 as amended by Chapter 194 of the Laws of 2016. However, under Chapter 194 of the Laws of 2016, these limited licenses and registrations will expire on September 1, 2018. Chapter 497 remedies this situation by establishing a new licensure category for pathologists' assistants in the Education Law. Therefore, it is imperative for pathologists' assistants to become licensed in accordance with Article 168 of the Education Law before the expiration of their respective limited licenses.

As required by statute, the proposed rule is also needed to establish the program registration requirements for pathologists' assistants' education

programs offered in New York State that lead to licensure. Additionally, the proposed rule is needed to subject licensed pathologists' assistants to the general unprofessional conduct provisions for the health professions.

#### 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 government: There are no additional costs to local governments.

(c) Cost to private regulated parties: The proposed rule does not impose any additional costs to regulated parties beyond those imposed by statute. Pursuant sections 212, 8852(6) and 8855(4), the proposed amendment requires applicants to pay a fee of \$50 for an initial license, a fee of \$150 for the first registration period, a fee of \$150 for each triennial registration period thereafter, and a fee of \$105 for a limited permit. These fees are comparable to fees in other professions, such as the fees for licensed perfusionists. Higher education institutions that seek to register pathologists' assistants 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 offset, at least in part, by student enrollment in any such programs.

(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 the requirements of Chapter 497 of the Laws of 2016, which amended the Education Law by establishing the standards for individuals to be licensed to practice as licensed pathologists' assistants and the standards for pathologists' assistants' education programs provided by higher education institutions to ensure that only those properly educated and prepared to be licensed pathologists' assistants hold themselves out as such. It 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 conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 497 of the Laws of 2016. There are no other state or federal requirements on the subject matter of this proposed rule. Therefore, the proposed rule does not duplicate other existing state or federal requirements.

#### 8. ALTERNATIVES:

The proposed rule is necessary to conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 497 of the Laws of 2016. There are no significant alternatives to the proposed rule and none were considered.

#### 9. FEDERAL STANDARDS:

Since there are no applicable federal standards for pathologists' assistants' education programs, 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 Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 497 of the Laws of 2016. It is anticipated that regulated parties will be able to comply with the proposed amendments by the effective date.

#### *Regulatory Flexibility Analysis*

The proposed rule implements Chapter 497 of the Laws of 2016, which added Article 168 to the Education Law, by establishing the requirements for licensure as a licensed pathologists' assistant, which include, but are not limited to, professional education, examination, fee and limited permit requirements. The proposed rule also implements the statute's grandparenting licensure pathway for individuals who meet the requirements for a license as a licensed pathologists' assistant except for examination and education, if they satisfy other specified requirements. Additionally, the proposed rule implements the statute by subjecting licensed pathologists' assistants to the general unprofessional conduct provisions for the health professions. In addition, the proposed rule implements the statute by establishing the program registration requirements for pathologists' assistants' education programs, which include registration and curriculum requirements for programs offered in New York State that lead to licensure. The proposed rule is only applicable to prospective applicants for licensure as licensed pathologists' assistants and higher education institutions seeking to develop and register licensure qualifying pathologists' assistants' education programs. The proposed rule will not affect small businesses or local governments in New York State. The proposed rule will not impose

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

#### *Rural Area Flexibility Analysis*

The proposed rule implements Chapter 497 of the Laws of 2016, which added Article 168 to the Education Law, by establishing the requirements for licensure as a licensed pathologists' assistant, which include, but are not limited to, professional education, examination, fee and limited permit requirements. The proposed rule also implements the statute's grandparenting licensure pathway for individuals who meet the requirements for a license as a licensed pathologists' assistant except for examination and education, if they satisfy other specified requirements. Additionally, the proposed rule implements the statute by subjecting licensed pathologists' assistants to the general unprofessional conduct provisions for the health professions. In addition, the proposed rule implements the statute by establishing the program registration requirements for pathologists' assistants' education programs, which include registration and curriculum requirements for programs offered in New York State that lead to licensure. The proposed rule is only applicable to prospective applicants for licensure as licensed pathologists' assistants and higher education institutions seeking to develop and register licensure qualifying pathologists' assistants' education programs. The proposed rule will not impose any adverse impact on rural areas and would not impose new reporting, recordkeeping or other compliance requirements on entities in rural areas of New York State. Accordingly, no further steps were needed to ascertain the impact of the proposed amendment on entities in rural areas and none were taken. Thus, a rural area flexibility analysis is not required, and one has not been prepared.

#### *Job Impact Statement*

It is not anticipated that the proposed rule will impact jobs or employment opportunities. This is because the proposed rule implements Chapter 497 of the Laws of 2016, which added Article 168 to the Education Law, by establishing the requirements for licensure as a licensed pathologists' assistant, which include, but are not limited to, professional education, examination, fee and limited permit requirements. The proposed rule also implements the statute's grandparenting licensure pathway for individuals who meet the requirements for a license as a licensed pathologists' assistant except for examination and education, if they satisfy other specified requirements. Additionally, the proposed rule implements the statute by subjecting licensed pathologists' assistants to the general unprofessional conduct provisions for the health professions. In addition, the proposed rule implements the statute by establishing the program registration requirements for pathologists' assistants' education programs, which include registration and curriculum requirements for programs offered in New York State that lead to licensure. The proposed rule is only applicable to prospective applicants for licensure as licensed pathologists' assistants and higher education institutions seeking to develop and register licensure qualifying pathologists' assistants' education programs. 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 these facts and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### Establish Procedures and Fees for Institutional Authorization of Offer Degree Programs

I.D. No. EDU-48-17-00007-P

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

**Proposed Action:** Amendment of section 3.58; and addition of section 3.59 to Title 8 NYCRR.

**Statutory authority:** Education Law, sections 207, 210, 215, 216, 218 and 224; State Finance Law, section 97-LLLL; L. 1995, ch. 82

**Subject:** Establish Procedures and Fees for Institutional Authorization of Offer Degree Programs.



**Purpose:** To establish fees and procedures for the review of applications for new institutional authorization to offer degree programs.

**Substance of proposed rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/2017>):**

Adds a new section 3.59 to the Rules of the Board of Regents to set forth the requirements for an independent/not-for-profit higher education institution to offer programs leading to postsecondary degrees.

(a) Defines institution, provisional authorization, permanent authorization and satisfactory, sufficient, effective and reasonable likelihood.

(b) Commencing on April 1, 2018 and during periods in which the Department is accepting new applications for institutions seeking to offer degree programs in New York State, an applicant must apply and obtain provisional authorization to operate an institution in New York State from the Board of Regents for a period of up to five years. Sets forth the requirements for an application to operate as an institution in New York State.

(c) Sets forth the requirements for provisional authorization to offer degree program(s) and what evidence is sufficient to demonstrate progress toward permanent authorization.

(d) Sets forth the requirements for permanent authorization.

(e) Sets forth the fees for applicants who apply for provisional or permanent authorization, the fees for an in-person capacity interview and site reviews and the annual administrative fees.

Section 3.58(b) of the Rules of the Board of Regents is amended to set forth the requirements for a for-profit institution to be granted degree-conferring authority.

Section 3.58(c) of the Rules of the Board of Regents is repealed and a new subdivision (c) is added to set forth the requirements for provisional authorization and evidence to demonstrate progress toward permanent authorization.

Section 3.58(d) shall be repealed and a new subdivision (d) shall be added, to set forth the requirements for permanent authorization to confer degrees.

Section 3.58(j) shall be added to the Rules of the Board of Regents to establish the fees for provisional or permanent authorization, the fees for an in-person capacity interview and site reviews and the annual administrative fees.

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

**Data, views or arguments may be submitted to:** Kelly Grace, NYS Education Department, 89 Washington Avenue, Room 975 EBA, Albany, NY 12234, (518) 458-9669, email: REGCOMMENTS@nysed.gov

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

#### Regulatory Impact Statement

##### 1. STATUTORY AUTHORITY:

Education Law 207(not subdivided) 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 and to fix the value of degrees, diplomas, and certificates issued by institutions of other states and countries.

Education Law 215 authorizes the Regents or the Commissioner to visit, examine, and inspect any institution, require reports, and request information.

Education 216 authorizes the Board of Regents to incorporate educational institutions.

Education Law 218 authorizes the Board of Regents to determine whether an institution has adequate financial resources to carry out its educational programs prior to awarding the power to confer degrees.

Education Law 224 prohibits a for-profit institution from transferring or conveying degree-conferring authority without Board of Regents approval and prohibits operation by out-of-state higher education institutions in New York without permission from the Board of Regents.

State Finance Law 97-III establishes an account wherein the Department may deposit funds, including an application and processing charge for those institutions seeking to establish a physical presence in New York State.

Chapter 82 of the Laws of 1995 establishes the requirements for a master plan amendment for higher education institutions that seek to offer degree programs.

##### 2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendment to section 3.58 of the Rules of the Board of Regents is to update the procedures and establish fees for proprietary/for-profit institutions seeking degree-conferring authority and to make the application process and standards for review and approval clear and transparent to applicant entities. The purpose of the proposed new section 3.59 of the Rules of the Board of Regents is to establish fees

and procedures for the review of applications to establish new independent/not-for-profit institutions.

##### 3. NEEDS AND BENEFITS:

Over the past several years, there has been a dramatic increase in the number of entities seeking to establish new degree-granting institutions in New York State. In addition, the reviews and analyses necessary to make decision concerning these entities have become increasingly complex and time consuming for the Department. Resources available to the Department do not meet the current need and render the Department unable to conduct the quality review necessary to accurately inform the Board of Regents in its decision to authorize new colleges and universities.

In addition to these challenges, the current processes for the review of independent/not-for-profit organizations seeking to establish new degree-granting institutions have been largely guided by past practice and are not clearly defined in regulation. The application process and standards for review and approval are not clear or transparent to applicant entities.

In 2006, the board of Regents adopted section 3.58 of the Rules of the board of Regents which establishes requirements and processes for proprietary/for-profit organizations seeking initial degree-conferring authority, but similar provisions related to organizations seeking to become a new independent/not-for-profit institution have not been enacted.

##### Proposed Amendment:

The Department is proposing the addition of a new section 3.59 of the Rules of the Board of Regents to establish procedures and fees for the review of applications to establish new independent/not-for-profit institutions. In addition, since proprietary/for-profit institutions are held to the same quality standards as independent institutions, the Department proposes amendments to section 3.58 so that the same procedures and fees apply equally to both not-for-profit and proprietary/for-profit institutions.

The proposed fees will provide resources to support evaluation of prospective institutions in a manner that does not diminish resources otherwise available to support New York State's existing degree-granting institutions. The establishment of procedures for review will provide clarity and transparency in the steps and standards that must be met to be recommended for authorization by the Board of Regents. The annual administrative fee for institutions that are approved by the Board of Regents will support additional oversight by the Department during the period that the institution has provisional authorization. The proposed fee structure is as follows:

Application Phase	Proposed Fee
Initial written application (one program)	\$7,000
Additional programs submitted with initial written application	\$2,500
In-person capacity interview (as needed)	\$1,500
Site-review (as needed)	\$5,000
Annual administrative fee for provisional period (if approved)	\$5,000

This fee structure is reasonable in relation to the type and nature of the work required of the Department to review these proposed programs and is comparable to fees currently charged by other states. Currently, 44 other states charge fees for applications to establish a new institution.

##### 4. COSTS:

a. Costs to State government: The amendments do not impose any costs on State government, including the State Education Department. In fact, the proposed fees will provide resources for the continuation of reviewing prospective applicants by the Department.

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

c. Costs to private regulated parties: The amendment imposes only the fees described above for those applicants seeking degree-conferring authority in New York State.

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

##### 5. LOCAL GOVERNMENT MANDATES:

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

##### 6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

##### 7. DUPLICATION:

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

##### 8. ALTERNATIVES:

No alternatives were considered. The proposed amendment will make the procedures for all applicants more clear and transparent, and will provide resources for the continuation of reviewing prospective applicants seeking degree-conferring authority by the Department.



**9. FEDERAL STANDARDS:**

There are no applicable Federal standards.

**10. COMPLIANCE SCHEDULE:**

It is anticipated that the proposed amendment will come before the Board of Regents for permanent adoption at its February meeting. If adopted at the February 2018 meeting, the proposed amendments will become effective on February 28, 2018.

**Regulatory Flexibility Analysis****(a) Local governments:**

The purpose of the proposed amendment to section 3.58 of the Rules of the Board of Regents is to update the procedures and establish fees for proprietary/for-profit institutions seeking degree-conferring authority and to make the application process and standards for review and approval clear and transparent to applicant entities. The purpose of the proposed new section 3.59 of the Rules of the Board of Regents is to establish fees and procedures for the review of applications to establish new independent/not-for-profit institutions. Because it is evident that there is no impact on local governments, a Regulatory Flexibility Analysis for local governments has not been prepared.

**(b) Small businesses:**

The purpose of the proposed amendment to section 3.58 of the Rules of the Board of Regents is to update the procedures and establish fees for proprietary/for-profit institutions seeking degree-conferring authority and to make the application process and standards for review and approval clear and transparent to applicant entities. The purpose of the proposed new section 3.59 of the Rules of the Board of Regents is to establish fees and procedures for the review of applications to establish new independent/not-for-profit institutions.

**1. EFFECT OF RULE:**

The purpose of the proposed amendment to section 3.58 of the Rules of the Board of Regents is to update the procedures and establish fees for proprietary/for-profit institutions and independent institutions seeking degree-conferring authority and to make the application process and standards for review and approval clear and transparent to applicant entities. Some of these proprietary/for-profit institutions may be small businesses with fewer than 100 employees.

**2. COMPLIANCE REQUIREMENTS:**

Over the past several years, there has been a dramatic increase in the number of entities seeking to establish new degree-granting institutions in New York State. In addition, the reviews and analyses necessary to make decisions concerning these entities have become increasingly complex and time consuming; sometimes involving the review of multi-state or international corporations, organizations with opaque financial conditions, mergers of more than one corporate entity, and/or the conversion of a for-profit corporation to a proposed not-for-profit college. Resources (professional staff and funds to secure external expert peer reviewers) available to the Department do not meet the need and render the Department unable to conduct the quality review necessary to accurately inform the Board of Regents in its decision to authorize new colleges and universities.

In addition to the challenge of insufficient resources to support quality review, the current processes for the review of independent/not-for-profit organizations seeking to establish new degree-granting institutions have been largely guided by past practice and are not clearly defined in regulation. The application process and standards for review and approval are not clear or transparent to applicant entities.

In 2006, the Board of Regents adopted § 3.58 of the Rules of the Board of Regents which established requirements and processes for proprietary/for-profit organizations seeking initial degree-conferring authority (establishing a new college). Similar provisions related to organizations seeking to become a new independent/not-for-profit institution have not been enacted. The Department is proposing the addition of a new § 3.59 of the Rules of the Board of Regents to establish procedures and fees for the review of applications to establish new independent/not-for-profit institutions. In addition, since proprietary/for-profit institutions are held to the same quality standards as independent institutions, the Department proposes amendments to § 3.58 so that the same procedures and fees apply equally to both not-for-profit and proprietary/for-profit institutions.

**New Section 3.59 and amended Section 3.58 Compliance Procedures:**

Beginning April 1, 2018, entities seeking to establish a new institution of higher education in New York must:

- Apply for provisional authorization to operate an institution for a period of up to five years, before obtaining permanent authorization.
- Submit a nonrefundable and nontransferable fee of \$7,000 with the application, plus \$2,500 for each additional degree program if more than one is requested.
- If an in-person capacity review is needed, institutions must submit a nonrefundable, nontransferable fee of \$1,500 upon notice from the Department.
- If a site-review is needed, institutions must submit a nonrefundable and nontransferable fee of \$5,000 upon notification from the Department.

- Institutions granted provisional authorization shall be subject to an annual non-refundable fee of \$5,000 commencing in the first annual period that the institution obtains provisional authorization, and for each annual period through the term of its provisional authorization.

**4. COMPLIANCE COSTS:**

The proposed fees will provide resources to support evaluation of prospective institutions in a manner that does not diminish resources otherwise available to support New York State's existing degree-granting institutions. The establishment of procedures for review will provide clarity and transparency in the steps and standards that must be met to be recommended for authorization by the Board of Regents. The annual administrative fee for institutions that are approved by the Board of Regents will support additional oversight by the Department during the period that the institution has provisional authorization. The proposed fee structure is as follows:

Application Phase	Proposed Fee
Initial written application (one program)	\$7,000
Additional programs submitted with initial written application	\$2,500
In-person capacity interview (as needed)	\$1,500
Site-review (as needed)	\$5,000
Annual administrative fee for provisional period (if approved)	\$5,000

This fee structure is reasonable in relation to the type and nature of the work required of the Department to review these proposed programs and is comparable to fees currently charged by other states. Currently, 44 other states charge fees for applications to establish a new institution. The fee structures in other states vary greatly. Some states charge flat fees, others charge per program proposed, and several states require additional costs such as securing surety bonds, and other report review fees. The chart below provides select examples of fees other states charge to establish a new degree-granting institution.

**Select Examples of State Approval Fees for IHEs to Establish a Physical Presence**

Hawaii	Initial application fee is \$10,000. Renewal application fees are \$10,000 every two years.
Kansas	Initial application fee is \$4,000 base fee plus \$1,500-\$5,000 per program, for initial review. Additional costs include \$20,000 surety bond for records retention upon closure. Renewal fee is 3% of gross tuition received or derived from Kansas students, but not less than \$1,800 and not more than \$10,000.
Maryland	Initial review is \$7,500 for up to two academic programs and \$850 for each additional program. There is also a \$7,500 fee per site for each site at which an institution is delivering face-to-face instruction.
Massachusetts	Initial application fee is \$10,000 plus \$2,000 for each degree requested at the same time if more than one. Annual fee each year for the first five years for institutions new to Massachusetts: \$4,000. Periodic inspection or review (if a separate review from Board's participation in New England Association of Schools and Colleges review is required): \$4,000.
Ohio	Initial review is \$5,000 per program, plus \$1,000 per additional program submitted at the time of application. Progress report fee is \$1,000 and renewal costs may range from \$1,000-\$7,500 based on a changing scope.
Oregon	Initial application fee is \$7,000, due biennially, plus a surety bond in Oregon.
Tennessee	Initial application fee is \$3,000, plus \$500 for each proposed program. Institutions wishing to offer degrees must pay between \$1,000 and \$4,000 for the highest degree program level being offered (associates to doctorate). The annual reauthorization fee of 75% of the annual gross tuition collected for Tennessee students (Minimum \$500, Maximum \$25,000).

## Virginia

Initial application is \$6,000. New institutions must provide a surety instrument or letter of credit with their application. The amount of the surety is determined based on funds that would be needed to refund unearned tuition for non-title IV students in the event of closure. The annual re-certification fee is based on gross tuition and ranges from \$250 to \$5,000 per branch operating in Virginia.

Source: State Higher Education Executive Officers Association (SHEEO), State Authorization Surveys. Accessed on November 30, 2016, at [http://sheeo.org/sheeo\\_surveys](http://sheeo.org/sheeo_surveys)

As one comparative example, the chart below compares the proposed New York fees to those currently in place in Massachusetts, which may be considered comparable to New York in terms of the level of rigor and review:

Example of Institution Seeking Two Programs with a Five-Year Term

Massachusetts	Proposed New York
Initial Review: \$12,000	Written application \$7,000 Additional Program \$2,500 Capacity Interview \$1,500 Site Review \$5,000
Term Fee 4k/year @ 5 years: \$20,000	Term Fee 5k/year @ 5 years: \$25,000
5-Year total*: \$32,000	5-Year Total*: \$41,000
*excludes periodic inspections @ \$4,000 each	*includes the cost of site review

#### 5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed amendment does not impose any additional technological requirements on applicants applying for degree conferring authority.

#### 6. MINIMIZING ADVERSE IMPACT:

No alternatives were considered. The same standards and procedures apply to for-profit/proprietary and not-for-profit institutions.

#### 7. SMALL BUSINESS PARTICIPATION:

The Department solicited comment on the proposed regulations from the Association of Proprietary Colleges, who represents proprietary institutions with less than 100 employees.

#### Rural Area Flexibility Analysis

##### 1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

This proposed amendment applies to all proprietary/for-profit institutions and independent/not-for-profit institutions seeking initial degree-conferring authority in New York state, including those in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

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

Over the past several years, there has been a dramatic increase in the number of entities seeking to establish new degree-granting institutions in New York State. In addition, the reviews and analyses necessary to make decision concerning these entities have become increasingly complex and time consuming for the Department. Resources available to the Department do not meet the current need and render the Department unable to conduct the quality review necessary to accurately inform the Board of Regents in its decision to authorize new colleges and universities.

In addition to these challenges, the current processes for the review of independent/not-for-profit organizations seeking to establish new degree-granting institutions have been largely guided by past practice and are not clearly defined in regulation. The application process and standards for review and approval are not clear or transparent to applicant entities.

In 2006, the board of Regents adopted section 3.58 of the Rules of the board of Regents which establishes requirements and processes for proprietary/for-profit organizations seeking initial degree-conferring authority, but similar provisions related to organizations seeking to become a new independent/not-for-profit institution have not been enacted.

#### Proposed Amendment:

The Department is proposing the addition of a new section 3.59 of the Rules of the Board of Regents to establish procedures and fees for the review of applications to establish new independent/not-for-profit institutions. In addition, since proprietary/for-profit institutions are held to the same quality standards as independent institutions, the Department proposes amendments to section 3.58 so that the same procedures and fees apply equally to both not-for-profit and proprietary/for-profit institutions.

The proposed fees will provide resources to support evaluation of pro-

spective institutions in a manner that does not diminish resources otherwise available to support New York State's existing degree-granting institutions. The establishment of procedures for review will provide clarity and transparency in the steps and standards that must be met to be recommended for authorization by the Board of Regents. The annual administrative fee for institutions that are approved by the Board of Regents will support additional oversight by the Department during the period that the institution has provisional authorization. The proposed fee structure is as follows:

Application Phase	Proposed Fee
Initial written application (one program)	\$7,000
Additional programs submitted with initial written application	\$2,500
In-person capacity interview (as needed)	\$1,500
Site-review (as needed)	\$5,000
Annual administrative fee for provisional period (if approved)	\$5,000

This fee structure is reasonable in relation to the type and nature of the work required of the Department to review these proposed programs and is comparable to fees currently charged by other states. Currently, 44 other states charge fees for applications to establish a new institution.

#### 3. COSTS:

The proposed amendment imposes the fees listed above for those applicants seeking degree-conferring authority in New York State.

#### 4. MINIMIZING ADVERSE IMPACT:

No alternatives were considered. The proposed amendment will make the procedures for all applicants more clear and transparent, and will provide resources for the continuation of reviewing prospective applicants seeking degree-conferring authority by the Department.

#### 5. RURAL AREA PARTICIPATION:

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

#### Job Impact Statement

The purpose of the proposed amendment to section 3.58 of the Rules of the Board of Regents is to update the procedures and establish fees for proprietary/for-profit institutions seeking degree-conferring authority and to make the application process and standards for review and approval clear and transparent to applicant entities. The purpose of the proposed new section 3.59 of the Rules of the Board of Regents is to establish fees and procedures for the review of applications to establish new independent/not-for-profit institutions.

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

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### Higher Education Opportunity Program (HEOP)

I.D. No. EDU-48-17-00008-P

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

**Proposed Action:** Amendment of Subparts 27-1 and 27-2 of Title 8 NYCRR.

**Statutory authority:** Education Law, sections 101, 207, 305, 6451 and 6452

**Subject:** Higher Education Opportunity Program (HEOP).

**Purpose:** To clarify and modernize existing language and provide consistency across sectors and be useful when establishing frame work for RFP.

**Text of proposed rule:** 1. Section 27-1.1 of the Rules of the Board of Regents is amended to read as follows:

To be eligible for benefits pursuant to the provisions of section 6451 of the Education Law, a student must be both educationally and economically disadvantaged according to the following criteria:

(a) Educationally disadvantaged. Each institution shall establish its own criteria for *educationally disadvantaged*, which shall include, but not be limited to, the following factors: predicting a student's probability of academic success, and nonadmissibility, by the college's normal admissions standards, to the college at the matriculated status in a degree program. *Consideration for admission into this program shall be given to the most*

*educationally disadvantaged students based on each institution's established criteria.* Recipients of Regents scholarships for *academic excellence* [won in countywide competitions] are not eligible. Students who previously attended another institution at which they were enrolled in an opportunity program pursuant to Education Law sections 6451 and 6452, the eligibility criteria of which are substantially similar to the HEOP eligibility criteria of the school at which they matriculate,] may be eligible for the benefits of the HEOP program at the latter institution.

(b) Economically disadvantaged.

(1) [For students first entering college between July 1, 2005 and June 30, 2012. A student is economically disadvantaged if he or she is a member of a household supported by one member thereof with a total annual income which does not exceed the applicable amount set forth in the following tables; or of a household supported solely by one member thereof who is employed by two or more employers at the same time, if the total annual income of such household does not exceed the applicable amount set forth in the following tables for the number of members in the household plus the second job allowance; or of a household supported by more than one worker thereof, or a household in which one worker is the sole support of a one-parent family, if the total annual income of such household does not exceed the applicable amount set forth in the following tables for the number of members in the household plus the employment allowance. For the purposes of this subdivision, the number of members of a household shall be determined by ascertaining the number of individuals living in the student's residence who are economically dependent on the income, as defined in subdivision (c) of this section, supporting the student.

Table I

For students first entering college between July 1, 2010 and June 30, 2012

Number of members in household (including head of household)	Total annual income in preceding calendar year
1	\$16,060
2	21,630
3	27,210
4	32,790
5	38,360
6	43,960
7 or more	49,500 plus \$5,570 for each family member in excess of 7
Second Job Allowance	2,790
Employment Allowance	5,570

The income figures in Table I of this paragraph apply to the student applicant's income only when he or she is an independent student. For purposes of this Part, an independent student means a student who:

(i) is 24 years of age or older by December 31st of the program year; or

(ii) is an orphan or ward of the court. (A student is considered independent if he or she is a ward of the court or was a ward of the court until the individual reached the age of 18); or

(iii) is a veteran of the Armed Forces of the United States who has engaged in the active duty in the United States Army, Navy, Air Force, Marines, or Coast Guard and was released under a condition other than dishonorable; or

(iv) is a married individual; or

(v) has legal dependents other than a spouse; or

(vi) is a student for whom an opportunity program and financial aid administrator has made a satisfactory documented determination of independence by reason of other extraordinary circumstances.

(2) For students first entering college on or after July 1, 2012, a student is economically disadvantaged if he or she is a member of a household where the total annual income of such household is equal to or less than 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size. Federal poverty guidelines are published annually by the Department of Health and Human Services in the Federal Register. The income guidelines in this paragraph apply to the student applicant's income only when he or she is an independent student. For purposes of this Part, an independent student means a student who:

(i) is 24 years of age or older by December 31st of the program year; or

(ii) is an orphan or ward of the court. (A student is considered independent if he or she is a ward of the court or was a ward of the court until the individual reached the age of 18.); or

(iii) is a veteran of the U.S. Armed Forces; or

(iv) is currently an emancipated minor as determined by a court; or

(v) is currently in legal guardianship as determined by a court; or

(vi) is a married individual; or

(vii) has legal dependents other than a spouse; or

(viii) is a student for whom an opportunity program and financial aid administrator has made a satisfactory documented determination of independence by reason of other extraordinary circumstances. *A student is economically disadvantaged if he or she is a member of a household where the total annual income of such household is equal to or less than 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size for the applicable year. Federal poverty guidelines are published annually by the Department of Health and Human Services in the Federal Register. Moreover, the opportunity programs defined by Education Law sections 6451 and 6452 (HEOP, EOP, SEEK/CD) are expected to give priority to the recruitment and enrollment of applicants whose life patterns are characterized by historical economic and educational disadvantage.*

(i) Indicators of historical economic and educational disadvantage may include evidence that the student or the student's family has endured long-term economic deprivation, membership in a group underrepresented in higher education, a history of high unemployment rates, a record of poor academic performance, and/or little or no accumulation of assets. Other indicators may include that the applicant or the applicant's family are unable to provide for more than the basic needs of family members and may be dependent on public assistance.

(ii) Loss of employment, or the separation, divorce or death of a wage earner in the calendar year prior to the academic year for which eligibility is being established and a resulting decrease in family income below income guidelines is not, in itself, sufficient to establish historical economic disadvantage. Such cases must be reviewed carefully in order to determine longer term past patterns of economic disadvantage.

[(3)] (2) A maximum of 15 percent of the total number of HEOP students [admitted to a HEOP program] enrolled by an institution at any given time may come from households whose income exceeds [the household scale listed in the applicable table in paragraph (1) of this subdivision, provided that] 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size for the applicable year, provided such institution has established to the satisfaction of the commissioner or his/her designee that unusual and extenuating circumstances as defined in this paragraph, exist for each such student. [Prior to admitting any such student, the institution shall submit to the commissioner such documentation of unusual and extenuating circumstances as the commissioner may require. Such documentation] Documentation shall be kept on file by the institution at which such students were enrolled, and shall be corroborated by a disinterested, reliable party. For purposes of this paragraph, unusual and extenuating circumstances shall be limited to the following:

(i) serious mismanagement of the household income with little accruing to the interest of the student; or

(ii) a one-time fluctuation in household income where there is a history of low income. Satisfactory evidence that a household's income in the calendar year prior to the calendar year used for determining the student's economic eligibility fell within the limits of the applicable household income scale shall be sufficient to establish the existence of a one-time fluctuation in household income, [provided that] if there is satisfactory proof of a history of low income; or

(iii) households with substantial long-term nonreimbursed medical obligations; or

(iv) families which must maintain two households [in order] to maintain employment, [one for a wage earner and one for dependents] if there is satisfactory documentation of a history of low income.

(4) Reference to the household income scale need not be made if the student falls into one of the following categories, and documentation is available:

(i) the student's family is the recipient of family assistance program aid or safety net assistance through the New York State Office of Temporary and Disability Assistance or a county department of social services; or is the recipient of family day-care payments through the New York State Office of Children and Family Services or a county department of social services or their successor offices;

(ii) the student is living with foster parents who do not provide support for college, and no monies are provided from the natural parents; or

(iii) the student is a ward of the State or a county.

(5) The eligibility standards set forth in this section apply only at the time of admission as a first-time freshman to a program. Once admitted, a student [may] will continue to receive supportive services as needed, even if the family income rises above the current eligibility standards. However,



a student's economic status shall be reviewed under a recognized needs analysis system each year and appropriate adjustments made in the student's financial aid package.

(6) The following shall be acceptable documentation of paragraphs (1) through (3) of this subdivision:

(i) Documentation of all income, earned dividends and interest: signed copy of appropriate year's tax return (I.R.S. form 1040 or 1040a or 1040EZ, or 4506).

(ii) Documentation of no income: a copy of I.R.S. form [4506] 4506-T which has been filed by the student or family with the Internal Revenue Service or [a copy of I.R.S. Letter 1722] *its successor office* indicating that the student or parent did not file a return.

(iii) Documentation of pension, annuity or unemployment benefits: letter from the applicable agency showing appropriate year's total award (if not reported on I.R.S. form 1040, 1040a or 1099).

(iv) Documentation of social security, supplemental security income or Veterans Administration noneducational benefits: letter from the applicable agency showing applicable year's total award for each member of the household or I.R.S. form 1099 for each member of the household.

(v) Documentation of social services payments: verification from a branch of the Office of Temporary and Disability Assistance or Office of Children and Family Services or *their successor offices*, showing year of benefits received and names of recipients.

(vi) Documentation of child support and/or alimony: court order, affidavit, or student's financial aid form (FAF).

(vii) Documentation of additional members in household: birth certificates, marriage certificates, third-party verification, or similar documentation acceptable to the commissioner.

(c) Income.

(1) Except as otherwise provided in paragraph (2) of this subdivision, income, as used in this Subpart, means all taxable and nontaxable funds which are received by the household [for general use]. Such funds may be derived from [such] sources [as] *including but not limited to* wages, dividends, interest, social security, disability pensions, veterans' benefits and unemployment benefits.

(2) The following shall not constitute income:

(i) Monies received specifically for educational purposes from sources such as social security, veteran's cost of education benefits, and education grants from the Office of Vocational Rehabilitation or *its successor office*.

(ii) Social services or public assistance payments received through the family assistance program, safety net assistance, and the family day-care program, or *social security supplemental income*.

2. Section 27-2.6 of the Rules of the Board of Regents shall be amended to read as follows:

§ 27.6 Student Eligibility.

*To be eligible for benefits pursuant to the provisions of Education Law section 6452, a student enrolled in the City University of New York or State University of New York must be both educationally and economically disadvantaged per the criteria established in section 27-1.1 of this Title.*

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

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

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

#### Regulatory Impact Statement

##### 1. STATUTORY AUTHORITY:

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

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

Education Law 305(1) authorizes the Commissioner to enforce laws relating to the State educational system and execute Regents educational policies. Section 305(2) provides the Commissioner with general supervision over schools and authority to advise and guide school district officers in their duties and the general management of their schools.

Education Law 6451 establishes the requirements for non-public institutions of higher education participating in the Arthur O. Eve opportunity for higher education grant.

Education Law 6452 establishes the requirements for the state and city universities of New York participating in the Arthur O. Eve opportunity for higher education grant.

##### 2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed changes to Subparts 27-1 and 27-1 of the Rules of the Board of Regents related to the Higher Education Opportunity Programs (HEOP) is to clarify and modernize the language in the Regulations related to eligibility to align with current practice. The changes in 27-1.1 update the language related to the term "educationally disadvantaged" to improve access to HEOP for the target population and remove obsolete language. The changes in 27-2 include the addition of a new section, 27-2.6, which is intended to ensure that the eligibility requirements are standardized across public and private opportunity programs.

##### 3. NEEDS AND BENEFITS:

Subpart 27-1 of the Rules of the Board of Regents governs the eligibility requirements for opportunity programs in the private sector (independent institutions). The proposed amendments include changes to the definition of educationally and economically disadvantaged to ensure that access is targeted towards those students with the greatest need, pursuant to Education Law § 6451.

Subpart 27-2 of the Rules of the Board of Regents governs the eligibility requirements for opportunity programs in the public sector (SUNY and CUNY). The proposed amendments include a new Section 27-2.6 to standardize the eligibility requirements for opportunity programs across all sectors.

This is the final phase to update the regulations (changes to Subpart 152-1 of the Regulations were adopted in September 2017) relating to HEOP. These updates were developed and recommended by an advisory committee which included representation from all sectors and Department staff.

##### Proposed Amendments

In Section 27-1.1, the language related to "educationally disadvantaged" was updated to improve access to HEOP for the target population and to remove obsolete language. The amendment adds "consideration for admission into this program shall be given to the most educationally disadvantaged students based on their academic performance" to accomplish this. The language related to economically disadvantaged was revised to eliminate outdated tables and replace with 185% of the Federal poverty guidelines, and clarified documentation needed to establish eligibility.

In Subpart 27-2, the language includes a new Section 27-2.6 which standardizes the eligibility requirements for opportunity programs across all sectors. While it has been inferred that public institutions follow the same eligibility requirements as private institutions, this new section is intended to ensure that the eligibility requirements are standardized across public and private opportunity programs.

##### 4. COSTS:

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

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

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

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

##### 5. LOCAL GOVERNMENT MANDATES:

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

##### 6. PAPERWORK:

The proposed amendments do not impose any additional paperwork requirements.

##### 7. DUPLICATION:

The proposed amendments do not duplicate existing State or Federal requirements.

##### 8. ALTERNATIVES:

The proposed amendments are the result of recommendations from an advisory committee which includes representation from all sectors and SED staff.

##### 9. FEDERAL STANDARDS:

There are no applicable Federal standards.

##### 10. COMPLIANCE SCHEDULE:

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

#### Regulatory Flexibility Analysis

The purpose of the proposed changes to Subparts 27-1 and 27-1 of the Rules of the Board of Regents related to the Higher Education Opportunity Programs (HEOP) is to clarify and modernize the language in the Regulations related to eligibility to align with current practice. The changes in 27-1.1 update the language related to the term "educationally disadvantaged" to improve access to HEOP for the target population and remove obsolete language. The changes in 27-2 include the addition of a new section, 27-2.6, which is intended to ensure that the eligibility requirements are standardized across public and private opportunity programs.

The amendments do not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required and one has not been prepared.

#### **Rural Area Flexibility Analysis**

##### **1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:**

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

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

Subpart 27-1 of the Rules of the Board of Regents governs the eligibility requirements for opportunity programs in the private sector (independent institutions). The proposed amendments include changes to the definition of educationally and economically disadvantaged to ensure that access is targeted towards those students with the greatest need, pursuant to Education Law 6451.

Subpart 27-2 of the Rules of the Board of Regents governs the eligibility requirements for opportunity programs in the public sector (SUNY and CUNY). The proposed amendments include a new Section 27-2.6 to standardize the eligibility requirements for opportunity programs across all sectors.

#### **Proposed Amendment**

In Section 27-1.1, the language related to “educationally disadvantaged” was updated to improve access to HEOP for the target population and to remove obsolete language. The amendments add “consideration for admission into this program shall be given to the most educationally disadvantaged students based on their academic performance” to accomplish this. The language related to economically disadvantaged was revised to eliminate outdated tables and replace with 185% of the Federal poverty guidelines, and clarified documentation needed to establish eligibility.

In Subpart 27-2, the language includes a new Section 27-2.6 which standardizes the eligibility requirements for opportunity programs across all sectors. While it has been inferred that public institutions follow the same eligibility requirements as private institutions, this new section is intended to ensure that the eligibility requirements are standardized across public and private opportunity programs.

##### **3. COSTS:**

The proposed amendment does not impose any additional costs on public or private institutions.

##### **4. MINIMIZING ADVERSE IMPACT:**

The proposed amendments seek to improve access to HEOP for the target population (educationally and economically disadvantaged students) pursuant to Education Law 6451.

##### **5. RURAL AREA PARTICIPATION:**

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

#### **Job Impact Statement**

The purpose of the proposed changes to Subparts 27-1 and 27-2 of the Rules of the Board of Regents related to the Higher Education Opportunity Programs (HEOP) is to clarify and modernize the language in the Regulations related to eligibility to align with current practice. The changes in 27-1.1 update the language related to the term “educationally disadvantaged” to improve access to HEOP for the target population and remove obsolete language. The changes in 27-2 include the addition of a new section, 27-2.6, which is intended to ensure that the eligibility requirements are standardized across public and private opportunity programs.

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. Accordingly, a job impact statement is not required and one has not been prepared.

### **PROPOSED RULE MAKING NO HEARING(S) SCHEDULED**

#### **Pre-professional Certificates and Transitional G Certificates**

**I.D. No.** EDU-48-17-00009-P

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

**Proposed Action:** Amendment of sections 80-5.6 and 80-5.22 of Title 8 NYCRR.

**Statutory authority:** Education Law, sections 207, 205, 3001, 3004 and 3006

**Subject:** Pre-professional certificates and Transitional G certificates.

**Purpose:** Experience under a pre-professional certificate be counted toward student teaching for an initial teaching certificate.

#### **Text of proposed rule:**

1. Section 80-5.22 of the Regulations of the Commissioner of Education shall be amended as follows:

§ 80-5.22 Transitional G certificate for career changers and others holding a graduate or higher degree [in science, technology, engineering or mathematics] *in any area for which there is a certificate title* and with at least two years of acceptable post-secondary teaching experience *in any area for which there is a certificate title or in a closely related subject area acceptable to the department.*

(a) General requirements.

(1) . . .

(2) Limitations. The transitional G shall authorize a candidate to teach only in a school district for which a commitment for employment has been made. The candidate shall meet the requirements in each of the following paragraphs.

(i) Education. A candidate shall hold a graduate degree *in the area of a certificate title* [in science, technology, engineering or mathematics] from a regionally or nationally accredited institution of higher education, a higher education institution that the commissioner deems substantially equivalent, or from an institution authorized by the Board of Regents to confer degrees. A candidate shall complete study in the means for identifying and reporting suspected child abuse and maltreatment, which shall include at least two clock hours of coursework or training in the identification and reporting of suspected child abuse or maltreatment in accordance with the requirements of section 3004 of the Education Law. In addition, the candidate shall complete at least two clock hours of coursework or training in school violence prevention and intervention, as required by section 3004 of the Education Law, which is provided by a provider approved or deemed approved by the department pursuant to Subpart 57-2 of this Title. A candidate who applies for the certificate on or after December 31, 2013, shall also complete at least six clock hours, of which at least three hours must be conducted through face-to-face instruction, of coursework or training in harassment, bullying and discrimination prevention and intervention, as required by section 14 of the Education Law.

(ii) Post-secondary teaching experience. The candidate shall submit evidence of at least two years of satisfactory teaching experience at the post-secondary level in the certificate area to be taught or in a closely related subject area acceptable to the department; *provided, however, that such experience must have been completed within 10 years immediately preceding the application for a Transitional G certificate.*

(iii) . . .

2. Item (iii) of subclause (2) of clause (c) of subparagraph (ii) of paragraph (2) of subdivision (b) of section 52.21 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(iii) Upon written application by the institution, the commissioner may grant a time-limited approval for an alternate model for field experiences and college-supervised student teaching or practica, provided that the institution demonstrates the success of such model or has an adequate plan for demonstrating that the model will be successful. *In the case of alternate models that include college-supervised student teaching conducted when a candidate is employed by a school district or BOCES under a pre-professional teaching assistant certificate pursuant to Part 80 of this Title, the institution and employing school district or BOCES will provide candidate(s) holding such certificate with the same and/or similar student teaching experience as required under this section while employed at the school district or BOCES. No approval from the commissioner is required for such alternate models nor shall they be time limited.*

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

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

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

#### **Regulatory Impact Statement**

##### **1. STATUTORY AUTHORITY:**

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



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

Education Law 305(1) authorizes the Commissioner to enforce laws relating to the State educational system and execute Regents educational policies. Section 305(2) provides the Commissioner with general supervision over schools and authority to advise and guide school district officers in their duties and the general management of their schools.

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

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

Education Law 3006 authorizes the Commissioner to issue certificates.

## 2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendment to Section 52.21 of the Regulations of the Commissioner of Education is to eliminate the requirement that a candidate pursuing a Transitional G certificate have a degree and postsecondary teaching experience only in a science, technology, engineering, or mathematics (STEM) field. The amendment allows those with degrees and postsecondary experience in any area for which there is a certificate title to obtain a Transitional G certificate.

The purpose of the proposed amendment to 80-5.22 of the Regulations of the Commissioner is to allow a pre-professional teaching assistant who is employed in a school district or BOCES to complete their student teaching experience or practica required under Section 52.21 while employed under the certificate, provided that the institution ensures that the candidate receives the same and/or similar student teaching experience as prescribed in Section 52.21 of the Regulations.

## 3. NEEDS AND BENEFITS:

### Transitional G Teaching Certificate:

A transitional G teaching certificate is a certificate issued to career changers and others holding a graduate degree or higher in STEM who have had at least two years of acceptable postsecondary teaching experience and who possess an employment and support commitment from a school district. Currently, this certificate is only applicable in the STEM fields.

### Pre-Professional Teaching Assistant Certificate:

A pre-professional teaching assistant certificate is issued to an individual enrolled in a New York State teacher education program, authorizing the certificate holder to provide direct instructional services to students under the general supervision of a New York State certified teacher. This certificate is valid for five years and may lead to an initial teaching certificate or a renewal of the pre-professional teaching certificate. Currently, if a pre-professional teaching assistant certificate holder completes the requirements for the initial certificate, he/she must complete a student teaching or practica experience as a part of a registered teacher preparation program, as required by Section 52.21 of the Regulations.

### Proposed Amendment

### Transitional G Teaching Certificate:

The proposed amendment to Section 80-5.22 eliminates the requirement that a candidate pursuing a Transitional G certificate have a degree and acceptable postsecondary teaching experience only in a STEM field and expands the option to postsecondary faculty with degrees and acceptable postsecondary teaching experience in all certificate areas for which there is a need for a temporary certificate while they complete the requirements for an initial certificate. The proposed amendment also clarifies that the two years of acceptable postsecondary teaching experience required to obtain a Transitional G certificate must have been completed within 10 years immediately preceding the application for the certificate.

### Pre-Professional Teaching Assistant Certificate:

The proposed amendment to Section 52.21 enables those who hold a pre-professional teaching assistant certificate to complete the student teaching or practica experience required in Section 52.21 of the Regulations while employed under the pre-professional certificate, provided that the institution ensures that the candidate receives the same and/or similar student teaching experience as prescribed in Section 52.21 of the Regulations at the location of the candidate's employment. This change is to accommodate candidates who are employed under a pre-professional teaching assistant certificate in a school district or BOCES while completing the student teaching component of their educator preparation program.

## 4. COSTS:

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

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

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

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

## 5. LOCAL GOVERNMENT MANDATES:

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

## 6. PAPERWORK:

The proposed amendments do not impose any additional paperwork requirements.

## 7. DUPLICATION:

The proposed amendments do not duplicate existing State or Federal requirements.

## 8. ALTERNATIVES:

No alternatives were considered.

## 9. FEDERAL STANDARDS:

There are no applicable Federal standards.

## 10. COMPLIANCE SCHEDULE:

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

## Regulatory Flexibility Analysis

The purpose of the proposed amendment to Section 52.21 of the Regulations of the Commissioner of Education is to eliminate the requirement that a candidate pursuing a Transitional G certificate have a degree and postsecondary teaching experience only in a science, technology, engineering, or mathematics (STEM) field. The amendment allows those with degrees and postsecondary experience in any area for which there is a certificate title to obtain a Transitional G certificate.

The purpose of the proposed amendment to 80-5.22 of the Regulations of the Commissioner of Education is to allow a pre-professional teaching assistant who is employed in a school district or BOCES to complete their student teaching experience or practica required under Section 52.21 while employed under the certificate, provided that the institution ensures that the candidate receives the same and/or similar student teaching experience as prescribed in Section 52.21 of the Regulations.

The amendments do not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required and one has not been prepared.

## Rural Area Flexibility Analysis

### 1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

This proposed amendment applies to all individuals in New York State pursuing a Transitional G certificate and those employed under a pre-professional teaching assistant certificate, including those located in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

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

#### Transitional G Teaching Certificate:

A transitional G teaching certificate is a certificate issued to career changers and others holding a graduate degree or higher in science, technology, engineering, or math (STEM) who have had at least two years of acceptable postsecondary teaching experience and who possess an employment and support commitment from a school district. Currently, this certificate is only applicable in the STEM fields.

#### Pre-Professional Teaching Assistant Certificate:

A pre-professional teaching assistant certificate is issued to an individual enrolled in a New York State teacher education program, authorizing the certificate holder to provide direct instructional services to students under the general supervision of a New York State certified teacher. This certificate is valid for five years and may lead to an initial teaching certificate or a renewal of the pre-professional teaching certificate. Currently, if a pre-professional teaching assistant certificate holder completes the requirements for the initial certificate, he/she must complete a student teaching or practica experience as a part of a registered teacher preparation program, as required by Section 52.21 of the Regulations.

#### Proposed Amendment

#### Transitional G Teaching Certificate:

The proposed amendment to Section 80-5.22 eliminates the requirement that a candidate pursuing a Transitional G certificate have a degree and acceptable postsecondary teaching experience only in a STEM field and expands the option to postsecondary faculty with degrees and acceptable postsecondary teaching experience in all certificate areas for which there is a need for a temporary certificate while they complete the requirements for an initial certificate. The proposed amendment also clarifies that the two years of acceptable postsecondary teaching experience required to obtain a Transitional G certificate must have been completed within 10 years immediately preceding the application for the certificate.

**Pre-Professional Teaching Assistant Certificate:**

The proposed amendment to Section 52.21 enables those who hold a pre-professional teaching assistant certificate to complete the student teaching or practica experience required in Section 52.21 of the Regulations while employed under the pre-professional certificate, provided that the institution ensures that the candidate receives the same and/or similar student teaching experience as prescribed in Section 52.21 of the Regulations at the location of the candidate's employment. This change is to accommodate candidates who are employed under a pre-professional teaching assistant certificate in a school district or BOCES while completing the student teaching component of their educator preparation program.

**3. COSTS:**

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

**4. MINIMIZING ADVERSE IMPACT:**

The proposed amendments create no adverse impact and in fact, will increase the supply of teachers in the field.

**5. RURAL AREA PARTICIPATION:**

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

**Job Impact Statement**

The purpose of the proposed amendment to Section 52.21 of the Regulations of the Commissioner of Education is to eliminate the requirement that a candidate pursuing a Transitional G certificate have a degree and postsecondary teaching experience only in a science, technology, engineering, or mathematics (STEM) field. The amendment allows those with degrees and postsecondary experience in any area for which there is a certificate title to obtain a Transitional G certificate.

The purpose of the proposed amendment to 80-5.22 of the Regulations of the Commissioner of Education is to allow a pre-professional teaching assistant who is employed in a school district or BOCES to complete their student teaching experience or practica required under Section 52.21 while employed under the certificate, provided that the institution ensures that the candidate receives the same and/or similar student teaching experience as prescribed in Section 52.21 of the Regulations.

Because it is evident from the nature of the proposed amendments that they will have no impact on the number of jobs or employment opportunities in New York State, no further steps were needed to ascertain that fact and none were taken. In fact, the amendment related to the Transitional G certificate may help districts attract qualified candidates into positions that need to be filled.

## Higher Education Services Corporation

### EMERGENCY RULE MAKING

**Enhanced Tuition Awards Program**

**I.D. No.** ESC-48-17-00001-E

**Filing No.** 983

**Filing Date:** 2017-11-13

**Effective Date:** 2017-11-13

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

**Action taken:** Addition of section 2201.19 to Title 8 NYCRR.

**Statutory authority:** Education Law, sections 653, 655 and 667-d

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

**Specific reasons underlying the finding of necessity:** This statement is being submitted pursuant to subdivision (6) of section 202 of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Emergency Rule Making seeking to add a new section 2201.19 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This regulation implements a statutory student financial aid program providing for awards to be made to students beginning with the fall 2017 term, which generally starts in August. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible scholarship applicants. The statute provides for tuition benefits to college-going students pursuing their undergraduate studies at a New York State private

institution of higher education. Decisions on applications for this Program are made prior to the beginning of the term. Therefore, it is critical that the terms of the Program as provided in the regulation be effective immediately in order for HESC to process scholarship applications in a timely manner. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the Program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

**Subject:** Enhanced Tuition Awards program.

**Purpose:** To implement the Enhanced Tuition Awards program.

**Text of emergency rule:** New section 2201.19 is added to Title 8 of the New York Code, Rules and Regulations to read as follows:

*Section 2201.19 Enhanced Tuition Awards.*

(a) *Definitions. For purposes of this section and Education Law, section 667-d, the following definitions shall apply:*

(1) *Award shall mean an Enhanced Tuition Award pursuant to Education Law, section 667-d.*

(2) *Full-time attendance or full-time study, for purposes of Education Law, section 667-d(1)(d)(ii), shall mean enrollment in at least 12 credits per semester and completion of at least 30 combined credits per year following the student's start date, or its equivalent, applicable to his or her program of study, excluding any permissible interruption of study as determined by the corporation, and except as provided in subdivision (b) of this section and Education Law, section 667-d(1)(d)(ii). Noncredit courses shall not be considered as contributing toward full-time attendance.*

(3) *Half-time shall mean enrollment in at least six but less than 12 credits, or the equivalent, per semester.*

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

(5) *Program shall mean the Enhanced Tuition Awards codified in Education Law, section 667-d.*

(6) *Satisfactory progress shall have the same meaning as successful completion.*

(7) *Student's start date (i) for purposes of Education Law, section 667-d(1)(d)(i), shall mean the date the student began attendance as a first time college student; and (ii) for purposes of Education Law, section 667-d(1)(d)(ii), shall mean the date the college determines such recipient was first in attendance at that institution.*

(8) *Successful completion shall mean a student has earned at least 30 combined credits in each consecutive year following the student's start date, or its equivalent, applicable to his or her program or programs of study except as provided in subdivision (b) of this section and Education Law, section 667-d(1)(d)(ii).*

(b) *Eligibility. In addition to the requirements of Education Law, section 667-d, an applicant must also satisfy the general eligibility requirements provided in Education Law, section 661. As authorized by Education Law, section 667-d, the following exceptions and modifications to the eligibility requirements shall apply:*

(1) *College credit earned toward a recipient's program(s) of study while a high school student or other non-matriculated status shall be considered as contributing toward full-time attendance. For a recipient who earned college credit toward his or her program(s) of study prior to enrolling in college as a matriculated student and who is making satisfactory progress toward timely completion of his or her program(s) of study, and is enrolled in coursework not applicable toward his or her program(s) of study, such coursework outside of his or her program(s) of study shall be considered as contributing toward full-time attendance.*

(2) *A recipient must be in full-time attendance as defined in this section.*

(3) *For purposes of Education Law, section 667-d(1)(d)(i), an applicant must have completed at least 30 combined credits in each consecutive year following his or her start date applicable to his or her program(s) of study which were accepted by his or her current institution at the time of application for this award, except for any permissible interruption of study as determined by the corporation. Notwithstanding, an applicant who enrolled in a program(s) of study leading to an undergraduate degree and enrolled as a first-time college student: (i) in the 2015-16 academic year who earned at least 54 combined credits applicable to his or her program(s) of study by the end of the 2016-17 academic year, shall become eligible to receive an award in the 2018-19 academic year and thereafter if such student completes at least 90 combined credits applicable to his or her program(s) of study by the end of the 2017-18 academic year; or (ii) in the 2016-17 academic year who earned at least 24 combined credits applicable to his or her program(s) of study by the end of the 2016-17 academic year, shall become eligible to receive an award in the 2018-19 ac-*



ademic year and thereafter if such student completes at least 60 combined credits applicable to his or her program(s) of study by the end of the 2017-18 academic year.

(4) For students who are disabled as defined by the Americans with Disabilities Act of 1990, 42 USC 12101, the full-time attendance requirement is eliminated, subject to the parameters of paragraph 3 of subdivision e of this section.

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

(1) In the program's first year:

(i) First priority shall be given to eligible applicants who are currently in attendance at an institution of higher education. If there are more applicants than available funds, recipients shall be chosen by lottery.

(ii) Second priority shall be given to eligible applicants who are matriculated in an approved program leading to an undergraduate degree at a private not-for-profit degree granting institution of higher education located in New York State, except those institutions set forth in Education Law, section 661(4)(b), for the first time. If there are more applicants than available funds, recipients shall be chosen by lottery.

(2) After the program's first year:

(i) First priority shall be given to eligible applicants who have received payment of an award pursuant to this section in a prior year and are currently in attendance at a private not-for-profit degree granting institution of higher education located in New York State, except those institutions set forth in Education Law, section 661(4)(b). If there are more applicants than available funds, recipients shall be chosen by lottery.

(ii) Second priority shall be given to eligible applicants who have not received payment of an award in a prior year and are currently in attendance at an institution of higher education. If there are more applicants than available funds, recipients shall be chosen by lottery.

(iii) Third priority shall be given to eligible applicants who are matriculated in an approved program leading to an undergraduate degree at a private not-for-profit degree granting institution of higher education located within New York State, except those institutions set forth in Education Law, section 661(4)(b), for the first time. If there are more applicants than available funds, recipients shall be chosen by lottery.

(d) Administration. In addition to the requirements contained in Education Law, section 667-d, the following requirements shall also apply.

(1) Applicants for an award shall:

(i) apply for program eligibility on forms and in a manner prescribed by the corporation. The corporation may require applicants to provide additional documentation evidencing eligibility; and

(ii) electronically transmit applications for program eligibility to the corporation on or before the date prescribed by the corporation for the applicable academic year.

(2) Recipients of an award shall:

(i) execute a contract with the corporation agreeing to reside in New York State for a continuous number of years equal to the duration of the award received and, if employed during such time, to be employed in New York State;

(ii) apply for payment annually on forms specified by the corporation; and

(iii) receive such awards for not more than two academic years of full-time undergraduate study if enrolled in an eligible two year program of study or four academic years of full-time undergraduate study or five academic years if the program of study normally requires five years, as defined by the commissioner pursuant to article thirteen of the education law, excluding any allowable interruption of study as defined in this section. For purposes of this subparagraph, a recipient's academic year shall begin with the term he or she was first in attendance at the institution in which he or she is currently enrolled.

(3) Institutions.

(i) Certification. For each recipient, institutions shall certify on forms and in the manner prescribed by the corporation the tuition rate charged by the institution, the amount of the institution's matching award, eligibility to receive the award, the number of credits completed each academic term, the cumulative credits at the end of each academic term, and any other information requested by the corporation.

(ii) College Option. (A) An institution may annually choose to participate in the Program or to opt out of the Program in the manner prescribed by the corporation; (B) Institutional participation shall be for an entire academic year; (C) An institution may establish a cap on its participation based on a dollar threshold or a maximum number of students; (D) An institution that opts out of the Program shall continue to provide the institutional matching award and applicable tuition rate to all award recipients until such recipients have exhausted eligibility or are no longer eligible for award payments.

(e) Amounts.

(1) The amount of the award shall be determined in accordance with Education Law, section 667-d.

(2) Disbursements shall be made each term to institutions, on behalf of recipients, within a reasonable time subject to the verification and certification by the institution of the recipient's full-time status and other eligibility and certification requirements.

(3) For students who are disabled as defined by the Americans with Disabilities Act of 1990, 42 USC 12101, upon each certification by the college or university, payment eligibility shall be determined and measured proportionally in equivalence with full-time study.

(f) Contractual obligation.

(1) For the purpose of complying with Education Law, section 667-d(1)(f), military personnel, including those in the Military Reserves and ROTC or CSPI, for whom New York is his or her legal state of residence shall be deemed to reside and be employed in New York State regardless of where the individual is stationed or deployed.

(2) For the purpose of complying with Education Law, section 667-d(1)(f), for a recipient who is no longer eligible to receive award payments, the duration he or she resides in New York State while completing undergraduate or graduate study, including medical residency, shall be credited toward the time necessary to satisfy the recipient's residency and employment requirement.

(3) Where a recipient, within six months of receipt of his or her final award payment, fails to maintain permanent domicile in New York State for a continuous number of years equal to the duration of the award received or, during such time, is employed in any other state, the corporation shall convert all award monies received to a 10-year student loan, without interest. However, the requirement to maintain permanent domicile, and only be employed, in New York State, may be deferred to complete undergraduate study or attend graduate school, including medical residency, on at least a half-time basis.

(4) Where a recipient has demonstrated extreme hardship as a result of a disability, labor market conditions, or other such circumstances, the corporation may, in its discretion, postpone converting the award to a student loan, temporarily suspend repayment of the amount owed, discharge the amount owed, or take such other appropriate action. Notwithstanding, the corporation shall prorate the amount owed commensurate with the length of time the recipient complied with the residency and employment requirements.

**This notice is intended** to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire February 10, 2018.

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

#### **Regulatory Impact Statement**

Statutory authority:

The New York State Higher Education Services Corporation's (HESC) statutory authority to promulgate regulations and administer Enhanced Tuition Awards (Program) is codified within Article 14 of the Education Law. In particular, Part III of Chapter 59 of the Laws of 2017 created the Program by adding a new section 667-d to the Education Law. Subdivision 9 of section 667-d of the Education Law authorizes HESC to promulgate emergency regulations for the purpose of administering this Program.

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

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

HESC's President is authorized, under Education Law § 655(4), to propose rules and regulations, subject to approval by the Board of Trustees, governing, among other things, the application for and the granting and administration of student aid and loan programs, the repayment of loans or the guarantee of loans made by HESC; and administrative functions in support of state student aid programs. Also, consistent with Education Law § 655(9), HESC's President is authorized to receive assistance from any Division, Department or Agency of the State in order to properly carry out his or her powers, duties and functions. Finally, Education Law § 655(12) provides HESC's President with the authority to perform such other acts as may be necessary or appropriate to carry out effectively the general objects and purposes of HESC.

Legislative objectives:

The Education Law was amended to add a new section 667-d to create the Enhanced Tuition Awards program (Program). This Program is aimed



at reducing tuition costs and accelerating completion rates for students who attend a private college in New York State.

#### Needs and benefits:

Many studies have underscored the importance of a college degree in today's global economy. According to a report by the Center on Education and the Workforce (CEW) at Georgetown University, by 2020, 65 percent of all jobs will require some form of postsecondary education or training, compared to 59 percent of jobs in 2010. The CEW report finds that having a skilled workforce is critical if the United States is to "remain competitive, attract the right type of industry, and engage the right type of talent in a knowledge-based and innovative economy." At the current pace, the United States will fall short of its skilled workforce needs by 5 million workers. The disparity in earning potential between high school graduates and college graduates has never been greater, nor has the student loan debt – which stands at \$1.3 trillion – being carried by those who have pursued a postsecondary education.

Recognizing the growing need for workers with postsecondary education and training, the wage earnings benefits for those with training beyond high school, the rapidly rising college costs and mounting student loan debt, this Program awards students up to \$6,000 to offset students' tuition costs through a combination of a New York State Tuition Assistance Program (TAP) award, the Enhanced Tuition Award and a match from those private colleges who elect to participate in the Program. When fully phased in, Program awards will be available to resident, undergraduate students from households with incomes of up to \$125,000. To be eligible for a Program award, students must be on track to complete an associate's degree in two years or a bachelor's degree in four years by taking at least 30 credits each year. Payments will be made directly to colleges and universities on behalf of students upon certification of their successful completion of the academic term.

Students receiving Enhanced Program Awards must sign a contract agreeing to live in New York State for the number of years equal to the duration of the award received and, if employed, work within the State during this time. Recipients who do not satisfy this obligation will have the value of their awards converted to an interest-free student loan.

#### Costs:

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

b. Private colleges that opt to participate in the Program are required to credit each recipient's remaining tuition expenses in an amount equal to the recipient's award ("matching award"). Such credit will be applied after the recipient has received an institutional aid package, if any, to ensure that this program does not reduce institutional aid that would otherwise be granted. The maximum amount of the matching award to a recipient is \$3,000.

c. The maximum cost of the program to the State is \$19 million in the first year based upon budget estimates.

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

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

#### Local government mandates:

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

#### Paperwork:

This proposal will require applicants to file an electronic application for each year they wish to receive an award up to and including five years of eligibility. Recipients are required to sign a contract agreeing to live in New York State, and not be employed outside the State, in exchange for an award. Recipients must submit annual status reports until a final disposition is reached in accordance with the written contract.

#### Duplication:

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

#### Alternatives:

The proposed regulation is the result of HESC's outreach efforts to financial aid professionals with regard to this Program. Several alternatives were considered in the drafting of this regulation, such as the application of the credit requirement. Given the statutory language as set forth in section 667-d of the Education Law, a "no action" alternative was not an option.

#### Federal standards:

This proposal does not exceed any minimum standards of the Federal Government.

#### Compliance schedule:

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

#### Regulatory Flexibility Analysis

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New

York State Higher Education Services Corporation's (HESC) Emergency Rule Making, seeking to add a new section 2201.19 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This rule implements a statutory student financial aid program that provides tuition benefits to college students who pursue their undergraduate studies at a New York State private institution of higher education. Colleges that opt to participate in the Program are required to credit each recipient's remaining tuition expenses in an amount equal to the recipient's award ("matching award"). Such credit will be applied after the recipient has received an institutional aid package, if any, to ensure that this program does not reduce institutional aid that would otherwise be granted. The maximum amount of the matching award to a recipient is \$3,000. Notwithstanding, HESC finds that this rule will not impose any compliance requirement or adverse economic impact on small businesses or local governments. Rather, it has potential positive impacts by offering \$19 million in new financial aid support for students seeking to enroll in a private college in New York State and providing students with additional tuition award benefits. Students will be rewarded for remaining and working in New York, which will provide an economic benefit to the State's small businesses and local governments as well.

#### Rural Area Flexibility Analysis

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making, seeking to add a new section 2201.19 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not impose an adverse impact on rural areas. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to college students who pursue their undergraduate studies at a New York State private institution of higher education. Students will be rewarded for remaining and working in New York, which will benefit rural areas around the State as well.

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

#### Job Impact Statement

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making seeking to add a new section 2201.19 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have any negative impact on jobs or employment opportunities. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to college students who pursue their undergraduate studies at a New York State private institution of higher education. Students will be rewarded for remaining and working in New York, which will benefit the State as well.

## EMERGENCY RULE MAKING

### Excelsior Scholarship

**I.D. No.** ESC-48-17-00002-E

**Filing No.** 984

**Filing Date:** 2017-11-13

**Effective Date:** 2017-11-13

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

**Action taken:** Addition of section 2201.18 to Title 8 NYCRR.

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

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

**Specific reasons underlying the finding of necessity:** This statement is being submitted pursuant to subdivision (6) of section 202 of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Emergency Rule Making seeking to add a new section 2201.18 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This regulation implements a statutory student financial aid program providing for awards to be made to students beginning with the fall 2017 term, which generally starts in August. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible scholarship applicants. The statute provides for full tuition benefits to college-

going students pursuing their undergraduate studies at a New York State public institution of higher education. Decisions on applications for this Program are made prior to the beginning of the term. Therefore, it is critical that the terms of the Program as provided in the regulation be effective immediately in order for HESC to process scholarship applications in a timely manner. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the Program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

**Subject:** Excelsior Scholarship.

**Purpose:** To implement the Excelsior Scholarship.

**Text of emergency rule:** New section 2201.18 is added to Title 8 of the New York Code, Rules and Regulations to read as follows:

Section 2201.18 Excelsior Scholarship.

(a) Definitions. For purposes of this section and Education Law, section 669-h, the following definitions shall apply:

(1) Award shall mean an Excelsior Scholarship award pursuant to Education Law, section 669-h.

(2) Full-time attendance or full-time study, for purposes of Education Law, section 669-h(1)(c), shall mean enrollment in at least 12 credits per semester and completion of at least 30 combined credits per year following the student's start date, or its equivalent, applicable to his or her program of study, excluding any permissible interruption of study as determined by the corporation, and except as provided in subdivision (b) of this section and Education Law, section 669-h(1)(c). Noncredit courses shall not be considered as contributing toward full-time attendance.

(3) Half-time shall mean enrollment in at least six but less than 12 credits, or the equivalent, per semester.

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

(5) Program shall mean the Excelsior Scholarship codified in Education Law, section 669-h.

(6) Public institution of higher education shall mean the State University of New York, as defined in Education Law, section 352(3), a community college as defined in Education Law, section 6301(2), or the City University of New York as defined in Education Law, section 6202(2).

(7) Satisfactory progress shall have the same meaning as successful completion.

(8) Student's start date (i) for purposes of Education Law, section 669-h(1)(b), shall mean the date the student began attendance as a first time college student; and (ii) for purposes of Education Law, section 669-h(1)(c), shall mean the date the college determines such recipient was first in attendance at that institution.

(9) Successful completion shall mean a student has earned at least 30 combined credits in each consecutive year following the student's start date, or its equivalent, applicable to his or her program or programs of study except as provided in subdivision (b) of this section and Education Law, section 669-h(1)(c).

(b) Eligibility. In addition to the requirements of Education Law, section 669-h, an applicant must also satisfy the general eligibility requirements provided in Education Law, section 661. As authorized by Education Law, section 669-h, the following exceptions and modifications to the eligibility requirements shall apply:

(1) College credit earned toward a recipient's program(s) of study while a high school student or other non-matriculated status shall be considered as contributing toward full-time attendance. For a recipient who earned college credit toward his or her program(s) of study prior to enrolling in college as a matriculated student and who is making satisfactory progress toward timely completion of his or her program(s) of study, and is enrolled in coursework not applicable toward his or her program(s) of study, such coursework outside of his or her program(s) of study shall be considered as contributing toward full-time attendance.

(2) A recipient must be in full-time attendance as defined in this section.

(3) For purposes of Education Law, section 669-h(1)(b), an applicant must have completed at least 30 combined credits in each consecutive year following his or her start date applicable to his or her program(s) of study which were accepted by his or her current institution at the time of application for this award, except for any permissible interruption of study as determined by the corporation. Notwithstanding, an applicant who enrolled in a program(s) of study leading to an undergraduate degree and enrolled as a first-time college student: (i) in the 2015-16 academic year who earned at least 54 combined credits applicable to his or her program(s) of study by the end of the 2016-17 academic year, shall become eligible to receive an award in the 2018-19 academic year and thereafter if such student completes at least 90 combined credits applicable to his or

her program(s) of study by the end of the 2017-18 academic year; or (ii) in the 2016-17 academic year who earned at least 24 combined credits applicable to his or her program(s) of study by the end of the 2016-17 academic year, shall become eligible to receive an award in the 2018-19 academic year and thereafter if such student completes at least 60 combined credits applicable to his or her program(s) of study by the end of the 2017-18 academic year.

(4) For students who are disabled as defined by the Americans with Disabilities Act of 1990, 42 USC 12101, the full-time attendance requirement is eliminated, subject to the parameters of paragraph 4 of subdivision (d) of this section.

(c) Administration. In addition to the requirements contained in Education Law, section 669-h, the following requirements shall also apply.

(1) Applicants for an award shall:

(i) apply for program eligibility on forms and in a manner prescribed by the corporation. The corporation may require applicants to provide additional documentation evidencing eligibility; and

(ii) electronically transmit applications for program eligibility to the corporation on or before the date prescribed by the corporation for the applicable academic year.

(2) Recipients of an award shall:

(i) execute a contract with the corporation agreeing to reside in New York State for a continuous number of years equal to the duration of the award received and, if employed during such time, to be employed in New York State;

(ii) apply for payment annually on forms specified by the corporation; and

(iii) receive such awards for not more than two academic years of full-time undergraduate study if enrolled in an eligible two year program of study or four academic years of full-time undergraduate study or five academic years if the program of study normally requires five years, as defined by the commissioner pursuant to article thirteen of the education law, excluding any allowable interruption of study as defined in this section. For purposes of this subparagraph, a recipient's academic year shall begin with the term he or she was first in attendance at the institution in which he or she is currently enrolled.

(3) For each recipient, institutions shall certify on forms and in the manner prescribed by the corporation the tuition rate charged by the institution, eligibility to receive the award, the number of credits completed each academic term, the cumulative credits at the end of each academic term, the type and amount of each student financial aid award received, excluding loans and work study, and any other information requested by the corporation.

(d) Amounts.

(1) The amount of the award shall be determined in accordance with Education Law, section 669-h.

(2) Disbursements shall be made each term to institutions, on behalf of recipients, within a reasonable time subject to the verification and certification by the institution of the recipient's full-time status and other eligibility and certification requirements.

(3) Awards shall be reduced by the value of other educational grants and scholarships that cover the cost of attendance unless the award is exclusively for non-tuition expenses as authorized by Education Law, section 669-h.

(4) For students who are disabled as defined by the Americans with Disabilities Act of 1990, 42 USC 12101, upon each certification by the college or university, payment eligibility shall be determined and measured proportionally in equivalence with full-time study.

(e) Contractual obligation.

(1) For the purpose of complying with Education Law, section 669-h(4)(e), military personnel, including those in the Military Reserves and ROTC or CSPI, for whom New York is his or her legal state of residence shall be deemed to reside and be employed in New York State regardless of where the individual is stationed or deployed.

(2) For the purpose of complying with Education Law, section 669-h(4)(e), for a recipient who is no longer eligible to receive award payments, the duration he or she resides in New York State while completing undergraduate or graduate study, including medical residency, shall be credited toward the time necessary to satisfy the recipient's residency and employment requirement.

(3) Where a recipient, within six months of receipt of his or her final award payment, fails to maintain permanent domicile in New York State for a continuous number of years equal to the duration of the award received or, during such time, is employed in any other state, the corporation shall convert all award monies received to a 10-year student loan, without interest. However, the requirement to maintain permanent domicile, and only be employed, in New York State, may be deferred to complete undergraduate study or attend graduate school, including medical residency, on at least a half-time basis.

(4) Where a recipient has demonstrated extreme hardship as a result



*of a disability, labor market conditions, or other such circumstances, the corporation may, in its discretion, postpone converting the award to a student loan, temporarily suspend repayment of the amount owed, discharge the amount owed, or take such other appropriate action. Notwithstanding, the corporation shall prorate the amount owed commensurate with the length of time the recipient complied with the residency and employment requirements.*

**This notice is intended** to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire February 10, 2018.

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

#### **Regulatory Impact Statement**

##### **Statutory authority:**

The New York State Higher Education Services Corporation's (HESC) statutory authority to promulgate regulations and administer the Excelsior Scholarship (Program) is codified within Article 14 of the Education Law. In particular, Part HHH of Chapter 59 of the Laws of 2017 created the Program by adding a new section 669-h to the Education Law. Subdivision 6 of section 669-h of the Education Law authorizes HESC to promulgate emergency regulations for the purpose of administering this Program.

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

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

HESC's President is authorized, under Education Law § 655(4), to propose rules and regulations, subject to approval by the Board of Trustees, governing, among other things, the application for and the granting and administration of student aid and loan programs, the repayment of loans or the guarantee of loans made by HESC; and administrative functions in support of state student aid programs. Also, consistent with Education Law § 655(9), HESC's President is authorized to receive assistance from any Division, Department or Agency of the State in order to properly carry out his or her powers, duties and functions. Finally, Education Law § 655(12) provides HESC's President with the authority to perform such other acts as may be necessary or appropriate to carry out effectively the general objects and purposes of HESC.

##### **Legislative objectives:**

The Education Law was amended to add a new section 669-h to create the Excelsior Scholarship (Program). This Program makes college tuition-free for New York's middle class families at all State University of New York (SUNY) and City University of New York (CUNY) two-year and four-year colleges.

##### **Needs and benefits:**

Many studies have underscored the importance of a college degree in today's global economy. According to a report by the Center on Education and the Workforce (CEW) at Georgetown University, by 2020, 65 percent of all jobs will require some form of postsecondary education or training, compared to 59 percent of jobs in 2010. The CEW report finds that having a skilled workforce is critical if the United States is to "remain competitive, attract the right type of industry, and engage the right type of talent in a knowledge-based and innovative economy." At the current pace, the United States will fall short of its skilled workforce needs by 5 million workers. The disparity in earning potential between high school graduates and college graduates has never been greater, nor has the student loan debt – which stands at \$1.3 trillion – being carried by those who have pursued a postsecondary education. Recognizing the growing need for workers with postsecondary education and training, the wage earnings benefits for those with training beyond high school, the rapidly rising college costs and mounting student loan debt, this Program makes college tuition-free for New York's students attending a State University of New York (SUNY) or City University of New York (CUNY) two-year or four-year college.

The Program provides for annual tuition awards up to \$5,500 for resident, undergraduate students from households with incomes of up to \$125,000, when fully phased in. Students must be on track to complete an associate's degree in two years or a bachelor's degree in four years by taking at least 30 credits each year. Awards are reduced by other financial aid received by the student, such as a Tuition Assistance Program (TAP) award. Any remaining tuition expense will be covered through a college credit. Payments will be made directly to the public college or university

on behalf of the student upon certification of his or her successful completion of the academic term.

Students receiving an Excelsior Scholarship award must sign a contract agreeing to live in New York State for a number of years equal to the duration of the award received and, if employed, work within the State during this time. Recipients who do not satisfy this obligation will have the value of their awards converted to an interest-free student loan.

##### **Costs:**

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

b. The maximum cost of the program to the State is \$87 million in the first year based upon budget estimates.

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

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

##### **Local government mandates:**

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

##### **Paperwork:**

This proposal will require applicants to file an electronic application for each year they wish to receive an award up to and including five years of eligibility. Recipients are required to sign a contract agreeing to live in New York State, and not be employed outside the State, in exchange for an award. Recipients must submit annual status reports until a final disposition is reached in accordance with the written contract.

##### **Duplication:**

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

##### **Alternatives:**

The proposed regulation is the result of HESC's outreach efforts to financial aid professionals with regard to this Program. Several alternatives were considered in the drafting of this regulation, such as the application of the credit requirement. Given the statutory language as set forth in section 669-h of the Education Law, a "no action" alternative was not an option.

##### **Federal standards:**

This proposal does not exceed any minimum standards of the Federal Government.

##### **Compliance schedule:**

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

#### **Regulatory Flexibility Analysis**

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Emergency Rule Making, seeking to add a new section 2201.18 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

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

#### **Rural Area Flexibility Analysis**

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making, seeking to add a new section 2201.18 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not impose an adverse impact on rural areas. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides full tuition benefits to college students who pursue their undergraduate studies at a New York State public institution of higher education. Students will be rewarded for remaining and working in New York, which will benefit rural areas around the State as well.

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

#### **Job Impact Statement**

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New

York State Higher Education Services Corporation's Emergency Rule Making seeking to add a new section 2201.18 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have any negative impact on jobs or employment opportunities. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides full tuition benefits to college students who pursue their undergraduate studies at a New York State public institution of higher education. Students will be rewarded for remaining and working in New York, which will benefit the State as well.

## EMERGENCY RULE MAKING

### New York State Science, Technology, Engineering and Mathematics Incentive Program

**I.D. No.** ESC-48-17-00003-E

**Filing No.** 985

**Filing Date:** 2017-11-17

**Effective Date:** 2017-11-17

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

**Action taken:** Addition of section 2201.13 to Title 8 NYCRR.

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

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

**Specific reasons underlying the finding of necessity:** This statement is being submitted pursuant to subdivision (6) of section 202 of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's ("HESC") Emergency Rule Making seeking to add a new section 2201.13 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This regulation implements a statutory student financial aid program providing for awards to be made to students beginning with the fall 2014 term. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible scholarship applicants. The statute provides for tuition benefits to college-going students who, beginning August 2014, pursue an undergraduate program of study in science, technology, engineering, or mathematics at a New York State public institution of higher education. High school students entering college in August must inform the institution of their intent to enroll no later than May 1. Therefore, it is critical that the terms of the program as provided in the regulation be available immediately in order for HESC to process scholarship applications so that students can make informed choices. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

**Subject:** New York State Science, Technology, Engineering and Mathematics Incentive Program.

**Purpose:** To implement the New York State Science, Technology, Engineering and Mathematics Incentive Program.

**Text of emergency rule:** New section 2201.13 is added to Title 8 of the New York Code, Rules and Regulations to read as follows:

**Section 2201.13 New York State Science, Technology, Engineering and Mathematics Incentive Program.**

(a) Definitions. The following definitions apply to this section:

(1) "Award" shall mean a New York State Science, Technology, Engineering and Mathematics Incentive Program award pursuant to section 669-e of the New York State education law.

(2) "Employment" shall mean continuous employment for at least thirty-five hours per week in the science, technology, engineering or mathematics field, as published on the corporation's web site, for a public or private entity located in New York State for five years after the completion of the undergraduate degree program and, if applicable, a higher degree program or professional licensure degree program and a grace period as authorized by section 669-e(4) of the education law.

(3) "Grace period" shall mean a six month period following a recipient's date of graduation from a public institution of higher education and, if applicable, a higher degree program or professional licensure degree program as authorized by section 669-e(4) of the education law.

(4) "High school class" shall mean the total number of students eligible to graduate from a high school in the applicable school year.

(5) "Interruption in undergraduate study or employment" shall mean a temporary period of leave for a definitive length of time due to circumstances as determined by the corporation, including, but not limited to, maternity/paternity leave, death of a family member, or military duty.

(6) "Program" shall mean the New York State Science, Technology, Engineering and Mathematics Incentive Program codified in section 669-e of the education law.

(7) "Public institution of higher education" shall mean the state university of New York, as defined in subdivision (3) of section 352 of the education law, a community college as defined in subdivision (2) of section 6301 of the education law, or the city university of New York as defined in subdivision (2) of section 6202 of the education law.

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

(9) "Science, technology, engineering and mathematics" programs shall mean those undergraduate degree programs designated by the corporation on an annual basis and published on the corporation's web site.

(10) "Successful completion of a term" shall mean that at the end of any academic term, the recipient: (i) met the eligibility requirements for the award pursuant to sections 661 and 669-e of the education law; (ii) completed at least 12 credit hours or its equivalent in a course of study leading to an approved undergraduate degree in the field of science, technology, engineering, or mathematics; and (iii) possessed a cumulative grade point average (GPA) of 2.5 as of the date of the certification by the institution. Notwithstanding, the GPA requirement is preliminarily waived for the first academic term for programs whose terms are organized in semesters, and for the first two academic terms for programs whose terms are organized on a trimester basis. In the event the recipient's cumulative GPA is less than a 2.5 at the end of his or her first academic year, the recipient will not be eligible for an award for the second academic term for programs whose terms are organized in semesters or for the third academic term for programs whose terms are organized on a trimester basis. In such case, the award received for the first academic term for programs whose terms are organized in semesters and for the first two academic terms for programs whose terms are organized on a trimester basis must be returned to the corporation and the institution may reconcile the student's account, making allowances for any other federal, state, or institutional aid the student is eligible to receive for such terms unless: (A) the recipient's GPA in his or her first academic term for programs whose terms are organized in semesters was a 2.5 or above, or (B) the recipient's GPA in his or her first two academic terms for programs whose terms are organized on a trimester basis was a 2.5 or above, in which case the institution may retain the award received and only reconcile the student's account for the second academic term for programs whose terms are organized in semesters or for the third academic term for programs whose terms are organized on a trimester basis. The corporation shall issue a guidance document, which will be published on its web site.

(b) Eligibility. An applicant for an award under this program pursuant to section 669-e of the education law must also satisfy the general eligibility requirements provided in section 661 of the education law.

(c) Class rank or placement. As a condition of an applicant's eligibility, the applicant's high school shall provide the corporation:

(1) official documentation from the high school either (i) showing the applicant's class rank together with the total number of students in such applicant's high school class or (ii) certifying that the applicant is in the top 10 percent of such applicant's high school class; and

(2) the applicant's most current high school transcript; and

(3) an explanation of how the size of the high school class, as defined in subdivision (a), was determined and the total number of students in such class using such methodology. If the high school does not rank the students in such high school class, the high school shall also provide the corporation with an explanation of the method used to calculate the top 10 percent of students in the high school class, and the number of students in the top 10 percent, as calculated. Each methodology must comply with the terms of this program as well as be rational and reasonable. In the event the corporation determines that the methodology used by the high school fails to comply with the term of the program, or is irrational or unreasonable, the applicant will be denied the award for failure to satisfy the eligibility requirements; and

(4) any additional information the corporation deems necessary to determine that the applicant has graduated within the top 10 percent of his or her high school class.

(d) Administration.

(1) Applicants for an award shall:

(i) apply for program eligibility on forms and in a manner prescribed by the corporation. The corporation may require applicants to provide additional documentation evidencing eligibility; and

(ii) postmark or electronically transmit applications for program eligibility to the corporation on or before the date prescribed by the corporation for the applicable academic year. Notwithstanding any other rule or regulation to the contrary, such applications shall be received by the corporation no later than August 15th of the applicant's year of graduation from high school.



(2) *Recipients of an award shall:*

(i) *execute a service contract prescribed by the corporation;*  
 (ii) *apply for payment annually on forms specified by the corporation;*

(iii) *confirm annually their enrollment in an approved undergraduate program in science, technology, engineering, or mathematics;*

(iv) *receive such awards for not more than four academic years of full-time undergraduate study or five academic years if the program of study normally requires five years, as defined by the commissioner pursuant to article thirteen of the education law, excluding any allowable interruption of study; and*

(v) *respond to the corporation's requests for a letter from their employer attesting to the employee's job title, the employee's number of hours per work week, and any other information necessary for the corporation to determine compliance with the program's employment requirements.*

(e) *Amounts.*

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

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

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

(f) *Failure to comply.*

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

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

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

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

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

**This notice is intended** to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire February 10, 2018.

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

**Regulatory Impact Statement****Statutory authority:**

The New York State Higher Education Services Corporation's ("HESC") statutory authority to promulgate regulations and administer the New York State Science, Technology, Engineering and Mathematics Incentive Program ("Program") is codified within Article 14 of the Education Law. In particular, Part G of Chapter 56 of the Laws of 2014 created the Program by adding a new section 669-e to the Education Law. Subdivision 5 of section 669-e of the Education Law authorizes HESC to promulgate emergency regulations for the purpose of administering this Program.

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

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

HESC's President is authorized, under Education Law § 655(4), to propose rules and regulations, subject to approval by the Board of Trust-

ees, governing, among other things, the application for and the granting and administration of student aid and loan programs, the repayment of loans or the guarantee of loans made by HESC; and administrative functions in support of state student aid programs. Also, consistent with Education Law § 655(9), HESC's President is authorized to receive assistance from any Division, Department or Agency of the State in order to properly carry out his or her powers, duties and functions. Finally, Education Law § 655(12) provides HESC's President with the authority to perform such other acts as may be necessary or appropriate to carry out effectively the general objects and purposes of HESC.

**Legislative objectives:**

The Education Law was amended to add a new section 669-e to create the "New York State Science, Technology, Engineering and Mathematics Incentive Program" (Program). This Program is aimed at increasing the number of individuals working in the fields of science, technology, engineering and mathematics (STEM) in New York State to meet the increasingly critical need for those skills in the State's economy.

**Needs and benefits:**

According to a February 2012 report by President Obama's Council of Advisors on Science and Technology, there is a need to add to the American workforce over the next decade approximately one million more science, technology, engineering and mathematics (STEM) professionals than the United States will produce at current rates in order for the country to stay competitive. To meet this goal, the United States will need to increase the number of students who receive undergraduate STEM degrees by about 34% annually over current rates. The report also stated that fewer than 40% of students who enter college intending to major in a STEM field complete a STEM degree. Further, a recent Wall Street Journal article reported that New York state suffers from a shortage of graduates in STEM fields to fill the influx of high-tech jobs that occurred five years ago. At a plant in Malta, about half the jobs were filled by people brought in from outside New York and 11 percent were foreigners. According to the article, Bayer Corp. is due to release a report showing that half of the recruiters from large U.S. companies surveyed couldn't find enough job candidates with four-year STEM degrees in a timely manner; some said that had led to more recruitment of foreigners. About two-thirds of the recruiters surveyed said that their companies were creating more STEM positions than other types of jobs. There are also many jobs requiring a two-year degree. In an effort to deal with this shortage, companies are using more internships, grants and scholarships.

The Program is aimed at increasing the number New York graduates with two and four year degrees in STEM who will be working in STEM fields across New York State. Eligible recipients may receive annual awards for not more than four academic years of undergraduate full-time study (or five years if enrolled in a five-year program) while matriculated in an approved program leading to a career in STEM.

The maximum amount of the award is equal to the annual tuition charged to New York State resident students attending an undergraduate program at the State University of New York (SUNY), including state operated institutions, or City University of New York (CUNY). The current maximum annual award for the 2014-15 academic year is \$6,170. Payments will be made directly to schools on behalf of students upon certification of their successful completion of the academic term.

Students receiving a New York State Science, Technology, Engineering and Mathematics Incentive Program award must sign a service agreement and agree to work in New York state for five years in a STEM field and reside in the State during those five years. Recipients who do not fulfill their service obligation will have the value of their awards converted to a student loan and be responsible for interest.

**Costs:**

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

b. The maximum cost of the program to the State is \$8 million in the first year based upon budget estimates.

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

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

**Local government mandates:**

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

**Paperwork:**

This proposal will require applicants to file an electronic application for each year they wish to receive an award up to and including five years of eligibility. Recipients are required to sign a contract for services in exchange for an award. Recipients must submit annual status reports until a final disposition is reached in accordance with the written contract.

**Duplication:**

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

## Alternatives:

The proposed regulation is the result of HESC's outreach efforts to financial aid professionals with regard to this Program. Several alternatives were considered in the drafting of this regulation. For example, several alternatives were considered in defining terms/phrases used in the regulation as well as the academic progress requirement. Given the statutory language as set forth in section 669-e of the Education Law, a "no action" alternative was not an option.

## Federal standards:

This proposal does not exceed any minimum standards of the Federal Government, and efforts were made to align it with similar federal subject areas as evidenced by the adoption of the federal unsubsidized Stafford loan rate in the event that the award is converted into a student loan.

## Compliance schedule:

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

**Regulatory Flexibility Analysis**

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's ("HESC") Emergency Rule Making, seeking to add a new section 2201.13 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

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

**Rural Area Flexibility Analysis**

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making, seeking to add a new section 2201.13 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not impose an adverse impact on rural areas. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to college students who pursue their undergraduate studies in the fields of science, technology, engineering, or mathematics at a New York State public institution of higher education. Students will be rewarded for remaining and working in New York, which will benefit rural areas around the State as well.

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

**Job Impact Statement**

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making seeking to add a new section 2201.13 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have any negative impact on jobs or employment opportunities. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to college students who pursue their undergraduate studies in the fields of science, technology, engineering, or mathematics at New York State public institution of higher education. Students will be rewarded for remaining and working in New York, which will benefit the State as well.

## Office for People with Developmental Disabilities

### PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

#### Clarification of Assessment of Functional and Health-Related Needs

I.D. No. PDD-48-17-00010-P

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

**Proposed Action:** Amendment of Subpart 636-1 of Title 14 NYCRR.

**Statutory authority:** Mental Hygiene Law, sections 13.07, 13.09(b), 16.00; Social Services Law, section 366(7)(a) and (b)

**Subject:** Clarification of Assessment of Functional and Health-Related Needs.

**Purpose:** To clarify requirements for an Assessment of Functional and Health-Related Needs in Person Centered Planning regulations.

**Text of proposed rule:** Subpart 636-1 is amended as follows:

Subpart 636-1 Person-Centered Planning

Section 636-1.1 Applicability.

(a) This subpart applies to:

(1) OPWDD funded Home and Community Based Services (HCBS) Medicaid services; and

(2) OPWDD funded service coordination services, by whatever name known (e.g., Medicaid Service Coordination), provided to individuals who receive OPWDD funded HCBS Medicaid services.

(b) This subpart applies to the assessment of functional and health-related needs process and the service planning process for all [HCBS Medicaid Waiver] services approved, authorized, certified and/or funded by OPWDD.

A new section 636-1.6 is added as follows:

Section 636-1.6 Assessment of Functional and Health-Related Needs.

(a) OPWDD or its designee will use an OPWDD approved assessment to conduct an initial assessment and/or re-assessment of functional and health-related needs for each individual applying for or receiving services approved, authorized, funded or certified by OPWDD.

(b) OPWDD will use the results of the assessments described in subdivision (a) of this section, in conjunction with additional information supporting an individual's medical, behavioral, habitative and/or functional needs, to inform service authorization decisions.

**Text of proposed rule and any required statements and analyses may be obtained from:** Office of Counsel, Bureau of Policy and Regulatory Affairs, Office for People With Developmental Disabilities (OPWDD), 44 Holland Avenue, 3rd Floor, Albany, NY 12229, (518) 474-7700, email: rau.unit@opwdd.ny.gov

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

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

**Additional matter required by statute:** Pursuant to the requirements of the State Environmental Quality Review Act, OPWDD, as lead agency, has determined that the action described herein will have no effect on the environment and an E.I.S. is not needed.

**Regulatory Impact Statement**

1. Statutory Authority:

a. OPWDD has the statutory responsibility to provide and encourage the provision of appropriate programs, supports, and services in the areas of care, treatment, habilitation, rehabilitation, and other education and training of persons with developmental disabilities, as stated in the New York State (NYS) Mental Hygiene Law Section 13.07.

b. OPWDD has the authority to adopt rules and regulations necessary and proper to implement any matter under its jurisdiction as stated in the NYS Mental Hygiene Law Section 13.09(b).

c. OPWDD has the statutory authority to adopt regulations concerning the operation of programs and the provision of services, as stated in the NYS Mental Hygiene Law Section 16.00.

d. OPWDD has the statutory authority to adopt rules and regulations for conducting an assessment of the health, psycho-social development, habilitation, environmental, and other needs of an individual as the basis for the development and provision of an appropriate person-centered plan of care



for that individual, as stated in the NYS Social Services Law Subdivisions 366(7a) and (b).

2. **Legislative Objectives:** The proposed regulations further the legislative objectives embodied in sections 13.07, 13.09(b) and 16.00 of the Mental Hygiene Law, and subdivisions 366(7a) and (b) of the Social Services Law. The regulations provide explicit authorization for use of an OPWDD approved assessment instrument to conduct assessments of functional and health-related needs and to base service authorization decisions on the results of such assessments and other relevant information.

3. **Needs and Benefits:** OPWDD recently promulgated regulations on person-centered planning in 14 NYCRR Subpart 636-1 that outline requirements identifying the elements to be included in a person-centered planning process and plan for individuals applying for or receiving services in its system. The requirements specify that the person-centered plan must include the individual's clinical and support needs as identified by an "assessment of functional and health-related needs" and that the plan must be revised upon reassessment of the individual's functional need. The proposed regulations provide explicit authorization for use of an OPWDD approved assessment instrument to conduct such assessments and to base service authorization decisions on the results of the assessments and other relevant information.

OPWDD approved assessment instruments include the Developmental Disabilities Profile-2 (DDP2) and the Coordinated Assessment System (CAS). Specifically, the regulations authorize OPWDD and its designee to use these instruments to conduct initial and subsequent assessments of individuals' needs, and to use the results of such assessments, in conjunction with additional information supporting an individual's medical, behavioral, habilitative and/or functional needs, to inform decisions about service authorization. OPWDD considers that the proposed regulations are necessary so that individuals and providers understand the basis for determinations related to the amount and types of services that are appropriate for each individual applying for or receiving services.

4. **Costs:**

a. **Costs to the Agency and to the State and its local governments:** There is no anticipated impact on Medicaid expenditures as a result of the proposed regulations as the regulations merely clarify existing OPWDD requirements for an assessment of functional and health-related needs. Consequently, there are no anticipated costs for the State in its role of paying for Medicaid costs.

These regulations will not have any fiscal impact on local governments, as the contribution of local governments to Medicaid has been capped. Chapter 58 of the Laws of 2005 places a cap on the local share of Medicaid costs and local governments are already paying for Medicaid at the capped level.

For the same reasons stated above in this section, there are no anticipated costs to OPWDD in its role as a provider of services to comply with the new requirements.

b. **Costs to private regulated parties:** There are no anticipated costs to regulated providers to comply with the proposed regulations. As described in the section above for OPWDD in its role paying for Medicaid and as a provider of services, the amendments merely clarify existing requirements in OPWDD's person-centered planning regulations and put existing practices used to assess an individual's needs and authorize services into regulation.

5. **Local Government Mandates:** There are no new requirements imposed by the rule on any county, city, town, village; or school, fire, or other special district.

6. **Paperwork:** Providers will not experience an increase in paperwork as a result of the proposed regulations because the regulations merely provide explicit authorization for existing practices used to assess an individual's needs and authorize services.

7. **Duplication:** The proposed regulations do not duplicate any existing State or Federal requirements on this topic.

8. **Alternatives:** OPWDD did not consider any other alternatives to the proposed regulations as such changes were necessary to provide explicit authorization for conducting initial and subsequent assessments of functional and health-related needs of individuals. Such clarification will prevent any confusion among individuals and providers over the basis for determining the amount and types of services that are appropriate for each individual applying for or receiving services.

9. **Federal Standards:** The proposed amendments do not exceed any minimum standards of the federal government for the same or similar subject areas.

10. **Compliance Schedule:** OPWDD is planning to adopt the proposed amendments as soon as possible within the timeframes mandated by the State Administrative Procedure Act. The proposed regulations were discussed with and reviewed by representatives of providers in advance of this proposal. Additionally, OPWDD will be mailing a notice of the proposed amendments to providers approximately three months in advance of the effective date. OPWDD expects that providers are already in compli-

ance with the proposed regulations as the regulations merely provide explicit authorization for existing practices used to assess an individual's needs and authorize services.

### **Regulatory Flexibility Analysis**

A regulatory flexibility analysis for small businesses and local governments is not being submitted because these amendments will not impose any adverse economic impact or reporting, record keeping or other compliance requirements on small businesses. There are no professional services, capital, or other compliance costs imposed on small businesses as a result of these amendments.

The proposed amendments provide explicit authorization for use of an OPWDD approved assessment instrument to conduct assessments of functional and health-related needs and to base service authorization decisions on the results of such assessments and other relevant information. OPWDD approved assessment instruments include the Developmental Disabilities Profile-2 (DDP2) and the Coordinated Assessment System (CAS). Providers are currently conducting initial and subsequent assessments using the DDP-2 and OPWDD is simultaneously conducting initial assessments using the CAS for person-centered planning purposes only. In the future, subsequent re-assessments using the CAS will be conducted by care coordination entities after care coordination is implemented in OPWDD's system. Consequently, the amendments will not result in additional compliance activities or costs for regulated parties, and will not have any adverse effects on providers of small business and local governments.

### **Rural Area Flexibility Analysis**

A Rural Area Flexibility Analysis for these amendments is not being submitted because the amendments will not impose any adverse impact or significant reporting, record keeping or other compliance requirements on public or private entities in rural areas. There are no professional services, capital, or other compliance costs imposed on public or private entities in rural areas as a result of the amendments.

The proposed amendments provide explicit authorization for use of an OPWDD approved assessment instrument to conduct assessments of functional and health-related needs and to base service authorization decisions on the results of such assessments and other relevant information. OPWDD approved assessment instruments include the Developmental Disabilities Profile-2 (DDP2) and the Coordinated Assessment System (CAS). Providers are currently conducting initial and subsequent assessments using the DDP-2 and OPWDD is simultaneously conducting initial assessments using the CAS for person-centered planning purposes only. In the future, subsequent re-assessments using the CAS will be conducted by care coordination entities after care coordination is implemented in OPWDD's system. Consequently, the amendments will not result in additional compliance activities or costs for regulated parties, and will not have any adverse effects on providers in rural areas and local governments.

### **Job Impact Statement**

A Job Impact Statement for the proposed amendments is not being submitted because it is apparent from the nature and purposes of the amendments that they will not have a substantial adverse impact on jobs and/or employment opportunities.

The proposed amendments provide explicit authorization for use of an OPWDD approved assessment instrument to conduct assessments of functional and health-related needs and to base service authorization decisions on the results of such assessments and other relevant information. OPWDD approved assessment instruments include the Developmental Disabilities Profile-2 (DDP2) and the Coordinated Assessment System (CAS). Providers are currently conducting initial and subsequent assessments using the DDP-2 and OPWDD is simultaneously conducting initial assessments using the CAS for person-centered planning purposes only. In the future, subsequent re-assessments using the CAS will be conducted by care coordination entities after care coordination is implemented in OPWDD's system. The amendments will not result in costs, including staffing costs, or new compliance requirements for providers and, consequently, the amendments will not have a substantial impact on jobs or employment opportunities in New York State.

## Public Service Commission

### NOTICE OF ADOPTION

#### Inspections, Assessments and Repairs to the Subway Power Supply and Signaling Systems

**I.D. No.** PSC-35-17-00007-A

**Filing Date:** 2017-11-10

**Effective Date:** 2017-11-10

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

**Action taken:** On 10/19/17, the PSC adopted an order approving the emergency rule on a permanent basis directing Consolidated Edison Company of New York, Inc. to take certain steps to safeguard and maintain adequate utility service to the MTA Subway System.

**Statutory authority:** Public Service Law, sections 65(1) and 66(1)

**Subject:** Inspections, assessments and repairs to the subway power supply and signaling systems.

**Purpose:** To safeguard and maintain adequate utility service to the MTA Subway System.

**Substance of final rule:** The Commission, on October 19, 2017, adopted an order approving the emergency rule on a permanent basis directing Consolidated Edison Company of New York, Inc. to take certain steps to safeguard and maintain adequate utility service to the Metropolitan Transportation Authority (MTA) Subway System, subject to the terms and conditions set forth in the order. In the order, Con Edison is directed to work with the MTA, the Electric Power Research Institute (EPRI) and Staff of the Department of Public Service to facilitate the timely and effective review and assessment of its electric system and related equipment and the quality of its power supplied to the MTA subway system, and to take other specific actions to designate a team of individuals to assist Department Staff and EPRI in their assessment; conduct and provide results of power quality monitoring data analysis; work to identify locations with frequent power issues; make readily available for review system and equipment design drawings, specifications, and operational procedures; continue the priority work identified by the April 21, 2017 outage incident investigation to improve the reliability of its electric service to the MTA; complete the electric inspections with the MTA and make necessary repairs to its facilities, with signal equipment as a priority, at all remaining MTA sites used to provide low voltage power to the subway system; identify the source of frequent power supply and reliability issues and expeditiously rectify Con Edison conditions causing such issues; replace aluminum and other high failure rate cables serving the MTA subway stations; install redundant power supplies or improve the reliable design of the service to the stations that do not currently have such redundancy; procure and deploy remote monitoring technology on its low voltage services to the MTA; inspect and repair relay rooms, including automatic transfer panels, circuit breakers and fuses, rectifiers and batteries, transformers and equipment racks; inspect and repair trackside equipment, including signals, stop machines, track switch machines, track circuits, junction boxes, wayside cables and air-lines; and implement EPRI recommendations.

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

**Text of rule may be obtained from:** John Pitucci, Public Service Commission, Three Empire State Plaza, Albany, New York, 12223, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

#### Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-E-0428SA1)

### PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

#### Petition to Submeter Electricity and Waiver Request

**I.D. No.** PSC-48-17-00011-P

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

**Proposed Action:** The Commission is considering the petition of Rising Development Yonkers – Mill/Main, LLC to submeter electricity at 2 Mill Street, Yonkers, New York and request for a waiver of 16 NYCRR § 96.5(k)(3).

**Statutory authority:** Public Service Law, sections 2, 4(1), 30, 32-48, 52, 53, 65(1), 66(1), (2), (3), (4), (12) and (14)

**Subject:** Petition to submeter electricity and waiver request.

**Purpose:** To consider the petition to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3).

**Substance of proposed rule:** The Commission is considering the petition of Rising Development Yonkers – Mill/Main, LLC (owner) filed on September 11, 2017, to submeter electricity at 2 Mill Street, Yonkers, New York, located in the service territory of Consolidated Edison Company, Inc. (Con Edison). By stating its intent to submeter electricity, Rising Development Yonkers – Mill/Main, LLC has requested authorization to take electric service from Con Edison and then distribute and meter that electricity to tenants. Submetering of electricity to residential tenants is allowed so long as it complies with the protections and requirements of the Commission's regulations at 16 NYCRR Part 96. The Commission is also considering the Owner's request for a waiver of 16 NYCRR § 96.5(k)(3), which requires proof that an energy audit has been conducted when 20 percent or more of the residents receive income-based housing assistance. The full text of the petition may be reviewed online at the Department of Public Service web page: [www.dps.ny.gov](http://www.dps.ny.gov). The Commission may adopt, reject or modify, in whole or in part, the relief proposed and may resolve related matters.

**Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact:** John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

**Data, views or arguments may be submitted to:** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: [secretary@dps.ny.gov](mailto:secretary@dps.ny.gov)

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

#### Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-E-0548SP1)

### PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

#### Extension of the Compensation Term for Certain Community Distributed Generation Projects

**I.D. No.** PSC-48-17-00012-P

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

**Proposed Action:** The Commission is considering a petition for Extension of Phase One NEM Compensation Term filed by Dynamic Energy Solutions, LLC on October 20, 2017.

**Statutory authority:** Public Service Law, sections 5(1)(b), (2), 65(1), (2), (3), 66(2) and (5)

**Subject:** Extension of the compensation term for certain community distributed generation projects.

**Purpose:** To determine the appropriate compensation term for certain community distributed generation projects.

**Substance of proposed rule:** The Public Service Commission (Commission) is considering the Petition for Extension of Phase One Net Energy Metering Compensation Term (petition), filed by Dynamic Energy Solutions, LLC on October 20, 2017. In the Commission's March 9, 2017 Order on Net Metering Transition, Phase One of Value of Distributed Energy Resources, and Related Matters (VDER Order) in Case 15-E-0751, the Commission provided for fixed compensation terms for the Phase One NEM compensation and Value Stack compensation methodologies, after which a project would receive compensation based on the then-applicable methodology. As permitted in the VDER Order, the petition requests that the Commission extend the term for compensation under the Phase One NEM compensation mechanism to 25 years for two specific solar photovoltaic community distributed generation (CDG) projects. The full text of the petition may be reviewed online at the Department of Public Service web



page: [www.dps.ny.gov](http://www.dps.ny.gov). The Commission may adopt, reject, or modify, in whole or in part, the relief requested in the petition 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](mailto:john.pitucci@dps.ny.gov)

**Data, views or arguments may be submitted to:** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: [secretary@dps.ny.gov](mailto:secretary@dps.ny.gov)

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

**Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement**

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-E-0656SP1)

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### VDER Tranche Allocations and Policies

**I.D. No.** PSC-48-17-00013-P

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

**Proposed Action:** The Commission is considering a petition filed by National Grid on October 18, 2017, requesting that the Commission permit National Grid to modify the Tranche allocations established in the VDER Phase One Order.

**Statutory authority:** Public Service Law, sections 5(1)(b), (2), 65(1), (2), (3), 66(2) and (5)

**Subject:** VDER Tranche allocations and policies.

**Purpose:** To consider modifications to VDER Tranche allocations and policies.

**Substance of proposed rule:** The Public Service Commission (Commission) is considering the Amended Petition for Approval to Allow Minor Tranche Adjustments (petition), filed by Niagara Mohawk Power Corporation d/b/a National Grid (National Grid) on October 18, 2017. The petition relates to the Tranches established in the Commission's March 9, 2017 Order on Net Metering Transition, Phase One of Value of Distributed Energy Resources, and Related Matters (VDER Order) in Case 15-E-0751. National Grid explains that it inadvertently omitted fourteen projects in making initial Tranche assignments, and requests that the Commission permit it to increase the Tranche allocations so that those projects may be added to Tranche 0/1 without reducing the space available in Tranche 0/1 for other projects. NYSEG proposes that Tranche 2 be reduced in size by an equal amount. In evaluating the petition, the Commission may consider the need for any other modifications to Tranche allocations or project assignments. The full text of the petition may be reviewed online at the Department of Public Service web page: [www.dps.ny.gov](http://www.dps.ny.gov). The Commission may adopt, reject, or modify, in whole or in part, the relief requested in the petition 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](mailto:john.pitucci@dps.ny.gov)

**Data, views or arguments may be submitted to:** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: [secretary@dps.ny.gov](mailto:secretary@dps.ny.gov)

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

**Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement**

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(15-E-0751SP11)

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### SATEC Branch Feeder Monitor II Electric Submeter

**I.D. No.** PSC-48-17-00014-P

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

**Proposed Action:** The Public Service Commission is considering a petition filed by SATEC Incorporated to use the SATEC Branch Feeder Monitor II electric submeter.

**Statutory authority:** Public Service Law, section 67(1)

**Subject:** SATEC Branch Feeder Monitor II electric submeter.

**Purpose:** To consider the SATEC Branch Feeder Monitor II electric submeter for use in New York State.

**Substance of proposed rule:** The Public Service Commission is considering a petition filed by SATEC Inc., to use the SATEC Branch Feeder Monitor II (BFM II) electric submeter in residential electric submetering applications. Electric submetering is a system that allows the owner or manager of a premises with multiple dwelling to bill residents for individual measured electric usage when the owner or manager is billed directly by the utility. The SATEC BFM-II is an electric submeter that can measure electric demand (kW) and energy (kWh) usage, and can support time of use rates. Under the Commission's regulations, only meters and ancillary devices approved by the Commission may be used to measure electricity usage for the purposes of customer billing. 16 NYCRR § 93 describes electric meter approval requirements, including that new metering devices must meet American National Standard Institute (ANSI) C12 requirements. The full text of the petition may be reviewed online at the Department of Public Service web page: [www.dps.ny.gov](http://www.dps.ny.gov). The Commission may adopt, reject or modify, in whole or in part, the relief proposed and may resolve related matters.

**Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact:** John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: [john.pitucci@dps.ny.gov](mailto:john.pitucci@dps.ny.gov)

**Data, views or arguments may be submitted to:** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: [secretary@dps.ny.gov](mailto:secretary@dps.ny.gov)

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

**Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement**

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-E-0406SP1)

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### Low Income Customer Options for Affordable Water Bills

**I.D. No.** PSC-48-17-00015-P

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

**Proposed Action:** The Commission is considering the Low Income Programs in the Order Establishing Rate Plan for Suez Water New York Inc. (Rate Plan Order), issued on January 24, 2017.

**Statutory authority:** Public Service Law, sections 89-b and 89-c

**Subject:** Low Income customer options for affordable water bills.

**Purpose:** To consider the Low Income Bill Discount and/or Energy Efficiency Rebate Programs.

**Substance of proposed rule:** The Public Service Commission is considering the Low Income Programs in the Order Establishing Rate Plan for Suez Water New York Inc., issued on January 24, 2017 for Suez to assist qualified low income customers in bill payments. The Low Income Programs would be designed to either lower water bills through direct bill discounts or reduce water consumption through discounted high efficiency appliances. The full text of the filing may be reviewed online at the Department of Public Service web page: [www.dps.ny.gov](http://www.dps.ny.gov). The Commission may

adopt, reject or modify, in whole or in part, the relief proposed and may resolve related matters.

**Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact:** John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: [john.pitucci@dps.ny.gov](mailto:john.pitucci@dps.ny.gov)

**Data, views or arguments may be submitted to:** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: [secretary@dps.ny.gov](mailto:secretary@dps.ny.gov)

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

**Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement**

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(16-W-0130SP5)

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### Petition for Rehearing of the Commission Order

**I.D. No.** PSC-48-17-00016-P

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

**Proposed Action:** The Commission is considering the petition filed by the New Rochelle Home Owners Association for rehearing of the Commission's September 20, 2017 Order regarding the difference between the rates for public and private fire hydrants.

**Statutory authority:** Public Service Law, sections 22, 89-b and 89-c

**Subject:** Petition for rehearing of the Commission order.

**Purpose:** To consider New Rochelle Home Owners Association's petition for rehearing.

**Substance of proposed rule:** The Commission is considering a petition filed by the New Rochelle Home Owners Association (Association), on October 19, 2017, for rehearing of the Commission's September 20, 2017 Order denying the petition of the Association, which sought to have the current private fire hydrant costs, which are higher than the public fire hydrant costs, declared unreasonable and the rates equalized. The Association argues that, contrary to the Commission's order, equalization would result in a 5.8% increase in public hydrant rates, not the 100% stated in the Commission's order, and requests that the rates be equalized. The full text of the petition may be reviewed online at the Department of Public Service web page: [www.dps.ny.gov](http://www.dps.ny.gov). The Commission may adopt, reject or modify, in whole or in part, the relief proposed and may resolve related matters.

**Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact:** John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: [john.pitucci@dps.ny.gov](mailto:john.pitucci@dps.ny.gov)

**Data, views or arguments may be submitted to:** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: [secretary@dps.ny.gov](mailto:secretary@dps.ny.gov)

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

**Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement**

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-W-0288SP2)

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### To Issue Long-Term Indebtedness, Preferred Stock and Hybrid Securities and to Enter into Derivative Instruments

**I.D. No.** PSC-48-17-00017-P

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

**Proposed Action:** The Commission is considering a petition filed by New York State Electric & Gas Corporation on October 24, 2017 seeking authorization of the issuance of approximately \$1.256 billion of long-term securities and to enter into derivative instruments.

**Statutory authority:** Public Service Law, section 69

**Subject:** To issue long-term indebtedness, preferred stock and hybrid securities and to enter into derivative instruments.

**Purpose:** To consider New York State Electric & Gas Corporation's finance transactions.

**Substance of proposed rule:** The Public Service Commission is considering the petition filed by New York State Electric & Gas Corporation (NYSEG) filed on October 24, 2017, for authorization of the issuance of approximately \$1.256 billion of long-term securities and to enter into derivative instruments for the purposes authorized under PSL Section 69. NYSEG plans to use the funds for purposes of: (a) refinancing \$275,000,000 of debt with a maturity date prior to December 31, 2022, (b) financing up to \$525,000,000 of further additions to utility plant and equipment, and (c) refunding up to \$456,000,000 of tax exempt bonds either i) currently held in treasury or ii) with a mandatory redemption date prior to December 21, 2022. The full text of the petition may be viewed online at the Department of Public Service web page: [www.dps.ny.gov](http://www.dps.ny.gov). The Commission may adopt, reject or modify, in whole or in part, the relief proposed and may resolve related matters.

**Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact:** John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: [john.pitucci@dps.ny.gov](mailto:john.pitucci@dps.ny.gov)

**Data, views or arguments may be submitted to:** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: [secretary@dps.ny.gov](mailto:secretary@dps.ny.gov)

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

**Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement**

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-M-0659SP1)

## PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

### Transfer of Certain Street Lighting Facilities

**I.D. No.** PSC-48-17-00018-P

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

**Proposed Action:** The Commission is considering the petition filed by New York State Electric & Gas Corporation (NYSEG) for authority to transfer certain street lighting facilities to the Town of Bedford, located in the Town of Bedford, Westchester County, New York.

**Statutory authority:** Public Service Law, section 70

**Subject:** Transfer of certain street lighting facilities.

**Purpose:** To consider the transfer of certain street lighting facilities from NYSEG to the Town of Bedford.

**Substance of proposed rule:** The Public Service Commission (Commission) is considering the petition filed by New York State Electric & Gas Corporation for authority to transfer certain street lighting facilities to the Town of Bedford, located in the Town of Bedford, Westchester County, New York. The original cost of the facilities was approximately \$269,000 and is being sold at a purchase price of \$160,000, which represents the current fair market value of the facilities. The current net book value of the assets is \$100,302. The full text of the petition may be viewed online at the Department of Public Service web page: [www.dps.ny.gov](http://www.dps.ny.gov). The Commission may adopt, reject, or modify, in whole or in part, the relief proposed and may resolve related matters.

**Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact:** John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: [john.pitucci@dps.ny.gov](mailto:john.pitucci@dps.ny.gov)

**Data, views or arguments may be submitted to:** Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: [secretary@dps.ny.gov](mailto:secretary@dps.ny.gov)



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

**Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement**

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-E-0658SP1)

## Department of Taxation and Finance

### NOTICE OF ADOPTION

#### Fuel Use Tax on Motor Fuel and Diesel Motor Fuel and the Art. 13-A Carrier Tax Jointly Administered Therewith

**I.D. No.** TAF-35-17-00004-A

**Filing No.** 986

**Filing Date:** 2017-11-13

**Effective Date:** 2017-11-13

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

**Action taken:** Amendment of section 492.1(b)(1) of Title 20 NYCRR.

**Statutory authority:** Tax Law, sections 171, subd. First, 301-h(c), 509(7), 523(b) and 528(a)

**Subject:** Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith.

**Purpose:** To set the sales tax component and the composite rate per gallon for the period October 1, 2017 through December 31, 2017.

**Text or summary was published** in the August 30, 2017 issue of the Register, I.D. No. TAF-35-17-00004-P.

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

**Text of rule and any required statements and analyses may be obtained from:** Kathleen D. O'Connell, Tax Regulations Specialist, Department of Taxation and Finance, Office of Counsel, Building 9, W.A. Harriman Campus, Albany, NY 12227, (518) 530-4153, email: tax.regulations@tax.ny.gov

#### Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

### PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

#### Fuel Use Tax on Motor Fuel and Diesel Motor Fuel and the Art. 13-A Carrier Tax Jointly Administered Therewith

**I.D. No.** TAF-48-17-00004-P

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

**Proposed Action:** Amendment of section 492.1(b)(1) of Title 20 NYCRR.

**Statutory authority:** Tax Law, sections 171, subd. First, 301-h(c), 509(7), 523(b) and 528(a)

**Subject:** Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith.

**Purpose:** To set the sales tax component and the composite rate per gallon for the period January 1, 2018 through March 31, 2018.

**Text of proposed rule:** Pursuant to the authority contained in subdivision First of section 171, subdivision (c) of section 301-h, subdivision 7 of section 509, subdivision (b) of section 523, and subdivision (a) of section 528 of the Tax Law, the First Deputy Commissioner of Taxation and Finance, being duly authorized to act due to the vacancy in the office of the Commissioner of Taxation and Finance, hereby proposes to make and adopt the following amendment to the Fuel Use Tax Regulations, as published in Article 3 of Subchapter C of Chapter III of Title 20 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

Section 1. Paragraph (1) of subdivision (b) of section 492.1 of such regulations is amended by adding a new subparagraph (lxxxix) to read as follows:

Motor Fuel			Diesel Motor Fuel		
Sales Tax Component	Composite Rate	Aggregate Rate	Sales Tax Component	Composite Rate	Aggregate Rate
(lxxxviii) October - December 2017					
14.2	22.2	38.4	15.4	23.4	37.85
(lxxxix) January - March 2018					
15.0	23.0	39.9	16.0	24.0	39.15

**Text of proposed rule and any required statements and analyses may be obtained from:** Kathleen D. O'Connell, Tax Regulations Specialist, Department of Taxation and Finance, Office of Counsel, Building 9, W.A. Harriman Campus, Albany, NY 12227, (518) 530-4153, email: tax.regulations@tax.ny.gov

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

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

#### 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.

## Office of Temporary and Disability Assistance

### NOTICE OF ADOPTION

#### Standard Utility Allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP)

**I.D. No.** TDA-38-17-00002-A

**Filing No.** 1007

**Filing Date:** 2017-11-14

**Effective Date:** 2017-11-29

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

**Action taken:** Amendment of section 387.12(f)(3)(v)(a)-(c) of Title 18 NYCRR.

**Statutory authority:** Social Services Law, sections 17(a)-(b), (j), 20(3)(d), 95; 7 United States Code section 2014(e)(6)(C); 7 Code of Federal Regulations section 273.9(d)(6)(iii)

**Subject:** Standard Utility Allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP).

**Purpose:** These regulatory amendments set forth the federally-approved SUAs as of 10/1/17.

**Text or summary was published** in the September 20, 2017 issue of the Register, I.D. No. TDA-38-17-00002-EP.

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

**Text of rule and any required statements and analyses may be obtained from:** Richard P. Rhodes, Jr., New York State 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

#### Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2020, which is no later than the 3rd year after the year in which this rule is being adopted.

#### Assessment of Public Comment

The agency received no public comment.



## HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
<b>Public Service Commission</b>		
PSC-41-17-00006-P .....	Major electric rate filing	<p>Department of Public Service, Agency Bldg. 3, 19th Fl. Boardroom, Albany, NY—January 9, 2018, 10:00 a.m. (Evidentiary Hearing)*</p> <p>*On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (<a href="http://www.dps.ny.gov">www.dps.ny.gov</a>) under Case 17-E-0459.</p>
PSC-41-17-00007-P .....	Major gas rate filing	<p>Department of Public Service, Agency Bldg. 3, 19th Fl. Boardroom, Albany, NY—January 9, 2018, 10:00 a.m. (Evidentiary Hearing)*</p> <p>*On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (<a href="http://www.dps.ny.gov">www.dps.ny.gov</a>) under Case 17-G-0460.</p>
PSC-42-17-00005-P .....	Complaint for review of rates charged for water service to commercial and residential customers of water works corporation	<p>Department of Public Service, Agency Bldg. 3, 3rd Fl. Hearing Rm., Albany, NY—December 6, 2017 and daily on succeeding business days as needed, 10:30 a.m. (Evidentiary Hearing)*</p> <p>*On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (<a href="http://www.dps.ny.gov">www.dps.ny.gov</a>) under Case 17-W-0049.</p>
PSC-45-17-00008-P .....	Major water rate filing	<p>Department of Public Service, Agency Bldg. 3, 3rd Fl. Hearing Rm., Albany, NY—January 29, 2018 and continuing daily as needed, 10:30 a.m. (Evidentiary Hearing)*</p> <p>*On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (<a href="http://www.dps.ny.gov">www.dps.ny.gov</a>) under Case 17-W-0528.</p>

## 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
<b>AAM</b>	<b>01</b>	<b>12</b>	<b>00001</b>	<b>P</b>

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
<b>AGING, OFFICE FOR THE</b>			
AGE-42-17-00001-P	10/18/18	Administration of the Long Term Care Ombudsman Program	To bring NYSOFA's rules and regulations governing LTCOP into conformance with the Federal Statute and regulations.
<b>ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF</b>			
ASA-24-17-00017-RP	06/14/18	General service standards for chemical dependence outpatient (CD-OP) and opioid treatment programs (OTP)	Conforms HIV and Hepatitis testing in accordance with the public health law; clarifies the services a peer may provide
ASA-24-17-00018-RP	06/14/18	Residential services	Conforms HIV and Hepatitis testing requirements in residential settings with public health law
ASA-41-17-00001-P	10/11/18	Establishment, Incorporation and Certification of Providers of Substance Use Disorder Services	Clarifies the obligation to recognize alcohol/substance abuse programs operated by Indian Health Services facilities
ASA-44-17-00001-P	11/01/18	Repeal Part 14 NYCRR Part 830 (Acupuncture) and add new Part 830 (Designated Services; acupuncture and telepractice)	Repeal obsolete regulations and incorporate provisions into a new Part with additional provisions
ASA-44-17-00002-P	11/01/18	Children's behavioral health services	Defines and implements children's behavioral health services pursuant to the EPSDT program in New York
<b>CIVIL SERVICE, DEPARTMENT OF</b>			
*CVS-46-16-00001-P	11/16/17	Jurisdictional Classification	To classify a position in the exempt class
*CVS-46-16-00002-P	11/16/17	Jurisdictional Classification	To classify positions in the non-competitive class
*CVS-46-16-00003-P	11/16/17	Jurisdictional Classification	To classify positions in the exempt class
*CVS-46-16-00004-P	11/16/17	Jurisdictional Classification	To delete a position from and classify a position in the exempt class

**Action Pending Index****NYS Register/November 29, 2017**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>CIVIL SERVICE, DEPARTMENT OF</b>			
CVS-01-17-00006-P	01/04/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-01-17-00007-P	01/04/18	Jurisdictional Classification	To delete a position from and classify positions in the non-competitive class
CVS-01-17-00008-P	01/04/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-01-17-00009-P	01/04/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-01-17-00010-P	01/04/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-01-17-00011-P	01/04/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-01-17-00012-P	01/04/18	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-01-17-00013-P	01/04/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-01-17-00014-P	01/04/18	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-01-17-00015-P	01/04/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-01-17-00017-P	01/04/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-04-17-00003-P	01/25/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-04-17-00004-P	01/25/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-07-17-00003-P	02/15/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-07-17-00004-P	02/15/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-07-17-00005-P	02/15/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-07-17-00006-P	02/15/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-07-17-00007-P	02/15/18	Jurisdictional Classification	To classify a position non-competitive class.
CVS-12-17-00004-P	03/22/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-12-17-00005-P	03/22/18	Jurisdictional Classification	To delete a position from and classify a position in the non-competitive class.
CVS-12-17-00006-P	03/22/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class.
CVS-12-17-00007-P	03/22/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-12-17-00008-P	03/22/18	Jurisdictional Classification	To classify a position in the non-competitive class



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>CIVIL SERVICE, DEPARTMENT OF</b>			
CVS-12-17-00009-P	03/22/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-12-17-00010-P	03/22/18	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-17-17-00002-P	04/26/18	Supplemental military leave benefits	To extend the availability of supplemental military leave benefits for certain New York State employees until December 31, 2017
CVS-18-17-00001-P	05/03/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-18-17-00002-P	05/03/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-18-17-00003-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-17-00004-P	05/03/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-18-17-00005-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-17-00006-P	05/03/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-18-17-00007-P	05/03/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-18-17-00008-P	05/03/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-18-17-00009-P	05/03/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-18-17-00010-P	05/03/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-18-17-00011-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-17-00012-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-17-00013-P	05/03/18	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-18-17-00014-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt and non-competitive classes
CVS-18-17-00015-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-17-00016-P	05/03/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-18-17-00017-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt class and delete positions from the non-competitive class
CVS-23-17-00001-P	06/07/18	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-23-17-00002-P	06/07/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-23-17-00003-P	06/07/18	Jurisdictional Classification	To classify positions in the exempt class

**Action Pending Index****NYS Register/November 29, 2017**

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>CIVIL SERVICE, DEPARTMENT OF</b>			
CVS-23-17-00005-P	06/07/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-23-17-00006-P	06/07/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-23-17-00007-P	06/07/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-23-17-00008-P	06/07/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-23-17-00009-P	06/07/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-23-17-00010-P	06/07/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-23-17-00011-P	06/07/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-23-17-00012-P	06/07/18	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-23-17-00013-P	06/07/18	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-23-17-00014-P	06/07/18	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-30-17-00006-P	07/26/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-30-17-00007-P	07/26/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-30-17-00008-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00009-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00010-P	07/26/18	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-30-17-00011-P	07/26/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-30-17-00012-P	07/26/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-30-17-00013-P	07/26/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-30-17-00014-P	07/26/18	Jurisdictional Classification	To classify a position in the non-competitive class.
CVS-30-17-00015-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00016-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00017-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00018-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>CIVIL SERVICE, DEPARTMENT OF</b>			
CVS-30-17-00019-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00020-P	07/26/18	Jurisdictional Classification	To delete positions from and classify positions in the exempt class and to delete positions from the non-competitive class.
CVS-30-17-00021-P	07/26/18	Jurisdictional Classification	To add a subheading and to classify positions in the non-competitive class
CVS-30-17-00022-P	07/26/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-30-17-00023-P	07/26/18	Jurisdictional Classification	To classify positions in the exempt and non-competitive classes
CVS-33-17-00002-P	08/16/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-33-17-00003-P	08/16/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-33-17-00004-P	08/16/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-33-17-00005-P	08/16/18	Jurisdictional Classification	To delete a position from and classify a position in the non-competitive class
CVS-33-17-00006-P	08/16/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-33-17-00007-P	08/16/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-33-17-00008-P	08/16/18	Jurisdictional Classification	To classify positions in the exempt and non-competitive classes
CVS-47-17-00001-P	11/22/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-47-17-00002-P	11/22/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-47-17-00003-P	11/22/18	Jurisdictional Classification	To delete positions from and classify a position in the exempt class
CVS-47-17-00004-P	11/22/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-47-17-00005-P	11/22/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-47-17-00006-P	11/22/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-47-17-00007-P	11/22/18	Jurisdictional Classification	To classify positions in the exempt class.
CVS-47-17-00008-P	11/22/18	Jurisdictional Classification	To classify a position in the exempt class
<b>COMMISSIONER OF PILOTS, BOARD OF</b>			
COP-41-17-00009-P	10/11/18	Sandy Hook Pilot Apprentices	To amend the Sandy Hook pilot apprenticeship program



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>CORRECTION, STATE COMMISSION OF</b>			
CMC-44-17-00003-P	11/01/18	Inmate confinement and deprivation	Require local correctional facilities to record, review and report inmate cell confinement and essential service deprivation
CMC-44-17-00012-P	11/01/18	Inmate confinement and deprivation	Require local correctional facilities to record, review and report inmate cell confinement and essential service deprivation
<b>CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF</b>			
CCS-39-17-00001-P	09/27/18	Temporary Release Program Rules and Regulations	To amend current regulations governing the temporary release program consistent with governing statutes and agency directives.
<b>ECONOMIC DEVELOPMENT, DEPARTMENT OF</b>			
EDV-46-17-00001-EP	11/15/18	Life Sciences Research and Development Tax Credit	Allow Dept to implement the Life Sciences Research and Development Tax Credit program
<b>EDUCATION DEPARTMENT</b>			
EDU-27-17-00006-P	07/05/18	Interstate Compact for Educational Opportunity for Military Children and Physical Education Requirements for a Diploma.	To implement Ch. 328 of the Laws of 2014 and to provide flexibility in the physical education diploma requirements.
EDU-37-17-00003-RP	09/13/18	Requirements for the Educational Leadership Service	Modify the educational requirements for out-of-state candidates seeking licensure in New York
EDU-39-17-00006-EP	09/27/18	Conditional initial certificates for classroom teachers	Allow out-of-state teachers obtain a conditional cert. while completing their edTPA req. during their 1st year of employ in NY
EDU-39-17-00012-P	09/27/18	Eligibility for Tuition Assistance Program	Amend definition of full-time study for students in their last year of high school
EDU-39-17-00013-P	09/27/18	Principal Preparation Programs and Annual Professional Performance Reviews	Establishes new professional practice guidelines and expectations for principals
EDU-44-17-00004-P	11/01/18	Limited license in speech-language pathology	To subject applicants who have been issued a limited license, to the same experience requirements as applicants for a license
EDU-44-17-00005-P	11/01/18	Definition of occupational therapy practice	To conform the definition of occupational therapy practice to changes to Education Law 7901 by chapter 460 of the Laws of 2011
EDU-44-17-00006-EP	11/01/18	Mandatory Quality Review Program (MQRP) in public accountancy	Eliminates the requirement that a sponsoring organization which oversees the MQRP be located in New York State.
EDU-44-17-00007-EP	11/01/18	Continuing teacher and leader education Requirements	To require continuing teacher and leader education for certain teachers and school leaders in non-public schools
EDU-44-17-00008-P	11/01/18	Transitional H Certification Pathway	Allows NYS licensed CPAs with 3 years of exp. auditing NYS school dist., BOCES, municipalities to seek a business leader cert.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>EDUCATION DEPARTMENT</b>			
EDU-44-17-00009-P	11/01/18	New Pathway to a NYS High School Equivalency Diploma	Allows students to use passing scores on certain Regents examinations in lieu of certain sub-tasks on TASC
EDU-44-17-00010-EP	11/01/18	Temporary teaching certificates	Temporary certificates for teachers displaced from Puerto Rico and/or US territory as a result of Hurricane Maria
EDU-48-17-00005-P	11/29/18	Licensing of Licensed Pathologists' Assistants	Establishes requirements for licensure including professional education, examination, fee and limited permit requirements
EDU-48-17-00006-EP	11/29/18	Mandatory Quality Review Program/ Mandatory Peer Review Program	Eliminates the exemption from the program for sole proprietorship and firms with two or fewer accounting professionals
EDU-48-17-00007-P	11/29/18	Establish Procedures and Fees for Institutional Authorization of Offer Degree Programs	To establish fees and procedures for the review of applications for new institutional authorization to offer degree programs
EDU-48-17-00008-P	11/29/18	Higher Education Opportunity Program (HEOP)	To clarify & modernize existing language & provide consistency across sectors & be useful when establishing frame work for RFP
EDU-48-17-00009-P	11/29/18	Pre-professional certificates and Transitional G certificates	Expands the Trans G certificate to fields other than STEM and allows pre-prof cert exp to count toward student teaching exp
<b>ELECTIONS, STATE BOARD OF</b>			
SBE-21-17-00005-RP	05/24/18	Designation of treasurer removal committee and related procedures	To implement the process of treasurer removal provided for by Part C of Chapter 286 of the Laws of 2016
SBE-28-17-00004-P	07/12/18	Use of independent automated audit tools	To implement the amendment to Election Law 9-211 permitting use of independent automated audit tools
SBE-47-17-00009-P	11/22/18	Voting by certain special federal voters.	Provide procedures for certain special federal voters.
<b>ENVIRONMENTAL CONSERVATION, DEPARTMENT OF</b>			
ENV-06-17-00001-P	03/31/18	Amendments to 6 NYCRR Part 617 (which implement the State Environmental Quality Review Act [Article 8 of the ECL])	The purpose of the rule making is to streamline the SEQR process without sacrificing meaningful environmental review
ENV-14-17-00001-P	05/25/18	Prevention and Control of Environmental Pollution by Radioactive Materials	To amend regulations pertaining to disposal and release of radioactive materials to the environment
ENV-16-17-00003-P	04/19/18	Permits for taking surfclams	To reduce paperwork and streamline the surfclam permitting process
ENV-19-17-00003-P	06/30/18	Part 232 regulates entities that operate dry cleaning machines.	Repeal and replace Part 232 to reduce alternative solvent and perc emissions.
ENV-22-17-00001-EP	05/31/18	Regulations governing the recreational harvest of summer flounder	To revise regulations concerning the recreational harvest of summer flounder in New York State

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>ENVIRONMENTAL CONSERVATION, DEPARTMENT OF</b>			
ENV-28-17-00003-P	07/12/18	Management of crustaceans, horseshoe crabs (HSC) and whelk; protection of terrapin	Modify rules on terrapin excluder device, HSC harvest limit and whelk reporting
<b>FINANCIAL SERVICES, DEPARTMENT OF</b>			
*DFS-17-16-00003-P	exempt	Plan of Conversion by Commercial Travelers Mutual Insurance Company	To convert a mutual accident and health insurance company to a stock accident and health insurance company
DFS-11-17-00003-P	03/15/18	Continuing Care Retirement Communities	Amend rules related to permitted investments, financial transactions, reporting requirements and add new optional contract type
DFS-18-17-00020-P	05/03/18	Establishment And Operation Of Market Stabilization Mechanisms For Certain Health Insurance Markets	To allow for the implementation of a market stabilization pool for the small group health insurance market
DFS-20-17-00001-P	05/17/18	Private Passenger Motor Vehicle Insurance Multi-Tier Programs	To ensure education level attained/occupational status in initial tier placement/movement does not result in unfair rate
DFS-25-17-00002-EP	06/21/18	Minimum standards for form, content and sale of health insurance, including standards of full and fair disclosure	To ensure coverage for essential health benefits in all individual, small group, and student accident and health policies
DFS-32-17-00017-P	08/09/18	Holding Companies	To make technical correction to and clarification of 11 NYCRR section 80-1.6(3)
DFS-35-17-00003-P	08/30/18	Privacy of Consumer Financial and Health Information, General Provisions	To incorporate recent changes to federal privacy laws regarding information maintained by financial institutions
DFS-39-17-00002-P	09/27/18	Minimum Standards for Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure	Provide a formulary exception process for medication for the detoxification or maintenance treatment of a substance use disorder
DFS-40-17-00003-P	10/04/18	Registration Requirements and Prohibited Practices for Credit Reporting Agencies	To address deficient practices of consumer credit reporting agencies and protect user of and the market for financial services
<b>GAMING COMMISSION, NEW YORK STATE</b>			
*SGC-45-16-00004-RP	02/07/18	Anti-stacking of NSAIDs and diclofenac made a 48 hour NSAID	To enable the Commission to preserve the integrity of pari-mutuel racing while generating reasonable revenue for the support of government
<b>HEALTH, DEPARTMENT OF</b>			
*HLT-14-94-00006-P	exempt	Payment methodology for HIV/AIDS outpatient services	To expand the current payment to incorporate pricing for services
*HLT-37-16-00024-RP	12/13/17	Medical Use of Marihuana	To comprehensively regulate the manufacture, sale and use of medical marihuana
*HLT-41-16-00002-ERP	01/10/18	Residential Health Care Facility Quality Pool	To reward NYS facilities with the highest quality outcomes as determined by methodology developed by regulation



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>HEALTH, DEPARTMENT OF</b>			
HLT-07-17-00009-P	02/15/18	Public Water Systems	To incorporate federal rules and revisions to Public Health Law
HLT-20-17-00013-P	05/17/18	Lead Testing in School Drinking Water	Requires lead testing and remediation of potable drinking water in schools
HLT-28-17-00001-P	07/12/18	Children's Behavioral Health and Health Services	To authorize Medicaid coverage of new behavioral health and health services for children under 21 years of age
HLT-28-17-00009-P	08/17/18	Early Intervention Program	To conform existing program regulations to federal regulations and state statute
HLT-33-17-00022-P	08/16/18	Medical Conditions For Which An Exemption From Restrictions On Tinted Glass May Be Issued	Amend the existing list of medical conditions for a NYSregistered driver or habitual passenger for an exemption to tinted glass
HLT-38-17-00001-P	09/20/18	Trauma Centers	Requires hospitals to be verified by the American College of Surgeons Committee to be designated trauma centers by the Dept.
HLT-43-17-00001-EP	10/25/18	Medical Use of Marihuana	To allow certain defined facilities to become a designated caregiver for a certified patient in NYS's Medical Marihuana Program
<b>JOINT COMMISSION ON PUBLIC ETHICS, NEW YORK STATE</b>			
JPE-34-17-00003-P	08/23/18	Comprehensive lobbying regulations	To set forth comprehensive lobbying regulations that implement the provisions of the Lobbying Act
JPE-34-17-00004-P	08/23/18	Source of funding reporting.	To make consistent with the new comprehensive lobbying regulations at Part 943 and clarify exemption procedures.
JPE-42-17-00003-P	10/18/18	Financial disclosure statements	To add a right of appeal to provisions governing exemptions related to filing a financial disclosure statement
<b>LABOR, DEPARTMENT OF</b>			
LAB-47-17-00011-P	11/22/18	Employee Scheduling (Call-In Pay)	To strengthen existing call-in pay protections involving employee scheduling
<b>LIQUOR AUTHORITY, STATE</b>			
LQR-35-17-00002-P	10/25/18	Updated price posting rules, and recordkeeping requirements, and repeal of license durations and whiskey dividend rules	To update price posting rules, and recordkeeping requirements, and repeal of license duration rules and whiskey dividend rules
<b>LONG ISLAND POWER AUTHORITY</b>			
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>LONG ISLAND POWER AUTHORITY</b>			
*LPA-03-10-00004-P	..... exempt	Residential late payment charges	To extend the application of late payment charges to residential customers
LPA-41-17-00010-P	..... exempt	The undergrounding provisions of the Authority's Tariff for Electric Service	To offer local communities a mechanism for financing the additional cost of undergrounding projects
LPA-41-17-00011-P	..... exempt	The remote meter reading provisions of the Authority's Tariff for Electric Service	To eliminate charges for remote meter reading
LPA-41-17-00012-P	..... exempt	The net energy metering provisions of the Authority's Tariff for Electric Service	To update the Authority's net energy metering provisions consistent with the rest of New York State
<b>MENTAL HEALTH, OFFICE OF</b>			
OMH-31-17-00001-P	..... 08/02/18	Early and Periodic Screening, Diagnostic and Treatment Services for Children	To promote the expansion of behavioral health services for children and youth under 21 years of age
<b>MOTOR VEHICLES, DEPARTMENT OF</b>			
MTV-26-17-00003-EP	..... 06/28/18	Insurance requirements for TNC vehicles	Technical amendment regarding insurance requirements for TNC vehicles
<b>NIAGARA FALLS WATER BOARD</b>			
*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
<b>NIAGARA FRONTIER TRANSPORTATION AUTHORITY</b>			
NFT-23-17-00016-P	..... 06/07/18	Procurement Guidelines of the Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc.	To amend Procurement Guidelines to reflect changes in law, clarifying provisions and change signing authority level
<b>PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR</b>			
PDD-48-17-00010-P	..... 11/29/18	Clarification of Assessment of Functional and Health-Related Needs	To clarify requirements for an Assessment of Functional and Health-Related Needs in Person Centered Planning regulations
<b>POWER AUTHORITY OF THE STATE OF NEW YORK</b>			
*PAS-01-10-00010-P	..... exempt	Rates for the sale of power and energy	Update ECSB Programs customers' service tariffs to streamline them/include additional required information
PAS-41-17-00002-P	..... exempt	Rates for the Sale of Power and Energy	To align rates and costs

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-09-99-00012-P	..... exempt	Transfer of books and records by Citizens Utilities Company	To relocate Ogden Telephone Company's books and records out-of-state
*PSC-15-99-00011-P	..... exempt	Electronic tariff by Woodcliff Park Corp.	To replace the company's current tariff with an electronic tariff
*PSC-12-00-00001-P	..... exempt	Winter bundled sales service election date by Central Hudson Gas & Electric Corporation	To revise the date
*PSC-44-01-00005-P	..... exempt	Annual reconciliation of gas costs by Corning Natural Gas Corporation	To authorize the company to include certain gas costs
*PSC-07-02-00032-P	..... exempt	Uniform business practices	To consider modification
*PSC-36-03-00010-P	..... exempt	Performance assurance plan by Verizon New York	To consider changes
*PSC-40-03-00015-P	..... exempt	Receipt of payment of bills by St. Lawrence Gas Company	To revise the process
*PSC-41-03-00010-P	..... exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-41-03-00011-P	..... exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-44-03-00009-P	..... exempt	Retail access data between jurisdictional utilities	To accommodate changes in retail access market structure or commission mandates
*PSC-02-04-00008-P	..... exempt	Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York	To rehear the Nov. 25, 2003 order
*PSC-06-04-00009-P	..... exempt	Transfer of ownership interest by SCS Energy LLC and AE Investors LLC	To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC
*PSC-10-04-00005-P	..... exempt	Temporary protective order	To consider adopting a protective order
*PSC-10-04-00008-P	..... exempt	Interconnection agreement between Verizon New York Inc. and VIC-RMTS-DC, L.L.C. d/b/a Verizon Avenue	To amend the agreement
*PSC-14-04-00008-P	..... exempt	Submetering of natural gas service to industrial and commercial customers by Hamburg Fairgrounds	To submeter gas service to commercial customers located at the Buffalo Speedway
*PSC-15-04-00022-P	..... exempt	Submetering of electricity by Glenn Gardens Associates, L.P.	To permit submetering at 175 W. 87th St., New York, NY
*PSC-21-04-00013-P	..... exempt	Verizon performance assurance plan by Metropolitan Telecommunications	To clarify the appropriate performance level
*PSC-22-04-00010-P	..... exempt	Approval of new types of electricity meters by Powell Power Electric Company	To permit the use of the PE-1250 electronic meter
*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



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*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 receivable by Rochester Gas and Electric Corporation	To include in its tariff provisions for the purchase of ESCO accounts receivable
*PSC-46-04-00012-P	..... exempt	Service application form by Consolidated Edison Company of New York, Inc.	To revise the form and make housekeeping changes
*PSC-46-04-00013-P	..... exempt	Rules and guidelines governing installation of metering equipment	To establish uniform statewide business practices
*PSC-02-05-00006-P	..... exempt	Violation of the July 22, 2004 order by Dutchess Estates Water Company, Inc.	To consider imposing remedial actions against the company and its owners, officers and directors
*PSC-09-05-00009-P	..... exempt	Submetering of natural gas service by Hamlet on Olde Oyster Bay	To consider submetering of natural gas to a commercial customer
*PSC-14-05-00006-P	..... exempt	Request for deferred accounting authorization by Freeport Electric Inc.	To defer expenses beyond the end of the fiscal year
*PSC-18-05-00009-P	..... exempt	Marketer Assignment Program by Consolidated Edison Company of New York, Inc.	To implement the program
*PSC-20-05-00028-P	..... exempt	Delivery point aggregation fee by Allied Frozen Storage, Inc.	To review the calculation of the fee
*PSC-25-05-00011-P	..... exempt	Metering, balancing and cashout provisions by Central Hudson Gas & Electric Corporation	To establish provisions for gas customers taking service under Service Classification Nos. 8, 9 and 11
*PSC-27-05-00018-P	..... exempt	Annual reconciliation of gas costs by New York State Electric & Gas Corporation	To consider the manner in which the gas cost incentive mechanism has been applied

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<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-41-05-00013-P	..... exempt	Annual reconciliation of gas expenses and gas cost recoveries by local distribution companies and municipalities	To consider the filings
*PSC-45-05-00011-P	..... exempt	Treatment of lost and unaccounted gas costs by Corning Natural Gas Corporation	To defer certain costs
*PSC-46-05-00015-P	..... exempt	Sale of real and personal property by the Brooklyn Union Gas Company d/b/a KeySpan Energy Delivery New York and Steel Arrow, LLC	To consider the sale
*PSC-47-05-00009-P	..... exempt	Transferral of gas supplies by Corning Natural Gas Corporation	To approve the transfer
*PSC-50-05-00008-P	..... exempt	Long-term debt by Saratoga Glen Hollow Water Supply Corp.	To obtain long-term debt
*PSC-04-06-00024-P	..... exempt	Transfer of ownership interests by Mirant NY-Gen LLC and Orange and Rockland Utilities, Inc.	To approve of the transfer
*PSC-06-06-00015-P	..... exempt	Gas curtailment policies and procedures	To examine the manner and extent to which gas curtailment policies and procedures should be modified and/or established
*PSC-07-06-00009-P	..... exempt	Modification of the current Environmental Disclosure Program	To include an attributes accounting system
*PSC-22-06-00019-P	..... exempt	Hourly pricing by National Grid	To assess the impacts
*PSC-22-06-00020-P	..... exempt	Hourly pricing by New York State Electric & Gas Corporation	To assess the impacts
*PSC-22-06-00021-P	..... exempt	Hourly pricing by Rochester Gas & Electric Corporation	To assess the impacts
*PSC-22-06-00022-P	..... exempt	Hourly pricing by Consolidated Edison Company of New York, Inc.	To assess the impacts
*PSC-22-06-00023-P	..... exempt	Hourly pricing by Orange and Rockland Utilities, Inc.	To assess the impacts
*PSC-24-06-00005-EP	..... exempt	Supplemental home energy assistance benefits	To extend the deadline to Central Hudson's low-income customers
*PSC-25-06-00017-P	..... exempt	Purchased power adjustment by Massena Electric Department	To revise the method of calculating the purchased power adjustment and update the factor of adjustment
*PSC-34-06-00009-P	..... exempt	Inter-carrier telephone service quality standards and metrics by the Carrier Working Group	To incorporate appropriate modifications
*PSC-37-06-00015-P	..... exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-37-06-00017-P	..... exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-43-06-00014-P	..... exempt	Electric delivery services by Strategic Power Management, Inc.	To determine the proper mechanism for the rate-recovery of costs
*PSC-04-07-00012-P	..... exempt	Petition for rehearing by Orange and Rockland Utilities, Inc.	To clarify the order
*PSC-06-07-00015-P	..... exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for electric service
*PSC-06-07-00020-P	..... exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for gas service
*PSC-11-07-00010-P	..... exempt	Investigation of the electric power outages by the Consolidated Edison Company of New York, Inc.	To implement the recommendations in the staff's investigation
*PSC-11-07-00011-P	..... exempt	Storm-related power outages by Consolidated Edison Company of New York, Inc.	To modify the company's response to power outages, the timing for any such changes and other related matters
*PSC-17-07-00008-P	..... exempt	Interconnection agreement between Verizon New York Inc. and BridgeCom International, Inc.	To amend the agreement
*PSC-18-07-00010-P	..... exempt	Existing electric generating stations by Independent Power Producers of New York, Inc.	To repower and upgrade existing electric generating stations owned by Rochester Gas and Electric Corporation
*PSC-20-07-00016-P	..... exempt	Tariff revisions and making rates permanent by New York State Electric & Gas Corporation	To seek rehearing
*PSC-21-07-00007-P	..... exempt	Natural Gas Supply and Acquisition Plan by Corning Natural Gas Corporation	To revise the rates, charges, rules and regulations for gas service
*PSC-22-07-00015-P	..... exempt	Demand Side Management Program by Consolidated Edison Company of New York, Inc.	To recover incremental program costs and lost revenue
*PSC-23-07-00022-P	..... exempt	Supplier, transportation, balancing and aggregation service by National Fuel Gas Distribution Corporation	To explicitly state in the company's tariff that the threshold level of elective upstream transmission capacity is a maximum of 112,600 Dth/day of marketer-provided upstream capacity
*PSC-24-07-00012-P	..... exempt	Gas Efficiency Program by the City of New York	To consider rehearing a decision establishing a Gas Efficiency Program
*PSC-39-07-00017-P	..... exempt	Gas bill issuance charge by New York State Electric & Gas Corporation	To create a gas bill issuance charge unbundled from delivery rates
*PSC-41-07-00009-P	..... exempt	Submetering of electricity rehearing	To seek reversal
*PSC-42-07-00012-P	..... exempt	Energy efficiency program by Orange and Rockland Utilities, Inc.	To consider any energy efficiency program for Orange and Rockland Utilities, Inc.'s electric service
*PSC-42-07-00013-P	..... exempt	Revenue decoupling by Orange and Rockland Utilities, Inc.	To consider a revenue decoupling mechanism for Orange and Rockland Utilities, Inc.
*PSC-45-07-00005-P	..... exempt	Customer incentive programs by Orange and Rockland Utilities, Inc.	To establish a tariff provision



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-02-08-00006-P	..... exempt	Additional central office codes in the 315 area code region	To consider options for making additional codes
*PSC-03-08-00006-P	..... exempt	Rehearing of the accounting determinations	To grant or deny a petition for rehearing of the accounting determinations
*PSC-04-08-00010-P	..... exempt	Granting of easement rights on utility property by Central Hudson Gas & Electric Corporation	To grant easement rights to Millennium Pipeline Company, L.L.C.
*PSC-04-08-00012-P	..... exempt	Marketing practices of energy service companies by the Consumer Protection Board and New York City Department of Consumer Affairs	To consider modifying the commission's regulation over marketing practices of energy service companies
*PSC-08-08-00016-P	..... exempt	Transfer of ownership by Entergy Nuclear Fitzpatrick LLC, et al.	To consider the transfer
*PSC-12-08-00019-P	..... exempt	Extend the provisions of the existing electric rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-12-08-00021-P	..... exempt	Extend the provisions of the existing gas rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-13-08-00011-P	..... exempt	Waiver of commission policy and NYSEG tariff by Turner Engineering, PC	To grant or deny Turner's petition
*PSC-13-08-00012-P	..... exempt	Voltage drops by New York State Electric & Gas Corporation	To grant or deny the petition
*PSC-23-08-00008-P	..... exempt	Petition requesting rehearing and clarification of the commission's April 25, 2008 order denying petition of public utility law project	To consider whether to grant or deny, in whole or in part, the May 7, 2008 Public Utility Law Project (PULP) petition for rehearing and clarification of the commission's April 25, 2008 order denying petition of Public Utility Law Project
*PSC-23-08-00009-P	..... exempt	The transfer of certain real property with an original cost under \$100,000 in the Town of Throop	To consider the filing for the transfer of certain real property in the Town of Throop
*PSC-25-08-00007-P	..... exempt	Policies and procedures regarding the selection of regulatory proposals to meet reliability needs	To establish policies and procedures regarding the selection of regulatory proposals to meet reliability needs
*PSC-25-08-00008-P	..... exempt	Report on Callable Load Opportunities	Rider U report assessing callable load opportunities in New York City and Westchester County during the next 10 years
*PSC-28-08-00004-P	..... exempt	Con Edison's procedure for providing customers access to their account information	To consider Con Edison's implementation plan and timetable for providing customers access to their account information
*PSC-31-08-00025-P	..... exempt	Recovery of reasonable DRS costs from the cost mitigation reserve (CMR)	To authorize recovery of the DRS costs from the CMR
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-53-08-00013-P	..... exempt	To transfer common stock and ownership	To consider transfer of common stock and ownership
*PSC-01-09-00015-P	..... exempt	FCC decision to redefine service area of Citizens/Frontier	Review and consider FCC proposed redefinition of Citizens/Frontier service area
*PSC-02-09-00010-P	..... exempt	Competitive classification of independent local exchange company, and regulatory relief appropriate thereto	To determine if Chazy & Westport Telephone Corporation more appropriately belongs in scenario 1 rather than scenario 2
*PSC-05-09-00008-P	..... exempt	Revenue allocation, rate design, performance metrics, and other non-revenue requirement issues	To consider any remaining non-revenue requirement issues related to the Company's May 9, 2008 tariff filing
*PSC-05-09-00009-P	..... exempt	Numerous decisions involving the steam system including cost allocation, energy efficiency and capital projects	To consider the long term impacts on steam rates and on public policy of various options concerning the steam system
*PSC-06-09-00007-P	..... exempt	Interconnection of the networks between Frontier Comm. and WVT Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier Comm. and WVT Comm.
*PSC-07-09-00015-P	..... exempt	Transfer certain utility assets located in the Town of Montgomery from plant held for future use to non-utility property	To consider the request to transfer certain utility assets located in the Town of Montgomery to non-utility assets
*PSC-07-09-00017-P	..... exempt	Request for authorization to defer the incremental costs incurred in the restoration work resulting from the ice storm	To allow the company to defer the incremental costs incurred in the restoration work resulting from the ice storm
*PSC-07-09-00018-P	..... exempt	Whether to permit the submetering of natural gas service to an industrial and commercial customer at Cooper Union, New York, NY	To consider the request of Cooper Union, to submeter natural gas at 41 Cooper Square, New York, New York
*PSC-12-09-00010-P	..... exempt	Charges for commodity	To charge customers for commodity costs
*PSC-12-09-00012-P	..... exempt	Charges for commodity	To charge customers for commodity costs
*PSC-13-09-00008-P	..... exempt	Options for making additional central office codes available in the 718/347 numbering plan area	To consider options for making additional central office codes available in the 718/347 numbering plan area
*PSC-14-09-00014-P	..... exempt	The regulation of revenue requirements for municipal utilities by the Public Service Commission	To determine whether the regulation of revenue requirements for municipal utilities should be modified
*PSC-16-09-00010-P	..... exempt	Petition for the submetering of electricity	To consider the request of AMPS on behalf of Park Imperial to submeter electricity at 230 W. 56th Street, in New York, New York
*PSC-16-09-00020-P	..... exempt	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity
*PSC-17-09-00010-P	..... exempt	Whether to permit the use of Elster REX2 solid state electric meter for use in residential and 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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-17-09-00012-P	..... exempt	Petition for the submetering of gas at commercial property	To consider the request of Turner Construction, to submeter natural gas at 550 Short Ave., & 10 South St., Governors Island, NY
*PSC-17-09-00014-P	..... exempt	Benefit-cost framework for evaluating AMI programs prepared by the DPS Staff	To consider a benefit-cost framework for evaluating AMI programs prepared by the DPS Staff
*PSC-17-09-00015-P	..... exempt	The construction of a tower for wireless antennas on land owned by National Grid	To approve, reject or modify the petition to build a tower for wireless antennas in the Town of Onondaga
*PSC-18-09-00012-P	..... exempt	Petition for rehearing of Order approving the submetering of electricity	To consider the request of Frank Signore to rehear petition to submeter electricity at One City Place in White Plains, New York
*PSC-18-09-00013-P	..... exempt	Petition for the submetering of electricity	To consider the request of Living Opportunities of DePaul to submeter electricity at E. Main St. located in Batavia, New York
*PSC-18-09-00017-P	..... exempt	Approval of an arrangement for attachment of wireless antennas to the utility's transmission facilities in the City of Yonkers	To approve, reject or modify the petition for the existing wireless antenna attachment to the utility's transmission tower
*PSC-20-09-00016-P	..... exempt	The recovery of, and accounting for, costs associated with the Companies' advanced metering infrastructure (AMI) pilots etc	To consider a filing of the Companies as to the recovery of, and accounting for, costs associated with it's AMI pilots etc
*PSC-20-09-00017-P	..... exempt	The recovery of, and accounting for, costs associated with CHG&E's AMI pilot program	To consider a filing of CHG&E as to the recovery of, and accounting for, costs associated with it's AMI pilot program
*PSC-22-09-00011-P	..... exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-25-09-00005-P	..... exempt	Whether to grant, deny, or modify, in whole or in part, the petition	Whether to grant, deny, or modify, in whole or in part, the petition
*PSC-25-09-00006-P	..... exempt	Electric utility implementation plans for proposed web based SIR application process and project status database	To determine if the proposed web based SIR systems are adequate and meet requirements needed for implementation
*PSC-25-09-00007-P	..... exempt	Electric rates for Consolidated Edison Company of New York, Inc	Consider a Petition for Rehearing filed by Consolidated Edison Company of New York, Inc
*PSC-27-09-00011-P	..... exempt	Interconnection of the networks between Vernon and tw telecom of new york l.p. for local exchange service and exchange access.	To review the terms and conditions of the negotiated agreement between Vernon and tw telecom of new york l.p.
*PSC-27-09-00014-P	..... exempt	Billing and payment for energy efficiency measures through utility bill	To promote energy conservation
*PSC-27-09-00015-P	..... exempt	Interconnection of the networks between Oriskany and tw telecom of new york l.p. for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Oriskany and tw telecom of new york l.p.
*PSC-29-09-00011-P	..... exempt	Consideration of utility compliance filings	Consideration of utility compliance filings



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-32-09-00009-P	..... exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-34-09-00016-P	..... exempt	Recommendations made in the Management Audit Final Report	To consider whether to take action or recommendations contained in the Management Audit Final Report
*PSC-34-09-00017-P	..... exempt	To consider the transfer of control of Plattsburgh Cablevision, Inc. d/b/a Charter Communications to CH Communications, LLC	To allow the Plattsburgh Cablevision, Inc. to distribute its equity interest in CH Communications, LLC
*PSC-36-09-00008-P	..... exempt	The increase in the non-bypassable charge implemented by RG&E on June 1, 2009	Considering exemptions from the increase in the non-bypassable charge implemented by RG&E on June 1, 2009
*PSC-37-09-00015-P	..... exempt	Sale of customer-generated steam to the Con Edison steam system	To establish a mechanism for sale of customer-generated steam to the Con Edison steam system
*PSC-37-09-00016-P	..... exempt	Applicability of electronic signatures to Deferred Payment Agreements	To determine whether electronic signatures can be accepted for Deferred Payment Agreements
*PSC-39-09-00015-P	..... exempt	Modifications to the \$5 Bill Credit Program	Consideration of petition of National Grid to modify the Low Income \$5 Bill Credit Program
*PSC-39-09-00018-P	..... exempt	The offset of deferral balances with Positive Benefit Adjustments	To consider a petition to offset deferral balances with Positive Benefit Adjustments
*PSC-40-09-00013-P	..... exempt	Uniform System of Accounts - request for deferral and amortization of costs	To consider a petition to defer and amortize costs
*PSC-51-09-00029-P	..... exempt	Rules and guidelines for the exchange of retail access data between jurisdictional utilities and eligible ESCOs	To revise the uniform Electronic Data Interchange Standards and business practices to incorporate a contest period
*PSC-51-09-00030-P	..... exempt	Waiver or modification of Capital Expenditure condition of merger	To allow the companies to expend less funds for capital improvement than required by the merger
*PSC-52-09-00006-P	..... exempt	ACE's petition for rehearing for an order regarding generator-specific energy deliverability study methodology	To consider whether to change the Order Prescribing Study Methodology
*PSC-52-09-00008-P	..... exempt	Approval for the New York Independent System Operator, Inc. to incur indebtedness and borrow up to \$50,000,000	To finance the renovation and construction of the New York Independent System Operator, Inc.'s power control center facilities
*PSC-05-10-00008-P	..... exempt	Petition for the submetering of electricity	To consider the request of University Residences - Rochester, LLC to submeter electricity at 220 John Street, Henrietta, NY
*PSC-05-10-00015-P	..... exempt	Petition for the submetering of electricity	To consider the request of 243 West End Avenue Owners Corp. to submeter electricity at 243 West End Avenue, New York, NY
*PSC-06-10-00022-P	..... exempt	The Commission's Order of December 17, 2009 related to redevelopment of Consolidated Edison's Hudson Avenue generating facility	To reconsider the Commission's Order of December 17, 2009 related to redevelopment of the Hudson Avenue generating facility

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-07-10-00009-P	..... exempt	Petition to revise the Uniform Business Practices	To consider the RESA petition to allow rescission of a customer request to return to full utility service
*PSC-08-10-00007-P	..... exempt	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847
*PSC-08-10-00009-P	..... exempt	Consolidated Edison of New York, Inc. energy efficiency programs	To modify approved energy efficiency programs
*PSC-12-10-00015-P	..... exempt	Recommendations made by Staff intended to enhance the safety of Con Edison's gas operations	To require that Con Edison implement the Staff recommendations intended to enhance the safety of Con Edison's gas operations
*PSC-14-10-00010-P	..... exempt	Petition for the submetering of electricity	To consider the request of 61 Jane Street Owners Corporation to submeter Electricity at 61 Jane Street, Manhattan, NY
*PSC-16-10-00005-P	..... exempt	To consider adopting and expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-16-10-00007-P	..... exempt	Interconnection of the networks between TDS Telecom and PAETEC Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between TDS Telecom and PAETEC Communications
*PSC-16-10-00015-P	..... exempt	Interconnection of the networks between Frontier and Choice One Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier and Choice One Communications
*PSC-18-10-00009-P	..... exempt	Electric utility transmission right-of-way management practices	To consider electric utility transmission right-of-way management practices
*PSC-19-10-00022-P	..... exempt	Whether National Grid should be permitted to transfer a parcel of property located at 1 Eddy Street, Fort Edward, New York	To decide whether to approve National Grid's request to transfer a parcel of vacant property in Fort Edward, New York
*PSC-22-10-00006-P	..... exempt	Requirement that Noble demonstrate that its affiliated electric corporations operating in New York are providing safe service	Consider requiring that Noble demonstrate that its affiliated electric corporations in New York are providing safe service
*PSC-22-10-00008-P	..... exempt	Petition for the submetering of electricity	To consider the request of 48-52 Franklin Street to submeter electricity at 50 Franklin Street, New York, New York
*PSC-24-10-00009-P	..... exempt	Verizon New York Inc. tariff regulations relating to voice messaging service	To remove tariff regulations relating to retail voice messaging service from Verizon New York Inc.'s tariff
*PSC-25-10-00012-P	..... exempt	Reassignment of the 2-1-1 abbreviated dialing code	Consideration of petition to reassign the 2-1-1 abbreviated dialing code
*PSC-25-10-00015-P	..... exempt	To allow NYWC to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2009	Consideration of NYWC's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2009
*PSC-27-10-00016-P	..... exempt	Petition for the submetering of electricity	To consider the request of 9271 Group, LLC to submeter electricity at 960 Busti Avenue, Buffalo, New York

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<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-31-10-00007-P	..... exempt	Waiver of the Attachment 23 requirement in 2001 Rate Order that NMPC Board of Directors consist of "outside directors"	To consider the waiver of the requirement that a majority of NMPC Board of directors consist of "outside directors"
*PSC-34-10-00003-P	..... exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-34-10-00005-P	..... exempt	Approval of a contract for \$250,000 in tank repairs that may be a financing	To decide whether to approve a contract between the parties that may be a financing of \$250,000 for tank repairs
*PSC-34-10-00006-P	..... exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-36-10-00010-P	..... exempt	Central Hudson's procedures, terms and conditions for an economic development plan	Consideration of Central Hudson's procedures, terms and conditions for an economic development plan
*PSC-40-10-00014-P	..... exempt	Disposition of a state sales tax refund	To determine how much of a state sales tax refund should be retained by National Grid
*PSC-40-10-00021-P	..... exempt	Whether to permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall	To permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall
*PSC-41-10-00018-P	..... exempt	Amount of hourly interval data provided to Hourly Pricing customers who have not installed a phone line to read meter	Allow Central Hudson to provide less than a years worth of interval data and charge for manual meter reading for some customers
*PSC-41-10-00022-P	..... exempt	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY
*PSC-42-10-00011-P	..... exempt	Petition for the submetering of electricity	To consider the request of 4858 Group, LLC to submeter electricity at 456 Main Street, Buffalo, New York
*PSC-43-10-00016-P	..... exempt	Utility Access to Ducts, Conduit Facilities and Utility Poles	To review the complaint from Optical Communications Group
*PSC-44-10-00003-P	..... exempt	Third and fourth stage gas rate increase by Corning Natural Gas Corporation	To consider Corning Natural Gas Corporation's request for a third and fourth stage gas rate increase
*PSC-51-10-00018-P	..... exempt	Commission proceeding concerning three-phase electric service by all major electric utilities	Investigate the consistency of the tariff provisions for three-phase electric service for all major electric utilities
*PSC-11-11-00003-P	..... exempt	The proposed transfer of 55.42 acres of land and \$1.4 million of revenues derived from the rendition of public service	The proposed transfer of 55.42 acres of land and \$1.4 million of revenues derived from the rendition of public service
*PSC-12-11-00008-P	..... exempt	To allow NYWC to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2010	Consideration of NYWC's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2010
*PSC-13-11-00005-P	..... exempt	Exclude the minimum monthly bill component from the earnings test calculation	Exclude the minimum monthly bill component from the earnings test calculation

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<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-13-11-00007-P	..... exempt	Budget allocations and use of System Benefits Charge funds to pay State Cost Recovery Fee	To encourage cost effective gas and electric energy conservation in the State
*PSC-14-11-00009-P	..... exempt	Petition for the submetering of electricity	To consider the request of 83-30 118th Street to submeter electricity at 83-30 118th Street, Kew Gardens, New York
*PSC-16-11-00011-P	..... exempt	The Energy Efficiency Portfolio Standard	To promote gas and electricity energy conservation programs in New York
*PSC-19-11-00007-P	..... exempt	Utility price reporting requirements related to the Commission's "Power to Choose" website	Modify the Commission's utility electric commodity price reporting requirements related to the "Power to Choose" website
*PSC-20-11-00012-P	..... exempt	Petition for the submetering of electricity	To consider the request of KMW Group LLC to submeter electricity at 122 West Street, Brooklyn, New York
*PSC-20-11-00013-P	..... exempt	Determining the reasonableness of Niagara Mohawk Power Corporation d/b/a National Grid 's make ready charges	To determine if the make ready charges of Niagara Mohawk Power Corporation d/b/a National Grid are reasonable
*PSC-22-11-00004-P	..... exempt	Whether to permit the use of the Sensus accWAVE for use in residential gas meter applications	To permit gas utilities in New York State to use the Sensus accWAVE diaphragm gas meter
*PSC-23-11-00018-P	..... exempt	NYSERDA's energy efficiency program for low-income customers	To promote energy conservation in New York State
*PSC-26-11-00007-P	..... exempt	Water rates and charges	To approve an increase in annual revenues by about \$25,266 or 50%
*PSC-26-11-00009-P	..... exempt	Petition for the submetering of electricity at commercial property	To consider the request of by Hoosick River Hardwoods, LLC to submeter electricity at 28 Taylor Avenue, in Berlin, New York
*PSC-26-11-00012-P	..... exempt	Waiver of generation retirement notice requirements	Consideration of waiver of generation retirement notice requirements
*PSC-29-11-00011-P	..... exempt	Petition requesting the 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



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<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-40-11-00012-P	..... exempt	Granting of transfer of plant in-service to a regulatory asset	To approve transfer and recovery of unamortized plant investment
*PSC-42-11-00018-P	..... exempt	Availability of telecommunications services in New York State at just and reasonable rates	Providing funding support to help ensure availability of affordable telecommunications service throughout New York
*PSC-43-11-00012-P	..... exempt	Transfer of outstanding shares of stock	Transfer the issued outstanding shares of stock of The Meadows at Hyde Park Water-Works Corporation to HPWS, LLC
*PSC-47-11-00007-P	..... exempt	Remedying miscalculations of delivered gas as between two customer classes	Consideration of Con Edison's proposal to address inter-class delivery imbalances resulting from past Company miscalculations
*PSC-48-11-00007-P	..... exempt	Transfer of controlling interests in generation facilities from Dynegy to PSEG	Consideration of the transfer of controlling interests in electric generation facilities from Dynegy to PSEG
*PSC-48-11-00008-P	..... exempt	Petition for the submetering of electricity	To consider the request of To Better Days, LLC to submeter electricity at 37 East 4th Street, New York, New York
*PSC-51-11-00010-P	..... exempt	The Total Resource Cost (TRC) test, used to analyze measures in the Energy Efficiency Portfolio Standard program	Petitioners request that the TRC test and/or its application to measures should be revised
*PSC-01-12-00007-P	..... exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-01-12-00008-P	..... exempt	Transfer of real property and easements from NMPNS to NMP3	Consideration of the transfer of real property and easements from NMPNS to NMP3
*PSC-01-12-00009-P	..... exempt	Recovery of expenses related to the expansion of Con Edison's ESCO referral program, PowerMove	To determine how and to what extent expenses related to the Expansion of Con Edison's ESCO referral program should be recovered
*PSC-11-12-00002-P	..... exempt	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff
*PSC-11-12-00005-P	..... exempt	Transfer of land and water supply assets	Transfer the land and associated water supply assets of Groman Shores, LLC to Robert Groman
*PSC-13-12-00005-P	..... exempt	Authorization to transfer certain real property	To decide whether to approve the transfer of certain real property
*PSC-19-12-00019-P	..... exempt	EEPS programs administered by New York State Electric & Gas Corporation and Rochester Gas and Electric Corporation	To modify the C&I sector by combining multiple approved C&I programs into a single C&I program for each PA
*PSC-19-12-00022-P	..... exempt	Approval of a combined heat and power performance program funding plan administered by NYSEERDA	Modify NYSEERDA's EEPS programs budget and targets to fund the CHP program
*PSC-19-12-00023-P	..... exempt	Petition for approval pursuant to Section 70 for the sale of goods with an original cost of less than \$100,000	To consider whether to grant, deny or modify, in whole or in part, the petition filed by Orange and Rockland Utilities, Inc.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-21-12-00006-P	..... exempt	Tariff filing requirements and refunds	To determine if certain agreements should be filed pursuant to the Public Service Law and if refunds are warranted
*PSC-21-12-00011-P	..... exempt	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47
*PSC-23-12-00005-P	..... exempt	EEPS multifamily programs administered by Consolidated Edison Company of New York, Inc.	To redesign the multifamily electric and gas programs and modify the budgets and targets
*PSC-23-12-00007-P	..... exempt	The approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility	To consider the approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility
*PSC-23-12-00009-P	..... exempt	Over earnings sharing between rate payers and shareholders	To establish an Earnings Sharing Mechanism to be applied following the conclusion of Corning's rate plan
*PSC-27-12-00012-P	..... exempt	Implementation of recommendations made in a Management Audit Report	To consider implementation of recommendations made in a Management Audit Report
*PSC-28-12-00013-P	..... exempt	Exemption of reliability reporting statistics for the purpose of the 2012 Reliability Performance Mechanism	Consideration of Orange and Rockland Utilities request for exemption of the 2012 reliability reporting statistics
*PSC-29-12-00019-P	..... exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Hamden to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-30-12-00010-P	..... exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Andes to waive certain preliminary franchising procedures to expedite the franchising process
*PSC-33-12-00009-P	..... exempt	Telecommunications companies ability to attach to utility company poles	Consideration of Tech Valley's ability to attach to Central Hudson poles
*PSC-37-12-00009-P	..... exempt	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers
*PSC-42-12-00009-P	..... exempt	Regulation of Gipsy Trail Club, Inc.'s long-term financing agreements	To exempt Gipsy Trail Club, Inc. from Commission regulation of its financing agreements
*PSC-45-12-00008-P	..... exempt	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff
*PSC-45-12-00010-P	..... exempt	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District
*PSC-50-12-00003-P	..... exempt	Affiliate standards for Corning Natural Gas Corporation	To resolve issues raised by Corning Natural Gas Corporation in its petition for rehearing
*PSC-04-13-00006-P	..... exempt	Expansion of mandatory day ahead hourly pricing for customers of Orange and Rockland Utilities with demands above 100 kW	To consider the expansion of mandatory day ahead hourly pricing for customers with demands above 100 kW

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<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-04-13-00007-P	..... exempt	Authorization to transfer certain real property.	To decide whether to approve the transfer of certain real property.
*PSC-06-13-00008-P	..... exempt	Verizon New York Inc.'s retail service quality	To investigate Verizon New York Inc.'s retail service quality
*PSC-08-13-00012-P	..... exempt	Filing requirements for certain Article VII electric facilities	To ensure that applications for certain electric transmission facilities contain pertinent information
*PSC-08-13-00014-P	..... exempt	Uniform System of Accounts - Request for Accounting Authorization	To allow the company to defer an item of expense or capital beyond the end of the year in which it was incurred
*PSC-12-13-00007-P	..... exempt	Protecting company water mains	To allow the company to require certain customers to make changes to the electrical grounding system at their homes
*PSC-13-13-00008-P	..... exempt	The potential waiver of 16 NYCRR 255.9221(d) completion of integrity assessments for certain gas transmission lines.	To determine whether a waiver of the timely completion of certain gas transmission line integrity assessments should be granted.
*PSC-17-13-00008-P	..... exempt	Provision of historical utility pricing information for comparison purposes for residential ESCO customers	Provision of historical utility pricing information for comparison purposes for residential ESCO customers
*PSC-17-13-00010-P	..... exempt	Provision of historical pricing information for comparison purposes for residential ESCO customers	Provision of historical pricing information for comparison purposes for residential ESCO customers
*PSC-18-13-00007-P	..... exempt	Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes	Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes
*PSC-21-13-00003-P	..... exempt	To consider policies that may impact consumer acceptance and use of electric vehicles	To consider and further develop policies that may impact consumer acceptance and use of electric vehicles
*PSC-21-13-00005-P	..... exempt	To implement an abandonment of Windover's water system	To approve the implementation of abandonment of Windover's water system
*PSC-21-13-00008-P	..... exempt	Rates of National Fuel Gas Distribution Corporation	To make the rates of National Fuel Gas Distribution Corporation temporary, subject to refund, if they are found to be excessive
*PSC-21-13-00009-P	..... exempt	Reporting requirements for natural gas local distribution companies	To help ensure efficient and economic expansion of the natural gas system as appropriate
*PSC-22-13-00009-P	..... exempt	On remand from New York State court litigation, determine the recovery of certain deferred amounts owed NFG by ratepayers	On remand, to determine the recovery of certain deferral amounts owed NFG from ratepayers
*PSC-23-13-00005-P	..... exempt	Waiver of partial payment, directory database distribution, service quality reporting, and service termination regulations	Equalize regulatory treatment based on level of competition and practical considerations
*PSC-25-13-00008-P	..... exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-25-13-00009-P	..... exempt	Provision by utilities of natural gas main and service lines.	To help ensure efficient and economic expansion of the natural gas system as appropriate.
*PSC-25-13-00012-P	..... exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-27-13-00014-P	..... exempt	Columbia Gas Transmission Corporation Cost Refund	For approval for temporary waiver of tariff provisions regarding its Columbia Gas Transmission Corporation cost refund.
*PSC-28-13-00014-P	..... exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-28-13-00016-P	..... exempt	The request of NGT for lightened regulation as a gas corporation.	To consider whether to approve, reject, or modify the request of Niagara gas transport of Lockport, NY LLC.
*PSC-28-13-00017-P	..... exempt	The request by TE for waiver of regulations requiring that natural gas be odorized in certain gathering line segments	Consider the request by TE for waiver of regulations that gas be odorized in certain lines
*PSC-32-13-00009-P	..... exempt	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices
*PSC-32-13-00010-P	..... exempt	Permission to write off and eliminate record keeping for regulatory reserves for Pensions and Other Post Retirement Benefits	To allow write off and eliminate record keeping of Pension and Other Post Retirement Benefits Reserves
*PSC-32-13-00012-P	..... exempt	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion
*PSC-33-13-00027-P	..... exempt	Waive underground facility requirements for new construction in residential subdivisions to allow for overhead electric lines.	Determine whether Chapin Lumberland, LLC subdivision will be allowed overhead electric distribution and service lines.
*PSC-33-13-00029-P	..... exempt	Deferral of incremental costs associated with the restoration of steam service following Superstorm Sandy.	To consider a petition by Con Edison to defer certain incremental steam system restoration costs relating to Superstorm Sandy.
*PSC-34-13-00004-P	..... exempt	Escrow account and surcharge to fund extraordinary repairs	To approve the establishment of an escrow account and surcharge
*PSC-37-13-00007-P	..... exempt	Dissolution of Garrow Water Works Company, Inc..	To allow for the dissolution of Garrow Water Works Company, Inc.
*PSC-39-13-00010-P	..... exempt	NY-Sun initiative within the Customer-Sited Tier of the RPS Program.	To increase the statewide adoption of customer sited photovoltaic solar generation through the NY-Sun Initiative.
*PSC-42-13-00013-P	..... exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-42-13-00015-P	..... exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-43-13-00015-P	..... exempt	Petition for submetering of electricity	To consider the request of 2701 Kingsbridge Terrace L.P. to submeter electricity at 2701 Kingsbridge Terrace, Bronx, N.Y.



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-45-13-00021-P	..... exempt	Investigation into effect of bifurcation of gas and electric utility service on Long Island.	To consider a Petition for an investigation into effect of bifurcation of gas and electric utility service on Long Island.
*PSC-45-13-00022-P	..... exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4)	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00023-P	..... exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00024-P	..... exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4); waiver of filing deadlines.	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00025-P	..... exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-47-13-00009-P	..... exempt	Petition for submetering of electricity.	To consider the request of Hegeman Avenue Housing L.P. to submeter electricity at 39 Hegeman Avenue, Brooklyn, N.Y.
*PSC-47-13-00012-P	..... exempt	Conditioning, restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.	Consideration of conditioning, restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.
*PSC-49-13-00008-P	..... exempt	Authorization to transfer all of Crystal Water Supply Company, Inc. stocks to Essel Infra West Inc.	To allow Crystal Water Supply Company, Inc to transfer all of its issued and outstanding stocks to Essel Infra West Inc.
*PSC-51-13-00009-P	..... exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00010-P	..... exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00011-P	..... exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-52-13-00012-P	..... exempt	The development of reliability contingency plan(s) to address the potential retirement of Indian Point Energy Center (IPEC).	To address the petition for rehearing and reconsideration/motion for clarification of the IPEC reliability contingency plan(s).
*PSC-52-13-00015-P	..... exempt	To enter into a loan agreement with the banks for up to an amount of \$94,000.	To consider allowing Knolls Water Company to enter into a long-term loan agreement.
*PSC-04-14-00005-P	..... exempt	National Fuel Gas Corporation's Conservation Incentive Programs.	To modify National Fuel Gas Corporation's Non-Residential Conservation Incentive Program.
*PSC-05-14-00010-P	..... exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-07-14-00008-P	..... exempt	Petition for submetering of electricity	To consider the request of Greater Centennial Homes HDPC, Inc. to submeter electricity at 102, 103 and 106 W 5th Street, et al.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*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-16-14-00016-P	..... exempt	Waiver of Commission regulations governing termination of service.	Consider United Water New York Inc.'s proposal to expand termination of service provisions.
*PSC-17-14-00003-P	..... exempt	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism
*PSC-17-14-00004-P	..... exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00007-P	..... exempt	To consider petitions for rehearing, reconsideration and/or clarification	To consider petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00008-P	..... exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-19-14-00014-P	..... exempt	Market Supply Charge	To make tariff revisions to the Market Supply Charge for capacity related costs
*PSC-19-14-00015-P	..... exempt	Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications	To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter
*PSC-19-14-00018-P	..... exempt	Uniform System of Accounts, deferral of an expense item	Authorization of a deferral for an expense item beyond the end of the year in which it was incurred
*PSC-22-14-00013-P	..... exempt	Petition to transfer and merge systems, franchises and assets.	To consider the Comcast and Time Warner Cable merger and transfer of systems, franchises and assets.
*PSC-23-14-00010-P	..... exempt	Whether to permit the use of the GE Dresser Series B3-HPC 11M-1480 rotary gas meter for use in industrial gas meter applications	To permit gas utilities in New York State to use the GE Dresser Series B3-HPC 11M-1480 rotary gas meter

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-23-14-00014-P	..... exempt	Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric	Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric
*PSC-24-14-00005-P	..... exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*PSC-26-14-00010-P	..... exempt	Petitioner requests an order authorizing its participation in the next Main Tier solicitation offered under the RPS Program.	To enable continued operation of a 21 MW biomass fueled electric generating facility in Chateaugay, New York.
*PSC-26-14-00013-P	..... exempt	Waiver of RG&E's tariffed definition of emergency generator.	To consider waiver of RG&E's tariffed definition of emergency generator.
*PSC-26-14-00017-P	..... exempt	Existing ratemaking and rate design practices will be revised with a focus on outcomes and incentives.	To use the Commission's ratemaking authority to foster a DER-intensive system.
*PSC-26-14-00020-P	..... exempt	New electric utility backup service tariffs and standards for interconnection may be adopted.	To encourage development of microgrids that enhance the efficiency, safety, reliability and resiliency of the electric grid.
*PSC-26-14-00021-P	..... exempt	Consumer protections, standards and protocols pertaining to access to customer data may be established.	To balance the need for the information necessary to support a robust market with customer privacy concerns.
*PSC-28-14-00014-P	..... exempt	Petition to transfer systems, franchises and assets.	To consider the Comcast and Charter transfer of systems, franchise and assets.
*PSC-30-14-00023-P	..... exempt	Whether to permit the use of the Sensus iPERL Fire Flow Meter.	Pursuant to 16 NYCRR Part 500.3 , it is necessary to permit the use of the Sensus iPERL Fire Flow Meter.
*PSC-30-14-00025-P	..... exempt	Allocation of uncommitted Technology and Market Development Funds to the Combined Heat & Power Performance Program.	To consider allocation of uncommitted Technology & Market Development Funds to the Combined Heat & Power Performance Program.
*PSC-30-14-00026-P	..... exempt	Petition for a waiver to master meter electricity.	Considering the request of Renaissance Corporation of to master meter electricity at 100 Union Drive, Albany, NY.
*PSC-31-14-00004-P	..... exempt	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross
*PSC-32-14-00012-P	..... exempt	Whether to grant or deny, in whole or in part, the Connect New York Coalition's petition	To consider the Connect New York Coalition's petition seeking a formal investigation and hearings
*PSC-34-14-00009-P	..... exempt	Whether to approve the Quadlogic S10N residential submeter.	Approval of the Quadlogic S10N Smart Meter for use in residential electric submetering is required by 16 NYCRR Parts 93 and 96.
*PSC-35-14-00004-P	..... exempt	Regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY	To consider regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY
*PSC-35-14-00005-P	..... exempt	Whether to permit the use of the Sensus iConA electric meter	Pursuant to 16 NYCRR Parts 92 and 93, Commission approval is necessary to permit the use of the Sensus iConA electric meter

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-36-14-00009-P	..... exempt	Modification to the Commission's Electric Safety Standards.	To consider revisions to the Commission's Electric Safety Standards.
*PSC-36-14-00010-P	..... exempt	The procurement of Main Tier renewable resources will become the responsibility of the State's electric utilities.	To ensure the development of large-scale renewables in New York State to promote fuel diversity and reduce carbon emissions.
*PSC-36-14-00011-P	..... exempt	To defer pension settlement losses associated with retirements in the year ended March 31, 2014.	To resolve the ratemaking of the pension settlement loss.
*PSC-38-14-00003-P	..... exempt	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.
*PSC-38-14-00004-P	..... exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.
*PSC-38-14-00005-P	..... exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-38-14-00007-P	..... exempt	Whether to expand Con Edison's low income program to include Medicaid recipients.	Whether to expand Con Edison's low income program to include Medicaid recipients.
*PSC-38-14-00008-P	..... exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.
*PSC-38-14-00010-P	..... exempt	Inter-carrier telephone service quality standard and metrics and administrative changes.	To review recommendations from the Carrier Working Group and incorporate appropriate modifications to the existing Guidelines.
*PSC-38-14-00012-P	..... exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-38-14-00018-P	..... exempt	New electric utility demand response tariffs may be adopted.	To develop mature DER markets by enabling the development and use of DR as an economic system resource.
*PSC-39-14-00020-P	..... exempt	Whether to permit the use of the Mueller Systems 400 Series and 500 Series of water meters	Pursuant to 16 NYCRR section 500.3, whether to permit the use of the Mueller Systems 400, and 500 Series of water meters
*PSC-40-14-00008-P	..... exempt	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.
*PSC-40-14-00009-P	..... exempt	Whether to permit the use of the Itron Open Way Centron Meter with Hardware 3.1 for AMR and AMI functionality.	Pursuant to 16 NYCRR Parts 93, is necessary to permit the use of the Itron Open Way Centron Meter with Hardware 3.1.
*PSC-40-14-00011-P	..... exempt	Late Payment Charge.	To modify Section 7.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-40-14-00013-P	..... exempt	Regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.	To consider regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-40-14-00014-P	..... exempt	Waiver of 16 NYCRR Sections 894.1 through 894.4(b)(2)	To allow the Town of Goshen, NY, to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-40-14-00015-P	..... exempt	Late Payment Charge.	To modify Section 6.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-42-14-00003-P	..... exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-42-14-00004-P	..... exempt	Winter Bundled Sales Service Option	To modify SC-11 to remove language relating to fixed storage charges in the determination of the Winter Bundled Sales charge
*PSC-48-14-00014-P	..... exempt	Considering the recommendations contained in Staff' s electric outage investigation report for MNRR, New Haven Line.	To consider the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.
*PSC-52-14-00019-P	..... exempt	Petition for a waiver to master meter electricity.	Considering the request of 614 South Crouse Avenue, LLC to master meter electricity at 614 South Crouse Avenue, Syracuse, NY..
*PSC-01-15-00014-P	..... exempt	State Universal Service Fund Disbursements	To consider Edwards Telephone Company's request for State Universal Service Fund disbursements
*PSC-08-15-00009-P	..... exempt	Approval of a surcharge.	To allow or disallow Emerald Green Lake Louise Marie Water Company, Inc. for a surcharge.
*PSC-08-15-00010-P	..... exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.
*PSC-10-15-00007-P	..... exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds
*PSC-10-15-00008-P	..... exempt	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes
*PSC-10-15-00009-P	..... exempt	Contingency Tariffs regarding demand response issues	To consider Contingency Tariffs regarding demand response issues
*PSC-12-15-00007-P	..... exempt	The Annual Reconciliation of Gas Expenses and Gas Cost Recoveries codified at Title 16 NYCRR Section 720.6.5	Examine the Annual Reconciliation of Gas Expenses and Gas Cost Recoveries mechanism
*PSC-13-15-00024-P	..... exempt	Whether Leatherstocking should be permitted to recover a shortfall in earnings	To decide whether to approve Leatherstocking's request to recover a shortfall in earnings
*PSC-13-15-00026-P	..... exempt	Whether to permit the use of the Sensus Smart Point Gas AMR/AMI product	To permit the use of the Sensus Smart Point Gas AMR/AMI product
*PSC-13-15-00027-P	..... exempt	Whether to permit the use of the Measurlogic DTS 310 electric submeter	To permit the use of the Measurlogic DTS 310 submeter

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-13-15-00028-P	..... exempt	Whether to permit the use of the SATEC EM920 electric meter	To permit necessary to permit the use of the SATEC EM920 electric meter
*PSC-13-15-00029-P	..... exempt	Whether to permit the use the Triacta Power Technologies 6103, 6112, 6303, and 6312 electric submeters	To permit the use of the Triacta submeters
*PSC-17-15-00007-P	..... exempt	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million
*PSC-18-15-00005-P	..... exempt	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism
*PSC-19-15-00011-P	..... exempt	Gas Safety Performance Measures and associated negative revenue adjustments	To update the performance measures applicable to KeySpan Gas East Corporation d/b/a National Grid
*PSC-22-15-00015-P	..... exempt	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)
*PSC-23-15-00005-P	..... exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-23-15-00006-P	..... exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-25-15-00008-P	..... exempt	Notice of Intent to Submeter electricity.	To consider the request of 165 E 66 Residences, LLC to submeter electricity at 165 East 66th Street, New York, New York.
*PSC-27-15-00014-P	..... exempt	Authorization for NYAW to accrue interest on internal reserve debit balances	To allow NYAW to accrue interest on internal reserve debit balances
*PSC-29-15-00018-P	..... exempt	Approval of ratemaking related to amendment a certificate of public convenience and necessity	To approve or reject the ratemaking aspects of SLG's petition to amend its certificate of public convenience and necessity
*PSC-29-15-00025-P	..... exempt	Joint Petition for authority to transfer real property located at 624 West 132nd Street, New York, NY	Whether to authorize the proposed transfer of real property located at 624 West 132nd Street, New York, NY
*PSC-32-15-00006-P	..... exempt	Development of a Community Solar Demonstration Project.	To approve the development of a Community Solar Demonstration Project.
*PSC-32-15-00012-P	..... exempt	Proposed standards for Commission oversight of Distributed Energy Resource suppliers.	To consider proposed standards for Commission oversight of Distributed Energy Resource suppliers.
*PSC-33-15-00009-P	..... exempt	Remote net metering of a demonstration community net metering program.	To consider approval of remote net metering of a demonstration community net metering program.
*PSC-33-15-00012-P	..... exempt	Remote net metering of a Community Solar Demonstration Project.	To consider approval of remote net metering of a Community Solar Demonstration Project.
*PSC-34-15-00021-P	..... exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-35-15-00014-P	..... exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
*PSC-37-15-00007-P	..... exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
*PSC-40-15-00014-P	..... exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93
*PSC-41-15-00005-P	..... exempt	Intergrow disputes National Grid's revenue assurance calculations	To consider whether the revenue assurance National Grid is requiring of Intergrow for the new interconnection is appropriate
*PSC-41-15-00009-P	..... exempt	Main Tier of the Renewable Portfolio Standard program	To consider allocating funding from the Main Tier to an eligible hydroelectric facility
*PSC-42-15-00006-P	..... exempt	Deferral of incremental expenses associated with NERC's new Bulk Electric System (BES) compliance requirements approved by FERC.	Consideration of Central Hudson's request to defer incremental expenses associated with new BES compliance requirements.
*PSC-44-15-00028-P	..... exempt	Deferral of incremental expenses associated with new compliance requirements	Consideration of Central Hudson's request to defer incremental expenses associated with new compliance requirements
*PSC-44-15-00030-P	..... exempt	System Improvement Plan mechanism	To consider Bath's petition to implement a SIP mechanism
*PSC-47-15-00013-P	..... exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
*PSC-48-15-00010-P	..... exempt	Lightened and incidental regulation of a 55 MW electric and steam generating facility.	Consider the lightened and incidental regulation of a 55 MW electric and steam generating facility.
*PSC-48-15-00011-P	..... exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
*PSC-50-15-00006-P	..... exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
*PSC-50-15-00009-P	..... exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
*PSC-51-15-00010-P	..... exempt	Modification of the EDP	To consider modifying the EDP
*PSC-01-16-00002-P	..... exempt	Revenue assurance calculations	To consider whether the revenue assurance National Grid is requiring of Tiashoke for the upgraded service is appropriate
*PSC-01-16-00005-P	..... exempt	Proposed amendment to Section 5, Attachment 1.A of the Uniform Business Practices	To consider amendment to Section 5, Attachment 1.A of the Uniform Business Practices
*PSC-04-16-00007-P	..... exempt	Whether Hamilton Municipal Utilities should be permitted to construct and operate a municipal gas distribution facility.	Consideration of the petition by Hamilton Municipal Utilities to construct and operate a municipal gas distribution facility.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-04-16-00011-P	..... exempt	Investigation that certain practices of Central Hudson Gas and Electric Corporation resulted in violations of HEFPA.	To consider the Petition of Nobody Leaves Mid-Hudson to investigate Central Hudson for claims of HEFPA violations.
*PSC-04-16-00012-P	..... exempt	Proposal to mothball three gas turbines located at the Astoria Gas Turbine Generating Station.	Consider the proposed mothball of three gas turbines located at the Astoria Gas Turbine Generating Station.
*PSC-04-16-00013-P	..... exempt	Proposal to find that three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.	Consider whether three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.
*PSC-06-16-00010-P	..... exempt	Lakewood disputes National Grid's revenue assurance calculations, specifically the duration used.	To consider whether the revenue assurance National Grid is requiring of Lakewood for the new interconnection is appropriate.
*PSC-06-16-00012-P	..... exempt	Inclusion of a Farm and Food Community program in the community distributed generation program.	To consider the inclusion of a Farm and Food Community program in the community distributed generation program.
*PSC-06-16-00013-P	..... exempt	Continued deferral of approximately \$16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately \$16,000,000 in site investigation and remediation costs.
*PSC-06-16-00014-P	..... exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.
*PSC-07-16-00016-P	..... exempt	Use of the Electro Industries Shark 200 electric submeter in residential applications	To consider the use of the Electro Industries Shark 200 submeter
*PSC-14-16-00008-P	..... exempt	Resetting retail markets for ESCO mass market customers.	To ensure consumer protections with respect to residential and small non-residential ESCO customers.
*PSC-15-16-00012-P	..... exempt	Adequate service of Verizon New York, Inc.	To consider the adequacy of Verizon New York Inc.'s service quality
*PSC-18-16-00013-P	..... exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00014-P	..... exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00015-P	..... exempt	Petitions for rehearing of the Order Resetting Retail Energy Markets and Establishing Further Process.	To ensure consumer protections for ESCO customers.
*PSC-18-16-00016-P	..... exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00018-P	..... exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-20-16-00008-P	..... exempt	Consideration of consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).	To consider consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).
*PSC-20-16-00010-P	..... exempt	Deferral and recovery of incremental expense.	To consider deferring costs of conducting leak survey and repairs for subsequent recovery.



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-20-16-00011-P	..... exempt	Enetics LD-1120 Non-Intrusive Load Monitoring Device in the Statewide Residential Appliance Metering Study.	To consider the use of the Enetics LD-1120 Non-Intrusive Load Monitoring Device.
*PSC-22-16-00011-P	..... exempt	Petition for rehearing of the Order Modifying Standardized Interconnection Requirements and alternative enforcement mechanisms.	To ensure compliance with the Standardized Interconnection Requirements.
*PSC-22-16-00013-P	..... exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
*PSC-24-16-00009-P	..... exempt	Petition to submeter gas service.	To consider the Petition of New York City Economic Development Corp. to submeter gas at Pier 17, 89 South Street, New York, NY.
*PSC-25-16-00009-P	..... exempt	To delay Companies' third-party assessments of customer personally identifiable information until 2018.	To extend the time period between the Companies' third-party assessments of customer personally identifiable information.
*PSC-25-16-00024-P	..... exempt	Pole Attachment Rules.	To determine that the Commission's existing pole attachment rules apply to wireless providers.
*PSC-25-16-00025-P	..... exempt	Acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.	To consider acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.
*PSC-25-16-00026-P	..... exempt	Use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter, in residential fire service applications.	To consider the use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter in fire service applications.
*PSC-28-16-00017-P	..... exempt	A petition for rehearing of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.
*PSC-29-16-00024-P	..... exempt	Participation of NYPA customers in surcharge-funded clean energy programs.	To consider participation of NYPA customers in surcharge-funded clean energy programs.
*PSC-29-16-00025-P	..... exempt	Proposed modifications to gas safety violations metric adopted in Case 12-G-0202.	To consider NMPC's petition to modify gas safety violations metric.
*PSC-32-16-00012-P	..... exempt	Benefit-Cost Analysis Handbooks.	To evaluate proposed methodologies of benefit-cost evaluation.
*PSC-33-16-00001-EP	..... exempt	Use of escrow funds for repairs.	To authorize the use of escrow account funds for repairs.
*PSC-33-16-00005-P	..... exempt	Exemption from certain charges for delivery of electricity to its Niagara Falls, New York facility.	Application of System Benefits Charges, Renewable Portfolio Standard charges and Clean Energy Fund surcharges.
*PSC-34-16-00005-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00006-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00008-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-34-16-00009-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00010-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00011-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00012-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00013-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00015-P	..... exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-35-16-00015-P	..... exempt	NYSRC's revisions to its rules and measurements	To consider revisions to various rules and measurements of the NYSRC
*PSC-36-16-00003-P	..... exempt	Petition regarding the Commission's July 14, 2016 Order Denying Petition.	To consider the terms and conditions of utility service received by Fastrac Markets, LLC.
*PSC-36-16-00004-P	..... exempt	Recovery of costs for installation of electric service.	To consider the recovery of costs for installation of electric service.
*PSC-40-16-00013-P	..... exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
*PSC-40-16-00014-P	..... exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
*PSC-40-16-00015-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 175 Huguenot Street, New Rochelle, New York.
*PSC-40-16-00017-P	..... exempt	Request for waiver of 16 NYCRR sections 96.5(a) and 96.6(b)	To consider the request for waiver of 16 NYCRR sections 96.5(a) and 96.6(b)
*PSC-40-16-00018-P	..... exempt	Petition for commercial electric meter.	To consider the petition to use the Itron OpenWay Riva commercial meter in electric metering applications.
*PSC-40-16-00019-P	..... exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
*PSC-40-16-00020-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 501 Broadway Troy, LLC to submeter electricity at 501 Broadway, Troy, New York.
*PSC-40-16-00021-P	..... exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
*PSC-40-16-00025-P	..... exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Smart One for its apparent non-compliance with Commission requirements.
*PSC-40-16-00026-P	..... exempt	Compliance filing establishing an interruptible gas service sales rate.	To consider RG&E's proposed revisions to establish an interruptible gas service sales rate.
*PSC-42-16-00014-P	..... exempt	Proposed Public Policy Transmission Needs/ Public Policy Requirements, as defined under the NYISO tariff.	To identify any proposed Public Policy Transmission Needs/Public Policy Requirements for referral to the NYISO.
*PSC-44-16-00015-P	..... exempt	Surcharge to recover costs of Dynamic Load Management Programs	To consider a surcharge to recover costs of the Dynamic Load Management Programs
*PSC-45-16-00008-P	..... exempt	Petition to use a commercial electric meter.	To consider the petition to use the Landis+Gyr S4X Commercial Meter with Gridstream Series 5 RF Mesh IP AMI.
PSC-47-16-00009-P	..... exempt	Petition to use commercial electric meters	To consider the petition of Itron, Inc. to use the Itron CP2SO and CP2SOA in commercial electric meter applications
PSC-47-16-00010-P	..... exempt	Standby Service rate design	To consider the report filed and the recommendations therein
PSC-47-16-00013-P	..... exempt	Standby Service rate design	To consider the report filed and the recommendations therein
PSC-47-16-00014-P	..... exempt	Standby Service rate design	To consider the report filed and the recommendations therein
PSC-47-16-00016-P	..... exempt	Standby Service rate design	To consider the report filed and the recommendations therein
PSC-49-16-00005-P	..... exempt	Waiver of certain rules and requirements pertaining to cable television franchise.	To determine whether to waive any regulations.
PSC-01-17-00018-P	..... exempt	The addition of Company-owned LED options under SC No. 1 - Street Lighting Service	To consider the addition of Company-owned LED lighting options for customers served under SC No. 1
PSC-01-17-00022-P	..... exempt	The addition of Company-owned LED options under SC No. 3 - Standard Street Lighting Service	To consider the addition of Company-owned LED lighting options for customers served under SC No. 3
PSC-02-17-00010-P	..... exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for RG&E.
PSC-02-17-00012-P	..... exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for NYSEG.
PSC-03-17-00003-P	..... exempt	Good Energy, L.P.'s Community Choice Aggregation Implementation Plan and Data Protection Plan.	To ensure appropriate consumer protections.
PSC-07-17-00019-P	..... exempt	Deferral and recovery of incremental costs	To consider deferring costs related to water main leak repairs for subsequent recovery

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-08-17-00007-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 327 Central Park West, New York, New York.
PSC-12-17-00012-P	..... exempt	Amendments to the UBP.	To consider amendments to the UBP.
PSC-12-17-00017-P	..... exempt	Amendments to the UBP.	To consider the petition for amendments to the UBP.
PSC-14-17-00016-P	..... exempt	Waiver to the prohibition on service to low-income customers by ESCOs..	To consider the petition for a waiver to the prohibition on service to low-income customers by ESCOs.
PSC-14-17-00017-P	..... exempt	Petition for Full-Scale Deployment of AMI and to Establish an AMI Surcharge.	To consider the petition for Full-Scale Deployment of AMI and to Establish an AMI Surcharge.
PSC-18-17-00024-P	..... exempt	A petition for rehearing or reconsideration of the Order Addressing Public Policy Transmission Need for AC Transmission Upgrades	To determine whether Public Policy Transmission Need/Public Policy Requirements continue to exist.
PSC-18-17-00025-P	..... exempt	A petition for rehearing or reconsideration of the Order on Remand Denying Refunds.	To determine whether IPANY and individual pay telephone providers are entitled to refunds from Verizon New York Inc.
PSC-18-17-00026-P	..... exempt	Revisions to the Dynamic Load Management surcharge.	To consider revisions to the Dynamic Load Management surcharge.
PSC-18-17-00027-P	..... exempt	A petition for rehearing or clarification of the March 9, 2017 Order.	To determine appropriate treatment of submetered energy users in community distributed generation programs.
PSC-18-17-00028-P	..... exempt	A petition for rehearing, reconsideration, or clarification of the March 9, 2017 Order.	To determine appropriate treatment of environmental attributes related to distributed energy resources.
PSC-18-17-00031-P	..... exempt	Notice of Intent to submeter electricity and waiver of energy audit requirement.	To consider the Notice of Intent to submeter electricity at 1328 Fulton Street, Brooklyn, NY and waiver of 16 NYCRR § 96.5(k)(3).
PSC-18-17-00033-P	..... exempt	Use of the ROMET AdEM-T volumetric corrector.	To consider the use of the ROMET AdEM-T volumetric corrector.
PSC-18-17-00034-P	..... exempt	Use of the ROMET AdEM-PTZ volumetric corrector.	To consider the use of the ROMET AdEM-PTZ volumetric corrector.
PSC-19-17-00004-P	..... exempt	NYAW's request to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2016.	Consideration of NYAW's petition to defer and amortize, for future rate recognition, pension 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-20-17-00011-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of FreeWythe, LLC to submeter electricity at 60 South 2nd Street, Brooklyn, New York.



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-21-17-00012-P	..... exempt	Compensation for distributed generation systems located at farms.	To consider appropriate compensation and policies for distributed generation systems located at farms.
PSC-21-17-00013-P	..... exempt	The establishment and implementation of Earnings Adjustment Mechanisms.	To consider the establishment and implementation of Earnings Adjustment Mechanisms.
PSC-21-17-00015-P	..... exempt	Expansion of Energy Efficiency and Advanced Metering Infrastructure Programs, and implementation of NWA framework.	To consider expanded Energy Efficiency and AMI programs and framework for implementing NWA projects and related cost recovery.
PSC-21-17-00018-P	..... exempt	Proposed agreement for the provision of water service by Saratoga Water Services, Inc.	To consider a waiver and approval of terms of a service agreement.
PSC-22-17-00004-P	..... exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives	To consider the proposed Interconnection Survey Process and Earnings Adjustment Mechanisms
PSC-22-17-00006-P	..... exempt	Revisions to the delivery discount and monthly customer charge for SC No. 3 and the commodity price for SC 15	To consider revisions to the delivery discount and monthly customer charge for SC No. 3 and the commodity price for SC 15
PSC-22-17-00007-P	..... exempt	Certain Commission requirements related to blockable central office codes	To consider a change to certain Commission requirements related to blockable central office codes
PSC-22-17-00008-P	..... exempt	Petition to submeter electricity and waiver request	To consider the petition to submeter electricity at 412-14 East 10th Street, New York, New York and waiver of 16 NYCRR § 96.2(b)
PSC-23-17-00019-P	..... exempt	Clean Energy Standard	To promote and maintain renewable and zero-emission electric energy resources
PSC-23-17-00021-P	..... exempt	Petition to transfer cable systems.	To consider Nicholville et. al.'s request to transfer cable systems in an internal restructuring.
PSC-23-17-00022-P	..... exempt	Changes in regulation of ESCOs, including restrictions on or prohibitions of marketing or offering certain products or services.	To ensure consumer protection for ESCO customers.
PSC-24-17-00006-P	..... exempt	Development of the Utility Energy Registry.	Improved data access.
PSC-24-17-00010-P	..... exempt	Petition to submeter electricity.	To consider the petition of Bay View Home Association, Inc. to submeter electricity at 671 47th Street Brooklyn, New York.
PSC-24-17-00014-P	..... exempt	An alternative methodology for calculating billing adjustments.	To consider an alternative methodology for calculating billing adjustments.
PSC-24-17-00016-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 56 Leonard Street Condominium to submeter electricity at 56 Leonard Street, New York, NY.
PSC-25-17-00005-P	..... exempt	Minor rate filing	To consider an increase in annual revenues by \$154,329 or 116%
PSC-25-17-00006-P	..... exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of The Charles Condominiums, LLC to submeter electricity at 1355 First Avenue, New York, NY

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-26-17-00005-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 125 Waverly Street, Yonkers, New York.
PSC-27-17-00012-P	..... exempt	Conclusion of the Energy Efficiency Portfolio Standard programs.	To address the conclusion of EEPS programs, award EEPS 1 and 2 shareholder incentives, and remediate EEPS 1 overspending.
PSC-27-17-00013-P	..... exempt	Issuance by Corning Natural Gas of long-term indebtedness.	To consider Corning to issue long-term indebtedness in the amount of \$44,064,353.
PSC-27-17-00014-P	..... exempt	Major electric rate filing.	To consider an increase in NMPC's electric delivery revenues by approximately \$326 million (or 13.0% in total revenues).
PSC-27-17-00017-P	..... exempt	Major gas rate filing.	To consider an increase in NMPC's gas delivery revenues by approximately \$81 million (14.0% in total revenues).
PSC-28-17-00008-P	..... exempt	FASB update on pension and OPEB net periodic costs	To consider whether to adopt the FASB update
PSC-29-17-00006-P	..... exempt	Petition to submeter gas.	To consider the petition of LaGuardia Gateway Partners, to submeter gas at LaGuardia Airport Central Terminal B, Flushing, NY.
PSC-30-17-00030-P	..... exempt	Time of Use Rates.	To consider the establishment of a new TOU rate for customers not currently taking service under Central Hudson's TOU rate.
PSC-30-17-00031-P	..... exempt	Proposed tariff filing to implement electric rate options on a pilot basis for the Energy Smart Community Project.	To consider tariff revisions implementing electric rate options on a pilot basis for the Energy Smart Community Project.
PSC-31-17-00007-P	..... exempt	Notice of intent to submeter electricity	To consider the notice of intent of 685 First Realty Company, LLC to submeter electricity at 685 1st Avenue, New York, New York
PSC-31-17-00008-P	..... exempt	Petition to submeter electricity and waiver request.	To consider the petition to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3).
PSC-31-17-00009-P	..... exempt	Issuance of promissory notes	To consider the petition of National Fuel Gas Distribution Corp. to issue up to \$400 million in promissory notes
PSC-31-17-00010-P	..... exempt	Notice of intent to submeter electricity	To consider the notice of intent of 11737 Owners Corp. to submeter electricity at 117 East 37th Street, New York, New York
PSC-31-17-00011-P	..... exempt	Notice of intent to submeter electricity and waiver request	To consider the notice of intent to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3)
PSC-31-17-00012-P	..... exempt	Minor rate filing.	To consider an increase in annual revenues of about \$304,629 or 14%.
PSC-32-17-00006-P	..... exempt	Petition to amend bill estimation procedures for AMI.	To consider the petition of Con Edison to amend its current bill estimation procedures for AMI.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-32-17-00007-P	..... exempt	Petition to amend bill estimation procedures for AMI.	To consider the petition of Orange and Rockland to amend its current bill estimation procedures for AMI.
PSC-32-17-00008-P	..... exempt	Consideration of the National Grid companies' Implementation Plan and audit recommendations.	To consider the National Grid companies' Implementation Plan.
PSC-32-17-00009-P	..... exempt	Pilot project, request to include capital costs in rate base and deferral of incremental expense.	To consider the pilot project, request to include capital costs in rate base and deferral of incremental expense.
PSC-32-17-00010-P	..... exempt	Consideration of NFGD's Implementation Plan and audit recommendations.	To consider NFGD's Implementation Plan.
PSC-32-17-00011-P	..... exempt	Minor rate filing.	To consider an increase in annual revenues of about \$625,974 or 14.6%.
PSC-32-17-00012-P	..... exempt	Consideration of O&R's Implementation Plan and audit recommendations.	To consider O&R's Implementation Plan.
PSC-32-17-00013-P	..... exempt	Consideration of NYSEG and RG&E's Implementation Plan and audit recommendations.	To consider the NYSEG and RG&E Implementation Plan.
PSC-32-17-00014-P	..... exempt	Consideration of Central Hudson's Implementation Plan and audit recommendations.	To consider Central Hudson's Implementation Plan.
PSC-32-17-00015-P	..... exempt	Consideration of Con Edison's Implementation Plan and audit recommendations.	To consider Con Edison's Implementation Plan.
PSC-32-17-00016-P	..... exempt	Initial Tariff Schedule and escrow account which includes rates, charges, rules and regulations for water service.	To consider the proposed Initial Tariff Schedule, initial rate, and escrow account.
PSC-33-17-00012-P	..... exempt	Notice of intent to submeter electricity.	To consider the notice of intent of BOP Greenpoint G LLC to submeter electricity at 37 Blue Slip, Brooklyn, New York.
PSC-33-17-00013-P	..... exempt	The obligation of electric utilities to pay for the extension of electric service to residential developments.	To consider if National Grid should change its practices and compensate the petitioners for past charges.
PSC-33-17-00015-P	..... exempt	Electric energy storage systems to import from and export to Con Edison's distribution system.	To consider revisions to P.S.C. No. 10 - Electricity related to electric energy storage systems.
PSC-33-17-00016-P	..... exempt	Gas service to power generators.	To consider proposals in the report regarding service to power generators and related proposed tariff revisions.
PSC-33-17-00017-P	..... exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Bridge Land Vestry LLC to submeter electricity at 70 Vestry Street, New York, New York.
PSC-33-17-00018-P	..... exempt	Notice of intent to submeter electricity.	To consider the notice of intent to submeter electricity at 242 West 53rd Street, New York, New York.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-33-17-00019-P	..... exempt	Petition to submeter electricity.	To consider the petition of 225 East 74th Apartments Corp. to submeter electricity at 225 East 74th Street New York, New York.
PSC-33-17-00020-P	..... exempt	Gas service to power generators.	To consider proposals in the report regarding service to power generators and related proposed tariff revisions.
PSC-33-17-00021-P	..... exempt	Notice of intent to submeter electricity.	To consider the notice of intent of 1 DSA Owner LLC to submeter electricity at 242 Broome Street, New York, New York.
PSC-34-17-00005-P	..... exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's electric and gas portfolios for the years 2017-2020
PSC-34-17-00006-P	..... exempt	Proposed gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's gas portfolio for the years 2017-2020
PSC-34-17-00007-P	..... exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Companies' electric and gas portfolios for 2019-2020
PSC-34-17-00008-P	..... exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's electric and gas portfolios for 2019-2020
PSC-34-17-00009-P	..... exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's electric and gas portfolios for the years 2018-2020
PSC-34-17-00011-P	..... exempt	Waiver to permit Energy Cooperative of America to serve low-income customers	To consider the petition for a waiver
PSC-34-17-00012-P	..... exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's electric and gas portfolios for the years 2017-2020
PSC-34-17-00013-P	..... exempt	Proposed gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's gas portfolio for the years 2017-2020
PSC-34-17-00014-P	..... exempt	Proposed gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's gas portfolio for the years 2017-2020
PSC-34-17-00015-P	..... exempt	Notice of intent to submeter electricity	To consider the notice of intent to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3)
PSC-34-17-00016-P	..... exempt	Proposed transfer of ownership interests in the James A. FitzPatrick Nuclear Power Plant and related assets	To consider the proposed transfer of ownership interests in the James A. FitzPatrick Nuclear Power Plant and related assets
PSC-34-17-00017-P	..... exempt	Use of the Honeywell Mercury EC350 volumetric corrector in gas metering applications	To consider the use of the Honeywell Mercury EC350 volumetric corrector in gas metering applications
PSC-34-17-00018-P	..... exempt	Use of the Artech UCE-7, URJ-17, VCE-17 and CRB-17 transformers in electric metering applications	To consider the use of the Artech UCE-7, URJ-17, VCE-17 and CRB-17 transformers in electric metering applications



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-34-17-00019-P	..... exempt	Development of an aggregation standard for release of whole-building energy data to building owners	Improved energy data access to support state energy efficiency and demand reduction goals
PSC-36-17-00008-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 233 Landing Road, Bronx, New York and waiver request.
PSC-36-17-00009-P	..... exempt	Clarification of the Commission's Order Extending the BQDM Program.	To consider Con Edison's petition for clarification of the Commission's Order Extending BQDM Program.
PSC-36-17-00010-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of The Heritage Dean Street, LLC, to submeter electricity at 470 Dean St, Brooklyn, New York.
PSC-36-17-00011-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 229 Cherry Street, New York, New York and waiver request.
PSC-36-17-00012-P	..... exempt	Petition to amend bill estimation procedures for AMI.	To consider the petition of Con Edison to amend its current bill estimation procedures for AMI.
PSC-36-17-00013-P	..... exempt	Clarification of Weather Normalization Adjustment language.	To consider clarification of Weather Normalization Adjustment language.
PSC-37-17-00004-P	..... exempt	Community Distributed Generation compensation after Tranche 3.	To encourage the development of distributed energy resources while managing impacts on non-participants.
PSC-37-17-00005-P	..... exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives.	To consider the revised Interconnection Survey Process and Earnings Adjustment Mechanisms.
PSC-37-17-00006-P	..... exempt	Petition to submeter electricity.	To consider the petition of ACC OP (Park Point SU) LLC to submeter electricity at 417 Comstock Avenue, Syracuse, New York.
PSC-37-17-00007-P	..... exempt	Lifeline Service that offers a discounted rate to service to qualifying low income consumers.	To consider changes to the Commission's requirements related to eligibility for the supplemental New York Lifeline discount.
PSC-37-17-00008-P	..... exempt	Petition to move room air conditioning programs to Rider L, make changes to Rider L and continue the Connected Devices Pilot.	To consider Con Edison's proposals made by the petition and accompanying tariff filing.
PSC-37-17-00009-P	..... exempt	Fishers Island Water Works Corporation's rates for the provision of water.	To consider an increase in Fishers Island Water Works Corporation's annual water revenues by approximately \$296,031 or 44.5%.
PSC-37-17-00010-P	..... exempt	Revisions to electric and gas Sales or Delivery Service Application for Non-Residential Customers.	To consider revisions to its electric and gas Sales or Delivery Service Application for Non-Residential Customers.
PSC-39-17-00007-P	..... exempt	Rider Q - Standby Rate Pilot.	To consider the implementation of Rider Q - Standby Rate Pilot.
PSC-39-17-00008-P	..... exempt	Petition to submeter electricity and waiver request.	To consider the petition to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3).

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-39-17-00009-P	..... exempt	Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest.	To consider the terms of a service agreement and waiver.
PSC-39-17-00010-P	..... exempt	Waiver of certain rules and requirements pertaining to cable television franchise.	To determine whether to waive any regulations.
PSC-39-17-00011-P	..... exempt	Whether to direct New York State Electric & Gas to complete electric facility upgrades at no charge to Hanehan.	To determine financial responsibility between NYSEG and Hanehan for the electric service upgrades to Hanehan.
PSC-40-17-00004-P	..... exempt	Notice of intent to submeter electricity and waiver request	To consider the notice of intent to submeter electricity and waiver of 16 NYCRR § 96.5(k)(3)
PSC-40-17-00005-P	..... exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP)	To consider whether to impose consequences on Flanders for its apparent non-compliance with Commission requirements
PSC-40-17-00006-P	..... exempt	The aggregation of electric service for the Empire State Plaza and the Sheridan Avenue Steam Plant	To consider a waiver of National Grid's tariff provision requiring all electric delivery points to be on the same premises
PSC-40-17-00007-P	..... exempt	Notice of intent to submeter electricity	To consider the notice of intent of CPS Fee Company LLC to submeter electricity
PSC-40-17-00008-P	..... exempt	Proposed transfer of interests in Danskammer, issuance of long-term debt by owner and continuing lightened regulation	To consider proposed transfer of interests in Danskammer, issuance of long-term debt and continuing lightened regulation
PSC-40-17-00009-P	..... exempt	Petition to issue and sell unsecured debt obligations	To consider Orange and Rockland's request to issue and sell unsecured debt obligations
PSC-40-17-00010-P	..... exempt	Eligibility for Value of Distributed Energy Resource tariffs	To encourage the development of distributed energy resources while managing impacts on non-participants
PSC-41-17-00003-P	..... exempt	Petition to submeter electricity.	To consider the petition of Hillside Association, Inc. to submeter electricity at 566 44th Street, Brooklyn, New York.
PSC-41-17-00005-P	..... exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Sandy 350 LLC to submeter electricity at 350 Clarkson Avenue, Brooklyn, New York.
PSC-41-17-00006-P	..... exempt	Major electric rate filing.	To consider an increase in CHG&E's electric delivery revenues by approximately \$43 million (or 7.9% in total revenues).
PSC-41-17-00007-P	..... exempt	Major gas rate filing.	To consider an increase in CHG&E's gas delivery revenues by approximately \$18.1 million (or 12.3% in total revenues).
PSC-41-17-00008-P	..... exempt	Petition to submeter electricity.	To consider the petition of 1115 Fifth Avenue Corporation to submeter electricity at 1115 Fifth Avenue, New York, New York.
PSC-42-17-00004-P	..... exempt	NYSRC's revisions to its rules and measurements.	To consider revisions to various rules and measurements of the NYSRC.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-42-17-00005-P	..... exempt	Complaint for review of rates charged for water service to commercial and residential customers of water works corporation.	To consider the complaint filed on January 3, 2017 by Bristol customers.
PSC-42-17-00006-P	..... exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 45 John NY LLC to submeter electricity at 45 John Street, New York, New York.
PSC-42-17-00007-P	..... exempt	Ampersand Kayuta Lake Hyrdo, LLC's 460 kW hydroelectric facility in Boonville, New York.	To promote and maintain renewable electric energy resources.
PSC-42-17-00008-P	..... exempt	Ampersand Chasm Falls Hydro, LLC's 1.6 MW hydroelectric facility in Chateaugay, New York	To promote and maintain renewable electric energy resources.
PSC-42-17-00009-P	..... exempt	To obtain a letter of credit and increase the currently capped debt.	To consider the Petitioner's request for a letter of credit and increase the currently capped debt.
PSC-42-17-00010-P	..... exempt	Petition for rehearing of negative revenue adjustment and contents of annual Performance Report.	To consider NFGD's petition for rehearing.
PSC-43-17-00003-P	..... exempt	Notice of intent to submeter electricity and waiver request	To consider the notice of intent to submeter electricity and waiver request
PSC-43-17-00004-P	..... exempt	ReEnergy Lyonsdale, LLC's 22 MW biomass facility located in Lewis County, New York	To promote and maintain renewable electric energy resources
PSC-44-17-00011-P	..... exempt	Implementation of program rules for Renewable Energy Standard (RES) and Zero-Emission Credit (ZEC) requirement.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-45-17-00004-P	..... exempt	Interval data charges for ESCOs.	To consider the elimination of interval data charges for ESCOs.
PSC-45-17-00005-P	..... exempt	Existing baseline resources under Tier 2 of the Renewable Energy Standard Program.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-45-17-00006-P	..... exempt	Arrow Park, Inc.'s rates for the provision of water.	To consider an increase in Arrow Park, Inc.'s annual water revenues by approximately \$11,200 or 62.06%.
PSC-45-17-00007-P	..... exempt	Request for waiver of the individual metering requirements of 16 NYCRR Part 96.	To consider the request for waiver of the individual metering requirements of 16 NYCRR Part 96.
PSC-45-17-00008-P	..... exempt	Major water rate filing.	To consider an increase in SUEZ O-N's annual revenue requirement by approximately \$600,000, or 33.4%.
PSC-46-17-00004-P	..... exempt	Drift Marketplace, Inc.'s petition for rehearing	To consider the petition for rehearing filed by Drift Marketplace, Inc.
PSC-46-17-00005-P	..... exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
PSC-46-17-00006-P	..... exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>PUBLIC SERVICE COMMISSION</b>			
PSC-46-17-00007-P	..... exempt	Petition to issue unsecured debt obligations	To consider the Company's request to issue unsecured debt obligations
PSC-46-17-00008-P	..... exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP)	To consider whether to impose consequences on MPower for its apparent non-compliance with Commission requirements
PSC-46-17-00009-P	..... exempt	Requirements pertaining to inspections and reporting on plastic fusions installed in gas company service territories	To clarify prior requirements and establish new requirements for plastic fusion qualifications and inspections
PSC-46-17-00010-P	..... exempt	Compliance with plastic fusion requirements	To consider requiring NFG to comply with current and new plastic fusion requirements and report compliance failures
PSC-46-17-00011-P	..... exempt	M&R Energy Resource Corp.'s petition for rehearing	To consider the petition for rehearing filed by M&R Energy Resource Corp.
PSC-46-17-00012-P	..... exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
PSC-46-17-00013-P	..... exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	To consider filings of LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
PSC-46-17-00014-P	..... exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
PSC-47-17-00010-P	..... exempt	Con Edison's petition for approval of the Smart Solutions for Natural Gas Customers Program.	To consider Con Edison's multi-solution strategy to decrease gas usage and procure alternative resources.
PSC-48-17-00011-P	..... exempt	Petition to submeter electricity and waiver request.	To consider the petition to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3).
PSC-48-17-00012-P	..... exempt	The extension of the compensation term for certain community distributed generation projects.	To determine the appropriate compensation term for certain community distributed generation projects.
PSC-48-17-00013-P	..... exempt	VDER Tranche allocations and policies.	To consider modifications to VDER Tranche allocations and policies.
PSC-48-17-00014-P	..... exempt	The SATEC Branch Feeder Monitor II electric submeter.	To consider the SATEC Branch Feeder Monitor II electric submeter for use in New York State.
PSC-48-17-00015-P	..... exempt	Low Income customer options for affordable water bills.	To consider the Low Income Bill Discount and/or Energy Efficiency Rebate Programs.
PSC-48-17-00016-P	..... exempt	Petition for rehearing of the Commission order.	To consider New Rochelle Home Owners Association's petition for rehearing.
PSC-48-17-00017-P	..... exempt	To issue long-term indebtedness, preferred stock and hybrid securities and to enter into derivative instruments.	To consider New York State Electric & Gas Corporation's finance transactions.
PSC-48-17-00018-P	..... exempt	Transfer of certain street lighting facilities.	To consider the transfer of certain street lighting facilities from NYSEG to the Town of Bedford.



Agency I.D. No.	Expires	Subject Matter	Purpose of Action
<b>STATE, DEPARTMENT OF</b>			
DOS-30-17-00001-P	07/26/18	Esthetics curriculum and waxing procedures	To update the qualifying curriculum for esthetics and ensure that waxing procedures are safe and sanitary.
DOS-31-17-00005-P	08/02/18	Continuing education requirements	To amend the education requirements to include 1 hour of instruction on telecoil (t-coil) and other assistive listening devices
DOS-32-17-00002-P	08/09/18	Alarm installation, servicing and maintenance	Update current regulations for industry improvement and to make technical changes to existing text
DOS-42-17-00002-P	10/18/18	Appraisal Standards	To adopt the 2018-2019 edition of the Uniform Standards of Professional Appraisal Practice
<b>STATE UNIVERSITY OF NEW YORK</b>			
SUN-06-17-00003-P	02/08/18	proposed amendments to traffic and parking regulations at SUNY Binghamton	Amend existing regulations to update traffic and parking regulations
SUN-30-17-00024-P	07/26/18	The governance, structure and operations of SUNY authorized charter schools pertaining to teacher compliance	Provide alternative teacher certification compliance pathways for SUNY charter schools with strong student performance.
<b>TAXATION AND FINANCE, DEPARTMENT OF</b>			
TAF-37-17-00002-P	09/13/18	Reference to forms required to file a petition or an exception with the Division of Tax Appeals	To delete parenthetical references to form numbers that are no longer in use, as the agency has updated and renumbered its forms
TAF-48-17-00004-P	exempt	Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith.	To set the sales tax component and the composite rate per gallon for the period January 1, 2018 through March 31, 2018.
<b>TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF</b>			
TDA-35-17-00005-P	08/30/18	Application process for the Supplemental Nutrition Assistance Program (SNAP)	To align State regulations for SNAP application process with federal statutory and regulatory requirements and SNAP policy
TDA-39-17-00005-P	09/27/18	Public Assistance (PA) budgetary method	To update State regulations governing treatment of income in excess of standard of need in PA households, consistent with SSL § 131-n(1).
TDA-40-17-00002-P	10/04/18	Support obligations	To amend State regulations concerning support obligations to reflect federal statutory requirements and current terminology used by the child support program, and to conform regulatory citations with federal and State laws
<b>WORKERS' COMPENSATION BOARD</b>			
WCB-36-17-00015-RP	09/06/18	Permanent Impairment Guidelines for Schedule Loss of Use Determinations	Incorporate Workers' Compensation Impairment Guidelines for determination of permanent impairment



# SECURITIES OFFERINGS

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## STATE NOTICES

Published pursuant to provisions of General Business Law  
[Art. 23-A, § 359-e(2)]

## DEALERS; BROKERS

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7th Street Capital 285, LLC  
c/o National Realty Investment Advisors, LLC, 1325 Paterson Plank  
Rd., 2nd Fl., Secaucus, NJ 07094  
*State or country in which incorporated* — New York limited liability  
company

14 Dubawi/Daryakana, LLC  
800 Arbor Dr. N, Louisville, KY 40223

16 Declaration of War/Eagle Sound, LLC  
800 Arbor Dr. N, Louisville, KY 40223

16 Into Mischief/Maries Rose, LLC  
800 Arbor Dr. N, Louisville, KY 40223

16 Noble Mission/Cast Call, LLC  
800 Arbor Dr. N, Louisville, KY 40223

100 Oglethorpe, LLC  
181 Main St., Suite 4, Huntington, NY 11743  
*State or country in which incorporated* — Georgia

Beecken Petty O'Keefe Fund V, L.P.  
131 S. Dearborn St., Suite 2800, Chicago, IL 60603  
*Partnership* — Beecken Petty O'Keefe & Company V, L.P.

Beecken Petty O'Keefe Fund V-A, L.P.  
131 S. Dearborn St., Suite 2800, Chicago, IL 60603  
*Partnership* — Beecken Petty O'Keefe & Company V, L.P.

BTCS, Inc.  
9466 Georgia Ave., #124, Suite 700, Silver Spring, MD 20901  
*State or country in which incorporated* — Nevada

Bravais Capital, L.L.C.  
332 Forest Ave., Suite 8, Palo Alto, CA 94301

Delaware River Solar, LLC  
33 Irving Place, New York, NY 10003

Encore CPG Holdings, LP  
1110 Santa Monica Blvd., Suite 265, Los Angeles, CA 90025  
*Partnership* — Encore CPG Holdings GP, LLC

Falconhead Multi-Flow Investors, LLC  
645 Madison Ave., Fl. 9, New York, NY 10022  
*State or country in which incorporated* — Delaware limited liability  
company

Fitler Club Holdings, Inc.  
254 S. 24th St., Philadelphia, PA 19103

Fort Baker Special Opportunities, SPC Segregated Portfolio B  
700 Larkspur Landing Circle, Suite 275, Larkspur, CA 94939  
*State or country in which incorporated* — Cayman Islands

FS Investment Solutions, LLC  
201 Rouse Blvd., Philadelphia, PA 19112  
*State or country in which incorporated* — Delaware

Funding Nomad Entertainment LP  
304 S. Jones Blvd., Suite 2295, Las Vegas, NV 89107  
*Partnership* — Funding Nomad LLC

Gaw US Fund III, L.P.  
818 W. 7th St., Suite 410, Los Angeles, CA 90017  
*Partnership* — Gaw Capital US III, LLC

GlobalTech Holdings, Inc.  
P.O. Box 6632, Thomasville, GA 31758  
*State or country in which incorporated* — Wyoming

HCA-CP7, LP  
7601 Lewinsville Rd., Suite 206, McLean, VA 22102  
*Partnership* — Harbour Capital Advisors, LLC

HutchCobble, LLC  
1309 Kenwood Ave., Duluth, MN 55811

Jagged Little Pill LLC  
c/o Richards/Climan, Inc., 165 W. 46th St., Suite 704, New York, NY  
10036  
*State or country in which incorporated* — Delaware limited liability  
company

JB Capital Partners L.P.  
Five Evan Place, Armonk, NY 10504

Kabompo Holdings, Ltd.  
140 E. 45th St., Suite 16B, New York, NY 10017  
*State or country in which incorporated* — Cayman Islands

LCV Digital Currency II, LLC  
140 E. 45th St., Suite 17C, New York, NY 10017

Luna Capital Investments, L.L.C.  
205 9th St., San Francisco, CA 94103

Metro Inc.  
11011 Maurice-Duplessis Blvd., Montréal, Québec, Canada H1C 1V6  
*State or country in which incorporated* — Canada

MHPI VII, LLC  
215 N. Eola Dr., Orlando, FL 32801  
*State or country in which incorporated* — Florida

OnyxPoint Permian Equity II LP  
One World Trade Center, 46th Fl., 285 Fulton St., New York, NY 10007  
*Partnership* — OnyxPoint Permian Equity GP II LP

OnyxPoint Permian Equity Feeder II LLC  
One World Trade Center, 46th Fl., 285 Fulton St., New York, NY 10007  
*State or country in which incorporated* — Delaware

Parthenon Capital Partners Fund III, LP  
Four Embarcadero Center, Suite 3610, San Francisco, CA 94111  
*Partnership* — PCP Manager II, LP

Passco Capital, Inc.  
2050 Main St., Suite 650, Irvine, CA 92614  
*State or country in which incorporated* — California

Private Advisors Real Assets Fund II, LP  
Riverfront Plaza W, 901 E. Byrd St., Suite 1400, Richmond, VA 23219  
*Partnership* — PARAF II GP, LLC

Prometheum, Inc.  
120 Wall St., 25th Fl., New York, NY 10005  
*State or country in which incorporated* — Delaware

Realterm Logistics Fund II-A, L.P.  
201 West St., Suite 200, Annapolis, MD 21401  
*Partnership* — Realterm GP II, LLC

Shore Ventrues III, LP  
c/o Hershey Management IV, LLC, Six Pompano Rd., Rumson, NJ 07760  
*Partnership* — Hershey Management IV, LLC

Snow Park Special Opportunities Fund, LLC  
444 Madison Ave., 40th Fl., New York, NY 10022

Tanyard Investors, LLC  
912 Edenton St., Birmingham, AL 35242

TriplePoint Venture Growth BDC Corp.  
2755 Sand Hill Rd., Suite 150, Menlo Park, CA 94025  
*State or country in which incorporated* — Maryland

Tudor Maniyar Macro Fund L.P.  
1275 King St., Greenwich, CT 06831  
*Partnership* — Tudor Investment Corporation

TWG Securities, Inc.  
175 W. Jackson Blvd., 11th Fl., Chicago, IL 60604  
*State or country in which incorporated* — Delaware

Wellings - 2160 Fontaine, LLC  
441-G Piney Forest Rd., Danville, VA 24540

Wells Fargo Investment Institute, Inc.  
401 S. Tryon St., Charlotte, NC 28202  
*State or country in which incorporated* — North Carolina

Workforce Partners XI LLC  
11 Day St., 2nd Fl., Norwalk, CT 06854  
*State or country in which incorporated* — Connecticut

Worthington Meadows J-Dek LP  
31100 Solon Rd., Suite 9, Solon, Ohio 44139  
*Partnership* — Worthington Meadows J-Dek Holdings LLC



# ADVERTISEMENTS FOR BIDDERS/CONTRACTORS

## SEALED BIDS

### REHABILITATE BUILDINGS 1, 2, 20 Adirondack Correctional Facility Ray Brook, Essex County

Sealed bids for Project Nos. 45762-C, 45762-H, 45762-P, 45762-E, comprising separate contracts for Construction Work, HVAC Work, Plumbing Work, and Electrical Work, Rehabilitate Buildings 1, 2, 20, Adirondack Correctional Facility, PO Box 110, Route 86, Ray Brook (Essex County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C) Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Corrections and Community Supervision, until 2:00 p.m. on Wednesday, November 29, 2017, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$87,400 for C, \$33,100 for H, \$33,000 for P, and \$22,800 for E.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$2,000,000 and \$3,000,000 for C, between \$500,000 and \$1,000,000 for H, between \$500,000 and \$1,000,000 for P, and between \$250,000 and \$500,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are Jessica Hoffman, Carl Ruppert and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewycky, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is September 30th, 2018.

As a condition of award, within 48 hours of receipt of the proposed

Contract Agreement from the State, the low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and completion of the Work must be within the time stated in Section 011000 of the Specifications. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

The Contract Documents provide for Construction Acceleration Incentives not to exceed \$102,000 for C, \$18,000 for H, \$18,000 for P, and \$12,000 for E.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on November 16, 2017 at Adirondack Correctional Facility, 196 Old Ray Brook Road, Administration Building, Ray Brook, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Nathan LaValley, (518) 891-8003 a minimum of 72 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <http://www.ogs.ny.gov/bu/dc/esb/acquirebid.asp>.

For questions about purchase of bid documents, please send an e-mail to [DC.Plans@ogs.ny.gov](mailto:DC.Plans@ogs.ny.gov), or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>.

By *John D. Lewyckyj, Deputy Director*  
OGS - Design & Construction Group

# NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

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Empire State Development  
625 Broadway  
Albany, NY 12245

## FARM OPERATIONS

### **New York State New Farmers Grant Fund**

The NYS Urban Development Corporation, doing business as Empire State Development, in consultation with the NYS Department of Agriculture and Markets, is soliciting applications for the New York State New Farmers Grant Fund to support beginning farmers who have chosen farming as a career and who materially and substantially participate in the production of an agricultural product within a region of the state.

New York State has allocated \$1 million to be used to provide grants between \$15,000 and \$50,000 for up to 50% of eligible project costs. Eligible project costs include the purchase of new or used machinery and equipment, supplies, and/or construction or improvement of physical structures used exclusively for agricultural purposes. All project costs must be directly related to achieving Program Goals. Projects are expected to be completed within a two-year contract term.

Program Goals: Improve farm profitability through one or both of the following goals:

- Expanding agricultural production, diversifying agricultural production and/or extending the agricultural season;
- Advancing innovative agricultural techniques that increase sustainable practices such as organic farming, food safety, reduction of farm waste and/or water use.

Eligibility: All of the following criteria must be met in order to be eligible to apply for funding:

- A farm operation located wholly within New York State which produces an agricultural product as defined in the program guidelines; and
- The farm operation must have a minimum of \$10,000 in farm income from sales of agricultural products grown or raised on the applicant's farm operation as reflected in either personal or business 2016 tax returns; and
- All owners must be New York State residents who are at least 18 years of age; and
- As of April 1, 2017, all farm operation owners must be in the first ten years of having an ownership interest in any farm operation; and
- All owners must materially and substantially participate in the day-to-day production of an agricultural product grown or raised on the farm operation.

Applications must be postmarked by January 26, 2018. Applicants can access the application form, guidelines, any amendments to the guidelines and additional information about the program on the ESD website: <https://esd.ny.gov/new-farmers-grant-fund-program>.

Additional information can be obtained by writing to [nyfarmfund@esd.ny.gov](mailto:nyfarmfund@esd.ny.gov).

Empire State Development  
625 Broadway  
Albany, NY 12245

## FARM OPERATIONS

### **New York State Veterans Farmer Grant Fund**

The NYS Urban Development Corporation, doing business as Empire State Development, in consultation with the NYS Department of Agriculture and Markets, is soliciting applications for the New York State Veterans Farmer Grant Fund to support veterans across the state grow their agricultural businesses.

New York State has allocated \$250,000 to be used to provide grants between \$15,000 and \$50,000 for up to 50% of eligible project costs. Eligible project costs include the purchase of new or used machinery and equipment, supplies, and/or construction or improvement of physical structures used exclusively for agricultural purposes. All project costs must be directly related to achieving Program Goals. Projects are expected to be completed within a two-year contract term.

Program Goals: Improve farm profitability through one or both of the following goals:

- Expanding agricultural production, diversifying agricultural production and/or extending the agricultural season;
- Advancing innovative agricultural techniques that increase sustainable practices such as organic farming, food safety, reduction of farm waste and/or water use.

Eligibility: All of the following criteria must be met in order to be eligible to apply for funding:

- A farm operation located wholly within New York State which produces an agricultural product as defined by these Guidelines, and which is at least fifty percent (50%) owned, operated and controlled by a veteran; and
- The farm operation must have a minimum of \$10,000 in farm income from sales of agricultural products grown or raised on the applicant's farm operation as reflected in either personal or business 2016 tax returns; and
- All owners must be New York State residents who are at least 18 years of age; and
- All owners must materially and substantially participate in the day-to-day production of an agricultural product grown or raised on the farm operation.

"Veteran" is defined as "a person who served in and who has received an honorable or general discharge from, the United States army, navy, air force, marines, coast guard, and/or reserves thereof, and/or in the army national guard, air national guard, New York guard and/or the New York naval militia." N.Y. Exec. Law § 369-h(7).

Applications must be postmarked by January 26, 2018. Applicants can access the application form, guidelines, any amendments to the guidelines and additional information about the program on the ESD website: <https://esd.ny.gov/new-york-state-veterans-farmer-grant-fund>.

Additional information can be obtained by writing to [nyveteransfarmfund@esd.ny.gov](mailto:nyveteransfarmfund@esd.ny.gov).

Division of Homeland Security and Emergency  
Services

1220 Washington Ave.  
State Campus, Bldg. 7A  
Albany, NY 12242

ELIGIBLE NONPROFIT ORGANIZATIONS LOCATED WITHIN  
NEW YORK STATE

**State Fiscal Year 2017-18 Securing Communities Against Hate  
Crime (SCAHC)**

Description:

Request for Applications (RFA) will be accepted for State funding made available by Governor Andrew Cuomo and administered by the NYS Division of Homeland Security and Emergency Services (DHSES). Each Applicant may apply for up to \$50,000 per facility, eligible organizations may submit up to three applications for a maximum total request of up to \$150,000 allowed per organization. There is a total of \$25 million Statewide in funding available under this grant program and funds will be awarded competitively based on the submission of applications by eligible nonprofit organizations located within New York State.

Funding will be awarded to support safety and security activities to non-profit nonpublic schools, non-profit daycare centers including those housed in community centers and non-profit cultural museums 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 a hate crime due to their ideology, beliefs, or mission and are located within New York State. The program seeks to provide safety and security measures for these organizations to assist in mitigating risk/vulnerabilities as identified in their application.

Applications will be accepted until December 18, 2017 at 4:00 p.m. through the New York State Division of Homeland Security and Emergency Services' (DHSES) electronic grants management system (E-Grants).

The RFA and other required documents can be found at: <http://www.dhses.ny.gov/grants/nonprofit/hate-crimes.cfm>



# 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](http://www.osc.state.ny.us)

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

## PUBLIC NOTICE

### Department of Civil Service

PURSUANT to the Open Meetings Law, the New York State Civil Service Commission hereby gives public notice of the following:

Please take notice that the regular monthly meeting of the State Civil Service Commission for December 2017 will be conducted on December 12 and December 13 commencing at 10:00 a.m. This meeting will be conducted at NYS Media Services Center, Suite 146, South Concourse, Empire State Plaza, Albany, NY with live coverage available at: [www.cs.ny.gov/commission/](http://www.cs.ny.gov/commission/)

For further information, contact: Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. 1, Albany, NY 12239, (518) 473-6598

## PUBLIC NOTICE

### Division of Criminal Justice Services Youth Justice Advisory Group

Pursuant to Public Officer Law § 104, the Division of Criminal Justice Services gives notice of a meeting of the New York State Juvenile Justice Advisory Group:

Date: December 6, 2017  
Time: 10:00 a.m. - 3:00 p.m.  
Place: Division of Criminal Justice Services  
80 S. Swan St., 3rd Fl., Rm. 348  
Albany, NY 12210  
Video Conference with: Empire State Development Corp.  
633 Third Ave., All attendees must come to the 37th Fl. [the meeting will be in the 36A conference room]  
New York, NY 10007

For further information contact: LaTrenda Buchanon, Secretary, Office of Youth Justice Policy, Division of Criminal Justice Services,

80 S. Swan St., 8th Fl., Albany, NY 12210,  
[LaTrenda.Buchanon@dcjs.ny.gov](mailto:LaTrenda.Buchanon@dcjs.ny.gov), (518) 457-3670, Fax: (518) 457-7482

## PUBLIC NOTICE

### Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health (The Department) hereby gives public notice of the following:

The Department proposes to amend the Title XIX (Medicaid) State Plan for the Medicaid Alternative Benefit Plan (ABP). The ABP includes all mandatory and optional benefits defined in the New York Medicaid State Plan under the categorically needy population designation (identified in State Plan Attachment 3.1-A). Effective on and after December 1, 2017, the Department is proposing an expansion of family planning benefits in the ABP to match proposed expansion of these services in New York Medicaid State Plan under the categorically needy population designation (3.1A). The benefit expansion includes coverage of a set of services to ensure improved outcomes of women who are in the process of ovulation enhancing drugs, limited to the provision of such treatment, office visits, hysterosalpingogram services, pelvic ultrasounds, and blood testing; services shall be limited to those necessary to monitor such treatment. The Department assures access to early and periodic screening, diagnostic and treatment (EPSDT) services will continue unchanged.

There is no additional estimated annual change to gross Medicaid expenditures as a result of the 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 [www.health.ny.gov/regulations/state\\_plans/status](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 State  
F-2017-0988 (DA)

Date of Issuance – November 29, 2017

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

A federal agency has determined that the proposed activity complies with and will be conducted in a manner consistent to the maximum extent practicable with the approved New York State Coastal Management Program. The agency's consistency determination and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2017-0988 (DA), The U.S. Army Corps of Engineers, Buffalo District, (Corps) is proposing Maintenance Dredging of the Dunkirk Harbor Federal Navigation Project (FNP) in Lake Erie, City of Dunkirk, Chautauqua County, New York.

The Corps' proposed 2018 dredging operation at Dunkirk Harbor is tentatively scheduled to be performed during the period between the period between 15 May and 15 October. Sediments will be removed from the channel bottom by a mechanical or hydraulic dredge and placed into hoppers aboard ship or scow for transport to the designated dredged sediment placement areas. In 2018, an estimated total of 150,000 cubic yards (CY) of sediment is proposed to be dredged from the federal navigation project. Approximately 45,000 CY of coarse-grain sediment dredged from the Outer Channel are proposed to be discharged as littoral nourishment at an existing, authorized nearshore area in Lake Erie located directly northeast of the harbor and the remaining sediment dredged (approximately 105,000 CY of predominantly fine-grain sediment) is proposed to be discharged at the existing, authorized open-lake placement area in Lake Erie, located one statute mile due north from the West Pierhead Light.

Additional information regarding the Corps' proposal can be found at: [www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2017-0988\(DA\) CELRBDunkirkHarborCD.pdf](http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2017-0988(DA) CELRBDunkirkHarborCD.pdf)

Third parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or by December 14, 2017.

Comments should be addressed to the Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464.

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

## PUBLIC NOTICE

Department of State  
F-2017-0989 (DA)

Date of Issuance – November 29, 2017

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

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In F-2017-0989 (DA), The U.S. Army Corps of Engineers, Buffalo District, (Corps) is proposing Maintenance Dredging of the Great Sodus Harbor Federal Navigation Project (FNP) in Lake Ontario, Town of Sodus, Wayne County, New York. The Corps is proposing maintenance dredging of an estimated 95,000 cubic yards of sediment from the authorized federal navigation channel of Great Sodus Bay Harbor, with placement of the associated dredged sediment at a proposed nearshore placement area to the east of the jetties, or the existing open lake site in Lake Ontario.

Additional information regarding the Corps' proposal can be found at: [www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2017-0989\(DA\) CELRBGreatSodusBayFNPCD.pdf](http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2017-0989(DA) CELRBGreatSodusBayFNPCD.pdf)

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Comments should be addressed to the Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464.

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

## PUBLIC NOTICE

### Susquehanna River Basin Commission Projects Approved for Consumptive Uses of Water

**SUMMARY:** This notice lists the projects approved by rule by the Susquehanna River Basin Commission during the period set forth in "DATES."

**DATES:** October 1-31, 2017

**ADDRESSES:** Susquehanna River Basin Commission, 4423 North Front Street, Harrisburg, PA 17110-1788.

**FOR FURTHER INFORMATION CONTACT:** Jason E. Oyler, General Counsel, 717-238-0423, ext. 1312, [joyler@srbc.net](mailto:joyler@srbc.net). Regular mail inquiries may be sent to the above address.

**SUPPLEMENTARY INFORMATION:** This notice lists the projects, described below, receiving approval for the consumptive use of water pursuant to the Commission's approval by rule process set forth in 18 CFR § 806.22(e) and § 806.22 (f) for the time period specified above:

Approvals By Rule Issued Under 18 CFR 806.22(e):

1. Panda Patriot, LLC, ABR-201301006.1, Clinton Township, Lycoming County, Pa.; Modification of Consumptive Use of Up to 0.2000 mgd; Approval Date: October 5, 2017.

2. Panda Liberty, LLC, ABR-201301007.1, Asylum Township, Bradford County, Pa.; Modification of Consumptive Use of Up to 0.2000 mgd; Approval Date: October 5, 2017.

Approvals By Rule Issued Under 18 CFR 806.22(f):

1. Chesapeake Appalachia, LLC, Pad ID: Jes, ABR-201303008.R1, Wilmot Township, Bradford County, Pa.; Consumptive Use of Up to 7.5000 mgd; Approval Date: October 2, 2017.

2. SWN Production Company, LLC, Pad ID: Bolles South Well Pad, ABR-201210017.R1, Franklin Township, Susquehanna County, Pa.; Consumptive Use of Up to 4.9990 mgd; Approval Date: October 4, 2017.

3. SWN Production Company, LLC, Pad ID: SHELDON EAST PAD, ABR-201211013.R1, Thompson Township, Susquehanna County, Pa.; Consumptive Use of Up to 4.9990 mgd; Approval Date: October 4, 2017.

4. SWN Production Company, LLC, Pad ID: LOKE PAD, ABR-201211014.R1, New Milford Township, Susquehanna County, Pa.; Consumptive Use of Up to 4.9990 mgd; Approval Date: October 4, 2017.

5. SWN Production Company, LLC, Pad ID: Mordovancey Well Pad, ABR-201209023.R1, Choconut Township, Susquehanna County, Pa.; Consumptive Use of Up to 4.9990 mgd; Approval Date: October 16, 2017.

6. Chesapeake Appalachia, LLC, Pad ID: Lasher, ABR-201303010.R1, Auburn Township, Susquehanna County, Pa.; Consumptive Use of Up to 7.5000 mgd; Approval Date: October 16, 2017.

7. SWN Production Company, LLC, Pad ID: Wootton East Well Pad, ABR-201209020.R1, Liberty Township, Susquehanna County, Pa.; Consumptive Use of Up to 4.0000 mgd; Approval Date: October 16, 2017.

8. SWN Production Company, LLC, Pad ID: Reber-Dozier Well Pad, ABR-201210005.R1, Liberty Township, Susquehanna County, Pa.; Consumptive Use of Up to 4.0000 mgd; Approval Date: October 16, 2017.

9. Seneca Resources Corporation, Pad ID: DCNR 100 Pad T, ABR-201301013.R1, Lewis Township, Lycoming County, Pa.; Consumptive Use of Up to 4.0000 mgd; Approval Date: October 17, 2017.

10. Chief Oil & Gas, LLC, Pad ID: Lightcap, ABR-201303009.R1, Overton Township, Bradford County and Elkland Township, Sullivan County, Pa.; Consumptive Use of Up to 7.5000 mgd; Approval Date: October 19, 2017.

11. Cabot Oil & Gas Corporation, Pad ID: AldrichL P1, ABR-201210002.R1, Gibson Township, Susquehanna County, Pa.; Consumptive Use of Up to 5.0000 mgd; Approval Date: October 23, 2017.

12. Cabot Oil & Gas Corporation, Pad ID: RutkowskiB P1, ABR-201210003.R1, Lenox Township, Susquehanna County, Pa.; Consumptive Use of Up to 5.0000 mgd; Approval Date: October 23, 2017.

13. Cabot Oil & Gas Corporation, Pad ID: BrayB P1, ABR-201210004.R1, Auburn Township, Susquehanna County, Pa.; Consumptive Use of Up to 5.0000 mgd; Approval Date: October 23, 2017.

14. SWEPI LP, Pad ID: Delaney 651, ABR-201209013.R1, Sullivan Township, Tioga County, Pa.; Consumptive Use of Up to 4.0000 mgd; Approval Date: October 23, 2017.

AUTHORITY: Pub. L. 91-575, 84 Stat. 1509 et seq., 18 CFR Parts 806, 807, and 808.

Dated: November 14, 2017

Stephanie L. Richardson,  
Secretary to the Commission.

## PUBLIC NOTICE

### Susquehanna River Basin Commission

#### Projects Rescinded for Consumptive Uses of Water

SUMMARY: This notice lists the approved by rule projects rescinded by the Susquehanna River Basin Commission during the period set forth in "DATES."

DATES: October 1-31, 2017.

ADDRESSES: Susquehanna River Basin Commission, 4423 North Front Street, Harrisburg, PA 17110-1788.

FOR FURTHER INFORMATION CONTACT: Jason E. Oyler, General Counsel, telephone: (717) 238-0423, ext. 1312; fax: (717) 238-2436; e-mail: joyler@srbc.net. Regular mail inquiries may be sent to the above address.

SUPPLEMENTARY INFORMATION: This notice lists the projects, described below, being rescinded for the consumptive use of water pursuant to the Commission's approval by rule process set forth in 18 CFR § 806.22(e) and § 806.22(f) for the time period specified above:

#### Rescinded ABR Issued:

1. Chief Oil & Gas, LLC, Pad ID: Marcy Drilling Pad, ABR-201404005, Lenox Township, Susquehanna County, Pa.; Rescind Date: October 30, 2017.

2. Chief Oil & Gas, LLC, Pad ID: Ransom Drilling Pad #1, ABR-20100338.R1, Lenox Township, Susquehanna County, Pa.; Rescind Date: October 30, 2017.

AUTHORITY: Pub. L. 91-575, 84 Stat. 1509 et seq., 18 CFR Parts 806, 807, and 808.

Dated: November 14, 2017.

Stephanie L. Richardson,  
Secretary to the Commission.

## PUBLIC NOTICE

### Susquehanna River Basin Commission Projects Approved for Minor Modifications

SUMMARY: This notice lists the minor modifications approved for a previously approved project by the Susquehanna River Basin Commission during the period set forth in "DATES."

DATES: October 1-31, 2017.

ADDRESSES: Susquehanna River Basin Commission, 4423 North Front Street, Harrisburg, PA 17110-1788.

FOR FURTHER INFORMATION CONTACT: Jason E. Oyler, General Counsel, telephone: (717) 238-0423, ext. 1312; fax: (717) 238-2436; e-mail: joyler@srbc.net. Regular mail inquiries may be sent to the above address.

SUPPLEMENTARY INFORMATION: This notice lists previously approved projects, receiving approval of minor modifications, described below, pursuant to 18 CFR § 806.18 for the time period specified above:

#### Minor Modifications Issued Under 18 CFR § 806.18

1. Panda Hummel Station LLC, Docket No. 20081222-3, Shamokin Dam Borough and Monroe Township, Snyder County, Pa.; approval to add stormwater as an additional source of water for consumptive use, and changes in the design of the intake structure; Approval Date: October 31, 2017.

AUTHORITY: Pub. L. 91-575, 84 Stat. 1509 et seq., 18 CFR Parts 806, 807, and 808.

Dated: November 14, 2017.

Stephanie L. Richardson,  
Secretary to the Commission.



# EXECUTIVE ORDERS

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**Executive Order No. 168.4: 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 all of the terms, conditions, and directives of Executive Order No. 168 for the period from the date that the disaster emergency was declared pursuant to Executive Order No. 168 until November 25, 2017.

(L.S.)

GIVEN under my hand and the Privy Seal of the State in the City of Albany this twenty-sixth day of October in the year two thousand seventeen.

*BY THE GOVERNOR*

/S/ Andrew M. Cuomo

/s/ Melissa DeRosa

*Secretary to the Governor*





# FINANCIAL REPORTS

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**Department of  
Taxation and Finance**

## **Depositories for the Funds of the State of New York**

**Month End: October, 2017**

Prepared by the Division of the Treasury  
Investments, Cash Management and Accounting Operations

Nonie Manion  
Executive Deputy Commissioner

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 10/31/2017
<b>ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER</b>		
Unemployment Insurance Funding Account	Key Bank	1,780,564.52
Occupational Training Act Funding Account	Key Bank	140,136.90
Unemployment Insurance Exchange Account	Key Bank	0.00
Exchange Account	Key Bank	9,629.54
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(221,838,803.38)
General Checking	Key Bank	(1,011,268,299.29)
Direct Deposit Account	Wells Fargo	23,532.50
<b>TOTAL</b>		<b>(219,884,939.92)</b>
<b>01000 - EXECUTIVE CHAMBER</b>		
Executive Chamber Advance Account	Key Bank	No report received
<b>01010 - DIVISION OF BUDGET</b>		
Advance Account	Bank of America, N.A.	5,000.00
<b>01020 - DIVISION OF PAROLE</b>		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	No report received
Division Of Parole Petty Cash Account	Key Bank	No report received
Division Of Parole Regional Advance Account	Key Bank	No report received
Emergency Support (Bronx)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Account	Key Bank	No report received
Emergency Support Fund (Albany)	Trustco Bank	No report received
Emergency Support Fund (Binghamton)	Citizens Bank	No report received
Emergency Support Fund (Buffalo)	Bank of America, N.A.	No report received
Emergency Support Fund (Elmira)	Chemung Canal Trust	No report received
Emergency Support Fund (Manhattan 1)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Fund (Nassau)	Bank of America, N.A.	No report received
Emergency Support Fund (Poughkeepsie)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Fund (Queens 1)	HSBC	No report received
Emergency Support Fund (Queens 2)	HSBC	No report received
Emergency Support Fund (Rochester 1)	M&T Bank	No report received
Emergency Support Fund (Syracuse)	Key Bank	No report received
Manhattan V - Emergency Support	JPMorgan Chase Bank, N.A.	No report received
Northeast Emergency Support Fund	Key Bank	No report received
Parole Supervision Fee	Key Bank	No report received
Parole Supervision Fee	Wachovia Bank NA	No report received
Rochester II Emergency Support Fund	Bank of America, N.A.	No report received
Subpoena Fund Account	Key Bank	No report received
Utica Emergency Support Fund	Bank of Utica	No report received
<b>01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL</b>		
Albany		
SLA Investigations Account	Key Bank	1,825.50
<b>01050 - OFFICE OF GENERAL SERVICES</b>		
Exec Mansion Official Function	Key Bank	No report received
NY ISO Account	Key Bank	No report received
OGS Binghamton Office Bldg	Key Bank	No report received
SNY Office of General Services	JPMorgan Chase Bank, N.A.	No report received
State of New York OGS Escrow II	Key Bank	No report received
State of New York OGS Petty Cash	Key Bank	No report received
State of New Your OGS Escrow	Key Bank	No report received
State of NY Office Of General Services	Key Bank	No report received
<b>01060 - DIVISION OF STATE POLICE</b>		
CNET Confidential Account	Key Bank	21,500.00
Div Headquarters - Petty Cash	Key Bank	1,905.00
Key Advantage Account	Key Bank	67,254.58
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	1,905,903.95
SIU Confidential Fund Account	Key Bank	6,658.89
Special Fund	Key Bank	549,669.93
State Police Receipts Account	Bank of America, N.A.	1,209,330.19
Troop A Batavia - Petty Cash	Bank of America, N.A.	1,000.00
Troop A Batavia-Confidential	Bank of America, N.A.	1,872.00
Troop B Confidential	Key Bank	5,424.25
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	1,800.00
Troop C Petty Cash	NBT Bank	535.00
Troop D Oneida - Confidential	Alliance Bank	1,300.00
Troop D Oneida Petty Cash	Alliance Bank	821.56
Troop E Canandaigua Confidential	Canandaigua National Bank	1,816.41
Troop E Petty Cash	Canandaigua National Bank	1,000.00
Troop F Confidential	JPMorgan Chase Bank, N.A.	1,000.00

Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	708.80
Troop G Petty Cash	Bank of America, N.A.	844.00
Troop K Petty Cash	Bank of Millbrook	910.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	1,093.86
Troop L Confidential Fund	Bank of America, N.A.	8,245.00
Troop L Petty Cash	Bank of America, N.A.	0.00
<b>01070 - DIVISION OF MILITARY &amp; NAVAL AFFAIRS</b>		
Advance For Travel	Key Bank	No report received
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	No report received
<b>01077 - OFFICE OF HOMELAND SECURITY</b>		
Academy Of Fire Science	Chemung Canal Trust	No report received
<b>01080 - DIVISION OF HOUSING &amp; COMMUNITY RENEWAL</b>		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	19,524.53
Revenue Account	JPMorgan Chase Bank, N.A.	2,638,866.80
<b>01090 - DIVISION OF HUMAN RIGHTS</b>		
Petty Cash Fund Account	JPMorgan Chase Bank, N.A.	No report received
<b>01150 - OFFICE OF EMPLOYEE RELATIONS</b>		
1986 Panel Administration Esc	Key Bank	8,630.07
GOER/LMC Advance Account	Key Bank	1,880.00
NYS Dependent Care Acct	Key Bank	55,357.34
<b>01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS</b>		
Agency Advance Account	Key Bank	1,965.51
<b>01300 - ADIRONDACK PARK AGENCY</b>		
General Fund	Community Bank	157.55
Petty Cash	Community Bank	3,342.47
<b>01400 - CRIME VICTIMS COMPENSATION BOARD</b>		
Crime Victims	JPMorgan Chase Bank, N.A.	No report received
Emergency Award Account	M&T Bank	No report received
Emergency Claims	Key Bank	No report received
Frances Featherstones	Key Bank	No report received
Petty Cash Account	Key Bank	No report received
REST/SUBROG Escrow Account	Key Bank	No report received
<b>01490 - DIVISION OF CRIMINAL JUSTICE SERVICES</b>		
Advance Account	Bank of America, N.A.	2,196.00
FBI Fee Account	Bank of America, N.A.	6,434.96
Fingerprint Fee Account	Bank of America, N.A.	2,500.00
<b>01510 - NYS RACING &amp; WAGERING BOARD</b>		
Charitable Gaming Account	Key Bank	No report received
Fingerprint Concentration Account	Key Bank	No report received
License Revenue Account	Bank of America, N.A.	No report received
Petty Cash Account	Key Bank	No report received
Racing Refund Account	Key Bank	No report received
<b>01530 - STATE COMMISSION OF CORRECTION</b>		
Advance Account	Bank of America, N.A.	1,681.76
<b>01540 - STATE BOARD OF ELECTIONS</b>		
Revenue Account	Key Bank	No report received
<b>01620 - OFFICE FOR PREVENTION OF DOMESTIC VIOLENCE</b>		
NYS Prevention Domestic Violence	Bank of America, N.A.	No report received
<b>02000 - OFFICE OF THE STATE COMPTROLLER</b>		
Admissions	Bank of America, N.A.	20,132.15
Alcohol Beverage	Bank of America, N.A.	122,631.69
Alcoholic Bev Control License	Wells Fargo Bank	483,625.39
Alcoholic Beverage Control License	M&T Bank	423,207.20
Assessments Bulk	JPMorgan Chase Bank, N.A.	155,812.84
Assessments Receivable	JPMorgan Chase Bank, N.A.	9,872,042.04
Assessments Receivable (EFT)	Wells Fargo Bank	3,557,358.17
Beverage Container	JPMorgan Chase Bank, N.A.	0.00
Boxing And Wrestling Tax	Bank of America, N.A.	11,085.89
Capital Gains Tax On Real Estate	Bank of America, N.A.	0.00
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	801,124.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	83,282.69
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	11,102,643.95
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	910,604.71
Cigarette Tax Tobacco Products	Bank of America, N.A.	25,962.22
Comptroller's Refund Account	JPMorgan Chase Bank, N.A.	0.00
Corporation Tax	Wells Fargo Bank	278,579.13
Corporation Tax - Art 9	Bank of America, N.A.	1,266,559.21
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	149,457.41
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	207,380.14
Estate Tax	Bank of America, N.A.	3,583,530.24
Estate Tax Article 10 Section 241	Key Bank	0.01
Estimated Tax	JPMorgan Chase Bank, N.A.	7,930,449.26

Gift Tax	Bank of America, N.A.	10,865.00
Hazardous Waste	Key Bank	3,156.00
Highway Use - Permits & Reg.	Bank of America, N.A.	37,259.22
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	1,280,145.39
Highway Use-Permits & Reg. (EFT)	JPMorgan Chase Bank, N.A.	0.00
Hudson River-Black River	Bank of America, N.A.	603,917.13
Hudson River-Black River	Community Bank	11,674.56
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	52,991.00
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	301,801.42
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	0.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	58,285.50
IFTA-Fuel Use	Bank of America, N.A.	72,655.70
Image Cash Letter Corp Tax	JPMorgan Chase Bank, N.A.	0.00
Image Cash Letter Highway Use Tax	JPMorgan Chase Bank, N.A.	0.00
Image Cash Letter Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Income Tax - LLC	JPMorgan Chase Bank, N.A.	194,053.57
Income Tax - Main	JPMorgan Chase Bank, N.A.	0.00
Justice Court	Key Bank	710,435.51
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	14,631.00
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	147,494.99
Medical Marijuana Tax Collections	Bank of America, N.A.	1,695.98
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	1,454,512.24
NYC General Debt Service	Bank of America, N.A.	0.00
NYC General Debt Service-RAN	JPMorgan Chase Bank, N.A.	0.00
Ogdensburg Bridge & Port	Community Bank	(14,173.37)
Payroll Revolving Exchange Acct.	Key Bank	146,552.87
Personal Income Tax	Wells Fargo Bank	2,518,664.00
Petroleum Business Tax (EFT)	Wells Fargo Bank	301,305.85
Petroleum Products Tax	Bank of America, N.A.	1,339,686.78
PIT Bulk	JPMorgan Chase Bank, N.A.	2,273.00
Port Of Oswego	Key Bank	198,755.67
Promptax - MCTMT	Wells Fargo Bank	6,931,319.65
Promptax - Petroleum Business Tax	Wells Fargo Bank	250,718.88
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	1,881,821.87
Promptax - Withholding	Wells Fargo Bank	(20,266,409.07)
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	8,291.09
Real Estate Transfer Tax	Key Bank	51,373.04
Revenue Holding	First Niagara Bank	4,314,000.00
Sales Tax	JPMorgan Chase Bank, N.A.	997,631.83
Sales Tax	Wells Fargo Bank	2,244,747.87
SUNY Concentration	First Niagara Bank	107,000.00
Troy Debt Service Reserve Fund	Bank of America, N.A.	0.00
Uncashed Winning Tickets	Bank of America, N.A.	25,112.32
Unclaimed Funds	JPMorgan Chase Bank, N.A.	4,106,329.32
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	3,093.04
Withholding	Wells Fargo Bank	30,210,042.11
Withholding Tax	JPMorgan Chase Bank, N.A.	4,708,404.35
Cash Advance Accounts		
Advance For Travel Account	Key Bank	1,854.30
ERS Petty Cash Acct	Key Bank	5,100.00
Petty Cash Account	Key Bank	3,699.90
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	1,631.22
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	3,337,453.61
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	8.61
Employees Retirement System - General	JPMorgan Chase Bank, N.A.	0.00
Employees Retirement System - Pension	JPMorgan Chase Bank, N.A.	0.00
Group Term Life		
Group Term Life - General	JPMorgan Chase Bank, N.A.	0.00
Miscellaneous		
Fee Account	Key Bank	80.25
Municipal Assistance Corporation Accounts		
City Of Troy - MAC	JPMorgan Chase Bank, N.A.	0.00
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	1.58
Retirement Police & Firemen's - General	JPMorgan Chase Bank, N.A.	0.00
Retirement Police & Firemen's - Pension	JPMorgan Chase Bank, N.A.	0.00
<b>03000 - DEPARTMENT OF LAW</b>		
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
<b>03010 - OFFICE OF THE ATTORNEY GENERAL</b>		
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
<b>03020 - MEDICAID FRAUD CONTROL</b>		
dept atty gen vs john doe	Key Bank	14,323,939.62
National Global Settlement	JPMorgan Chase Bank, N.A.	6,744,066.55
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	35,867.81
NYS Department Of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,006.82
<b>04020 - NYS ASSEMBLY</b>		
Advance For Travel	Bank of America, N.A.	No report received
Petty Cash Account Dist Off	Bank of America, N.A.	No report received
Petty Cash New York City	JPMorgan Chase Bank, N.A.	No report received
Public Information Office	Key Bank	No report received
<b>04030 - ASSEMBLY WAYS &amp; MEANS COMMITTEE</b>		
Advance For Travel	Key Bank	No report received
Petty Cash	Key Bank	No report received
<b>04040 - LEGISLATIVE BILL DRAFTING COMMISSION</b>		
NY LBDC - Legislative Computer Services Fund	Key Bank	34,453.36
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	1,748.56
<b>04250 - REAPPORTIONMENT</b>		
NYS Taskforce On Demo Res & Reapp	JPMorgan Chase Bank, N.A.	No report received
<b>05000 - OFFICE OF COURT ADMINISTRATION</b>		
Attorney Registration Fees - Revenue	JPMorgan Chase Bank, N.A.	1,348,475.00
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	5,413,725.00
Finger Print Account	JPMorgan Chase Bank, N.A.	1,050.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	733.80
<b>05005 - OCA OFFICE OF BUDGET &amp; FINANCE</b>		
Petty Cash Account	Key Bank	2,500.00
<b>05008 - LAWYERS FUND FOR CLIENT PROTECTION</b>		
Client Security Fund - Bail	Key Bank	No report received
Lawyers Fund For Client Protection - Bail	Key Bank	No report received
Petty Cash	Key Bank	No report received
<b>05012 - MENTAL HYGIENE LEGAL SERVICES - 2ND JUDICIAL DEPARTMENT</b>		
Mental Hygiene Sec Dept Petty Cash	Bank of America, N.A.	879.59
<b>05023 - COMMISSION ON PROFESSIONAL STANDARDS - 3RD JUDICIAL DEPARTMENT</b>		
Comm On Prof Stands 3rd Jud Dept	M&T Bank	No report received
<b>05071 - COURT OF APPEALS</b>		
Chief Judge Advance	Key Bank	3,615.08
Clerk Of The Court Of Appeals	Key Bank	2,609.00
<b>05072 - STATE BOARD OF LAW EXAMINERS</b>		
State Board Of Law Examiners Fee	Key Bank	53,707.43
<b>05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT</b>		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	44,966.75
1st Jud Dept Petty Cash Appellate	JPMorgan Chase Bank, N.A.	506.22
<b>05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT</b>		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	114,552.50
<b>05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT</b>		
Third Dept Civil Fees Acct - Revenue	Key Bank	26,020.00
<b>05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT</b>		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	22,102.65
<b>05090 - COURT OF CLAIMS</b>		
Court Of Claims Revenue Account	Key Bank	4,778.67
<b>05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION</b>		
Glen Cove City Court		
Glen Cove City Court - Bail	Bank of America, N.A.	148,823.90
Glen Cove Court Revenue	Bank of America, N.A.	49,361.02
Long Beach City - Nassau		
City Court Of Long Beach - Bail	Bank of America, N.A.	167,318.97
City Court Of Long Beach - Revenue	Bank of America, N.A.	81,561.44
Nassau Co Family		
Nassau Co Family Court Bail	Citibank	0.00
Nassau County Court		
Nassau County Assessment		
Nassau District Court - Criminal	Wells Fargo Bank	26,017.25

Nassau Dist Ct Criminal Revenue	Wells Fargo Bank	390,584.48
Nassau District Court-Civil		
Nassau County Dist Ct- Civil Revenue	Wells Fargo Bank	76,692.77
Nassau Surrogate		
Nassau County Surrogate Court-Revenue	Wells Fargo Bank	114,219.50
<b>05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION</b>		
10th Judicial District Suffolk County Admin		
Suffolk County Court -Court Fund	People's United Bank	42,319.00
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	21,737.55
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	480,029.06
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	250,101.23
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	51,600.00
<b>05210 - NYC-CIVIL COURT</b>		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	223,530.76
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	2,293.00
Kings Civil Court- Civil		
Kings Civil Court- Civil Revenue	JPMorgan Chase Bank, N.A.	179,626.82
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	71,866.60
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	56,481.33
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	21,483.98
<b>05215 - NYC-CRIMINAL COURT</b>		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	0.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	33,966.00
Kings County Criminal Court		
Kings Criminal Court	Citibank	182,959.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	0.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	48,859.00
Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	72,465.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	118,843.00
Richmond County Criminal Court		
Richmond Criminal Court	Citibank	0.00
Richmond Criminal Court- State Funds	Citibank	13,043.00
<b>05220 - NYC-FAMILY COURT</b>		
Family Citywide Administration		
NYC Family Court	JPMorgan Chase Bank, N.A.	310.00
<b>05231 - SUPREME COURT - BRONX COUNTY</b>		
NYS Office of Court Admin	JPMorgan Chase Bank, N.A.	7,986.50
<b>05235 - SUPREME COURT - KINGS COUNTY</b>		
Kings Co Supreme		
Supreme Court Kings County-Revenue	JPMorgan Chase Bank, N.A.	10,641.63
<b>05240 - SUPREME COURT - QUEENS COUNTY</b>		
Queens Co Supreme		
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	23,626.61
<b>05250 - NEW YORK COUNTY CLERK</b>		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	3,395,148.42
<b>05255 - BRONX COUNTY CLERK</b>		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	1,168,750.45
Bronx Cnty Clerk-Bails /Fines C&T	JPMorgan Chase Bank, N.A.	0.00
<b>05260 - KINGS COUNTY CLERK</b>		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	2,326,824.15
<b>05265 - QUEENS COUNTY CLERK</b>		
Queens County Clerk-Revenue Acct	Sterling Bank	1,852,549.25
<b>05270 - RICHMOND COUNTY CLERK</b>		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	7,413,888.92
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	341.61
<b>05275 - NEW YORK COUNTY SURROGATES COURT</b>		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	No report received

**05280 - BRONX COUNTY SURROGATES COURT**

Bronx Surrogate

Bronx Surrogate Court Revenue Acct

JPMorgan Chase Bank, N.A.

11,640.00

**05285 - KINGS COUNTY SURROGATES COURT**

Kings County Surrogate

Kings Co. Surrogate Revenue Acct

Bank of America, N.A.

16,003.00

**05290 - QUEENS COUNTY SURROGATES COURT**

Queens surrogate

Queens Co Revenue Acct Surrogate

Signature Bank

32,610.00

**05295 - RICHMOND COUNTY SURROGATES COURT**

Richmond County Surrogate Court Revenue Account

Victory State Bank

5,017.00

**05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION**

Albany City Court - (Civil)

Albany City Civil - Revenue

Wells Fargo Bank

3,801.31

Albany City Court - (Crim-Bail)

Albany City Criminal - Bail

Wells Fargo Bank

12,484.79

Albany City Court - (Traffic)

Albany City Traffic-Revenue

Wells Fargo Bank

87,540.60

Albany Traffic Court - Bail

Bank of America, N.A.

1,250.00

Albany City Court - Civil Part

Albany City Court Civil - Revenue

Trustco Bank

0.00

Albany City Court - Crim

Albany City Court-Crim

Wells Fargo Bank

14,342.60

Albany City Court - Traffic-Bail

Albany City Traffic - Bail

Wells Fargo Bank

0.00

Albany County Surrogate

Albany Cty Surrogates Court - Revenue

Bank of America, N.A.

13,861.00

Albany Police Court

Albany Police Court Bail Account

Key Bank

14,731.57

Cohoes City Court

Cohoes City Court Bail

First Niagara Bank

44,323.90

Cohoes City Court Fees/Fines Account

First Niagara Bank

16,273.50

Columbia County Surrogate

Columbia Co Surrogate Ct Fees - Revenue

Key Bank

11,566.25

Greene County Surrogate

Greene County Surrogate - Revenue

First Niagara Bank

903.75

Greene Surrogate

Greene Surrogate-Revenue

Wells Fargo Bank

33,209.00

Hudson City Court

Hudson City Bail

Wells Fargo Bank

5,676.04

Hudson City Court Bail Acct

Trustco Bank

28,808.25

Hudson City Court Revenue Acct - Revenue

Trustco Bank

5,512.00

Hudson City Revenue

Wells Fargo Bank

5,485.77

Kingston City Court

Kingston City Court Bail

Key Bank

2,759.40

Kingston City Court Bail

Wells Fargo Bank

16,398.75

Kingston City Court Fees Fines - Revenue

Key Bank

26.00

Kingston City Court Revenue

Wells Fargo Bank

495.00

Rensselaer City Court

Rensselaer City Court - Revenue

Key Bank

4,415.55

Rensselaer City Court Bail Acct

Key Bank

2,634.40

Rensselaer County Surrogate

Rensselaer Co Surrogate Ct Fees - Revenue

Key Bank

20,836.50

Schoharie County Surrogate

Schoharie Co Surrogates Court - Revenue

Bank of America, N.A.

432.00

Sullivan County Surrogate

Sullivan County Surrogates Court - Revenue

Key Bank

495.00

Sullivan Surrogate

Sullivan Surrogate-Revenue

Wells Fargo Bank

495.00

Troy City Court

Troy City Court- Revenue Acct - Revenue

Bank of America, N.A.

82,197.35

Troy Police Court Bail Account

Bank of America, N.A.

31,365.04

Ulster County Surrogate

Ulster County Surrogate Court - Revenue

Key Bank

5,201.00

Watervliet City Court

Watervliet Bail

Pioneer Savings Bank

No report received

Watervliet City Court Bail

Bank of America, N.A.

0.85

Watervliet Revenue

Pioneer Savings Bank

34,059.55

**05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION**

Amsterdam City Court

Amsterdam City Court - Bail

Key Bank

73,625.07

Amsterdam City Court - Revenue

Key Bank

23,759.50

Clinton County Surrogates

Clinton County Surrogates - Revenue

Key Bank

1,127.75

Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	114.75
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	262.75
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	451.00
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	14,166.40
Glens Falls City Court Bail Acct	Glens Falls National	46,557.06
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	22,107.31
Gloversville City Court Revenue	NBT Bank	7,422.50
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	215.00
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	17,715.32
Johnstown City Court Fines/Fees - Revenue	Key Bank	7,793.30
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	6,603.24
Mechanicville City Ct Revenue Acct	TD Bank	7,439.00
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	2,225.00
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	13,626.39
Ogdensburg City Court Revenue	Community Bank	4,276.10
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	144,052.14
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	19,030.66
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	3,388.50
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	93,948.00
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	42,312.58
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	672,576.18
Schenectady City Court Revenue	Bank of America, N.A.	0.00
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	0.00
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	1,808.00
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	2,626.00
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	23.75
<b>05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION</b>		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	9,640.00
Fulton City Court Revenue	Key Bank	8,088.46
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	20.00
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	(514.00)
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	250.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	7,500.00
Little Falls City Court Revenue	M&T Bank	4,123.72
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	13,020.00
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	37,414.75
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	4,220.25
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	18,107.00
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	25,781.95
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	2,720.50
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	56,332.50
Rome City Court - Revenue	Bank of America, N.A.	43,556.45
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	250.00
Sherrill City Court Fees - Revenue	Alliance Bank	3,883.00

Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	576,245.00
Syracuse City Court - Fees - Revenue	Alliance Bank	84,250.15
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	83,124.00
Utica City Court Revenue Account	Key Bank	66,348.40
Watertown City Court		
Watertown City Court Bail	Key Bank	93,864.07
Watertown City Court Fees & Fines - Revenue	Key Bank	13,531.38
<b>05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION</b>		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	107,487.55
Binghamton City Court Revenue	M&T Bank	41,714.31
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	16,920.50
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	5,007.50
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	3,434.25
Cortland City Court		
Court City Court Bail	NBT Bank	63,498.57
Court City Court- Revenue	NBT Bank	19,677.00
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	3,582.00
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	911.25
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	21,142.42
Elmira City Court Bail	Chemung Canal Trust	59,949.52
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	6,600.00
Ithaca City Court Revenue	Tompkins County Trust	26,778.00
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	3,407.50
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	14,220.00
Norwich City Court Revenue Acct	NBT Bank	6,125.97
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	17,874.50
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	10,456.01
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	15,449.00
Oneonta City Court Bail Account	Community Bank	42,467.00
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	1,518.50
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	415.25
Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	815.50
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	10,463.25
<b>05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION</b>		
Auburn City Court		
Auburn City Court Bail Acct	Key Bank	54,025.90
Auburn City Court Fees & Fines - Revenue	Key Bank	20,386.06
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	36,900.67
Canandaigua City Court Revenue	Canandaigua National Bank	20,573.00
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	450.00
Corning City Court		
Corning City Court - Revenue	Community Bank	18,199.00
Corning City Court Bail	M&T Bank	54,470.50
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	37,537.50
Geneva City Court Revenue Account	Wells Fargo Bank	15,907.46
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	10,400.95
Hornell City Court Revenue	Steuben Trust Co.	7,006.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	1,908.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	6,726.00
Ontario County Surrogates		



Ontario Surrogate Court	Wells Fargo Bank	813.00
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	641,755.32
Rochester City Revenue	M&T Bank	36,665.29
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	72.00
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	4,151.75
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	651.00
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	1,501.00
<b>05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION</b>		
Allegany County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Allegany Surrogate Court	Wells Fargo Bank	No report received
Batavia City Court		
Batavia City Bail Account	M&T Bank	No report received
Batavia City Court Revenue	M&T Bank	No report received
Buffalo City Court		
Buffalo City Bail Account	M&T Bank	No report received
Buffalo City Revenue Account	M&T Bank	No report received
Cattaraugus County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	No report received
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	No report received
Dunkirk City Court		
Dunkirk City - Revenue	Key Bank	No report received
Dunkirk City Court - Bail	Key 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		
Jamestown City Court Special Bail	Key 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
Niagara City Court		
Niagara Falls Bail Bond Account	M&T Bank	No report received
Niagara City Court - Criminal		
City Court Of Niagara Falls Criminal - Revenue	M&T Bank	No report received
Niagara County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	No report received
No. Tonawanda City Court		
N. Tonawanda City Court Bail	M&T Bank	No report received
N. Tonawanda City Court Revenue	M&T Bank	No report received
Olean City Court		
Olean City Court Bail Account	Community Bank	No report received
Olean City Court Revenue Account	Community Bank	No report received
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	No report received
Salamanca City Court		
Salamanca City Court Bail	Community Bank	No report received
Salamanca City Court City Judge - Revenue	Community Bank	No report received
Tonawanda City Court		
Tonawanda City Court Bail	M&T Bank	No report received
Tonawanda City Court Revenue	M&T Bank	No report received
Wyoming County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	No report received
<b>05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION</b>		
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	33,329.52
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	50,529.49
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	36,043.75
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	92,873.25

Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	69,545.05
Mt. Vernon City Court		
Mt Vernon City Court State Revenue	JPMorgan Chase Bank, N.A.	59,298.07
Mt Vernon City Trust - Bail	JPMorgan Chase Bank, N.A.	238,062.72
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	348,780.68
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	89,023.18
Newburgh City Court		
Newburgh Bail Account	Bank of America, N.A.	0.00
Newburgh Bail Account	Wells Fargo Bank	43,189.03
Newburgh City Court Revenue	Bank of America, N.A.	0.00
Newburgh City Court Revenue	Wells Fargo Bank	27,434.19
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	11,944.50
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	21,148.60
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	151,732.15
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	109,070.30
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	30,870.90
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	120,897.72
Poughkeepsie City Court -Revenue	Wells Fargo Bank	146,480.40
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	7,472.00
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	11,114.25
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	34,974.82
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	45,088.30
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	76,473.50
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	204,409.79
White Plains City Court		
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	158,169.66
Yonkers City Court		
Yonkers City Bail Account- Bail	Sterling Bank	381,174.57
Yonkers City State Account - Revenue	Sterling Bank	2,905.32
Yonkers City Court - Escrow		
Yonkers City Escrow Account - Bail	Sterling Bank	33,263.00
Yonkers City Court - State Fund		
Yonkers City State Fund Account - Revenue	Sterling Bank	110,650.04
<b>06000 - AGRICULTURE &amp; MARKETS</b>		
Administration Account	Key Bank	46,608.47
Agency Advance Account	Key Bank	8,482.31
Agriculture Producers Sec Fund	Key Bank	23,287.00
Animal Population Control Account	Key Bank	19,510.88
Apple Marketing Order Fund	Key Bank	25,148.60
Consumer Food Industry Account	Key Bank	112,387.48
Dairy Industry Services Account	Key Bank	7,550.51
Dairy Promotion Order Fund	Key Bank	5,911.66
Farm Products Grading	JPMorgan Chase Bank, N.A.	250,866.67
Milk Producers Security Fund	Key Bank	33,676.97
NYS Farmers Market Program	Key Bank	1,596,589.83
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	71.05
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	10,778.60
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	318.67
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	53,747.26
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
State Fair Premium Award Account	Solvay Bank	125,782.10
Weights & Measures Account	Key Bank	34,604.34
State Fair		
NYS Fair Operating Account	Solvay Bank	92,188.56
NYS Fair Petty Cash/Travel	Solvay Bank	1,403.98
NYS Fair Special Account	Solvay Bank	119,312.00
State Fair Premium Award Account	Solvay Bank	0.00
<b>08000 - DEPARTMENT OF CIVIL SERVICE</b>		
Agency Advance Account	Bank of America, N.A.	3,000.00
Employee Insurance Pending Account	Wells Fargo Bank	0.00
Examination Application Fees Account	Bank of America, N.A.	6,738.00

Examination Application Fees Account	Key Bank	51,970.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	5,703,002.84
<b>08010 - PUBLIC EMPLOYEE RELATIONS BOARD</b>		
Petty Cash And Travel Advance Account	Key Bank	1,019.59
<b>09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION</b>		
Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	33,882.75
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	488,485.42
Conservation Petty Cash Account	M&T Bank	21,279.24
DEC/Exchange Account	M&T Bank	67,113.98
ENCON License Issuing Office	M&T Bank	1,859.00
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,128.52
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,676.41
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	1,545,180.30
Hunting Trapping & Fishing Account	M&T Bank	102,920.75
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	233,784.19
Lockbox Account	Wells Fargo Bank	405,228.87
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,314.97
NY Conservationist	Bank of America, N.A.	38,350.97
Program Fee	JPMorgan Chase Bank, N.A.	1,403.69
Revenue Account	Bank of America, N.A.	2,427,670.65
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,251,541.91
SNY Dept Of Environmental Conservation	JPMorgan Chase Bank, N.A.	0.00
State of New York	Key Bank	597,972.13
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,048.56
Westhampton Project Escrow	JPMorgan Chase Bank, N.A.	253,633.90
Region 1		
Marine Permit Account	Bank of Smithtown	8,250.00
Region 3		
Revenue Region 3 Account	Bank of America, N.A.	0.00
Region 4		
Bear Spring Revenue Account	National Bank of Delaware	0.00
Region 4	Greene County Commercial Bank	0.00
Region 4 Camping	NBT Bank	0.00
Region 5		
Campsite Revenue Account	Glens Falls National	11.65
Land & Forest Region 5W	TD Bank	9,580.39
NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	49.51
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	108,062.40
Tree Nursery	Bank of America, N.A.	1,046.00
Region 6		
Fish & Wildlife Watertown	Key Bank	121.92
Lands & Forest District #7	Community Bank	80.00
Lands & Forests District #6	Community Bank	9,305.00
Lands And Forests District 10	M&T Bank	19.90
SNY Dept Of Environmental Conserv	Community Bank	14.05
Region 7		
Div Of Fish & Wildlife	Alliance Bank	0.00
Lands & Forests District #3	Alliance Bank	0.00
Regional Office Checking Acct	JPMorgan Chase Bank, N.A.	0.00
Region 8		
Lands & Forests Dist No. 14	Five Star Bank	0.00
<b>10000 - ATTICA CORRECTIONAL FACILITY</b>		
Agency Advance Account	Five Star Bank	1,468.54
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	24,455.94
General Cash Fund	Five Star Bank	12,569.23
Inmate Occupational Therapy Fund	Five Star Bank	114,271.78
Inmate Savings Account	Five Star Bank	252,764.28
Spendable Fund	Five Star Bank	79,399.35
<b>10010 - AUBURN CORRECTIONAL FACILITY</b>		
Advance Account	Bank of America, N.A.	1,408.57
Advance Account	Key Bank	109.69
Certificate of Deposit	Bank of America, N.A.	20,000.00
Certificate of Deposit	Bank of America, N.A.	90,000.00
Certificate of Deposit	Bank of America, N.A.	15,000.00
Inmate Occupational Therapy Fund	Bank of America, N.A.	24,468.60
Inmate Occupational Therapy Fund	Key Bank	2,056.98
Inmate Spendable Account	Bank of America, N.A.	226,738.49
Inmate Spendable Account	Key Bank	281,175.15
Inmate Spendable Savings CD	Key Bank	0.00

Misc Receipts	Bank of America, N.A.	3,278.16
Misc Revenue	Key Bank	250.52
Money Market	Bank of America, N.A.	35,000.00
<b>10020 - CLINTON CORRECTIONAL FACILITY</b>		
Advance Account	Key Bank	12,026.27
Employee Benefit Fund	Key Bank	7,782.77
General Fund	Key Bank	3,137.24
Inmate Funds	Key Bank	234,496.48
Inmate Funds Money Market Account	Key Bank	690,998.45
Inmate Occupational Therapy Acct	Key Bank	123,075.91
<b>10030 - WATERTOWN CORRECTIONAL FACILITY</b>		
Agency Advance Account	Key Bank	2,166.96
Inmate Occupational Therapy Fund	Key Bank	14,553.12
Inmate Spendable Funds	Key Bank	23,568.96
Inmate Spendable Savings Account	Key Bank	90,424.78
Miscellaneous Receipts	Key Bank	14,013.21
<b>10040 - GREAT MEADOW CORRECTIONAL FACILITY</b>		
Certificate of Deposit	Glens Falls National	150,000.00
Certificate of Deposit	Glens Falls National	100,000.00
Certificate of Deposit	Glens Falls National	25,000.00
Employee Assistance Program	Glens Falls National	1,051.68
Employee Benefit Fund	Glens Falls National	6,027.83
Facility Advance	Glens Falls National	3,650.11
General Fund Account	Glens Falls National	12,503.36
Inmate Fund	Glens Falls National	98,897.57
Inmate Fund Savings Account	Glens Falls National	152,500.00
Occupational Therapy	Glens Falls National	21,172.94
<b>10050 - FISHKILL CORRECTIONAL FACILITY</b>		
Agency Advance	M&T Bank	2,744.48
Employee Benefits	M&T Bank	17,872.67
Inmate Spending Account	M&T Bank	513,261.73
Inmates Account	M&T Bank	462,235.08
Inmates Benefit	M&T Bank	59,324.26
Misc Receipts	M&T Bank	43,695.22
Occupational Therapy Account	M&T Bank	11,907.72
<b>10060 - WALLKILL CORRECTIONAL FACILITY</b>		
Advance Account	Key Bank	1,520.05
Employee Benefit	Key Bank	1,975.05
Inmate Occupational Therapy Fund	Key Bank	33,199.64
Inmate Savings Account	Key Bank	87,910.85
Inmates Fund Account	Key Bank	83,290.28
Misc. Receipts	Key Bank	26,856.05
<b>10070 - SING SING CORRECTIONAL FACILITY</b>		
Cash Advance	JPMorgan Chase Bank, N.A.	4,066.00
Cash Advance	Sleepy Hollow National Bank	0.00
Inmate Interest Funds	JPMorgan Chase Bank, N.A.	0.00
Inmate Spending	JPMorgan Chase Bank, N.A.	9,312.31
Inmate Spending	Sleepy Hollow National Bank	20,450.19
Misc Receipts	JPMorgan Chase Bank, N.A.	52,104.28
Misc Receipts	Sleepy Hollow National Bank	0.00
Money Market	Sleepy Hollow National Bank	451,729.39
Occupational Therapy	JPMorgan Chase Bank, N.A.	126,343.70
Occupational Therapy	Sleepy Hollow National Bank	622.85
Quality Work Life	JPMorgan Chase Bank, N.A.	37,395.47
<b>10080 - GREEN HAVEN CORRECTIONAL FACILITY</b>		
Advance Account	Key Bank	1,555.50
General Fund	Key Bank	38,230.60
Inmates Money Market	Key Bank	286,918.37
Inmates Now Checking	Key Bank	647,674.23
Occupational Therapy Fund	Key Bank	122,903.32
<b>10090 - ALBION CORRECTIONAL FACILITY</b>		
Albion Advance Account	Bank of America, N.A.	2,951.61
Employee Benefit Fund	Bank of America, N.A.	17,687.02
Inmate Funds	Bank of America, N.A.	180,120.79
Inmate Funds Savings	Bank of America, N.A.	103,482.59
Misc Receipts	Bank of America, N.A.	3,042.10
Occupational Therapy	Bank of America, N.A.	27,739.27
<b>10100 - EASTERN NEW YORK CORRECTIONAL FACILITY</b>		
Agency Advance Account	Sterling Bank	168.03
Employee Benefit Fund	Sterling Bank	8,659.00
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	248,592.52
Inmate Occupational Therapy Account	Sterling Bank	20,303.31
Misc. Receipts	Sterling Bank	5,513.51

**10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER**

Agency Advance Account  
ECF Clubhouse  
Employee Benefit Fund  
Inmate CD Account  
Inmates Fund  
Miscellaneous Receipts  
Occupational Therapy Fund

Chemung Canal Trust 2,281.32  
Chemung Canal Trust 23,731.70  
Chemung Canal Trust 16,641.80  
M&T Bank 213,232.44  
Chemung Canal Trust 377,244.05  
Chemung Canal Trust 2,614.83  
Chemung Canal Trust 66,668.75

**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. 4,869.36  
JPMorgan Chase Bank, N.A. 2,149.47  
JPMorgan Chase Bank, N.A. 93,209.04  
JPMorgan Chase Bank, N.A. 90,000.00  
JPMorgan Chase Bank, N.A. 20,369.89  
JPMorgan Chase Bank, N.A. 1,294.34  
JPMorgan Chase Bank, N.A. 30,787.35

**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 Coxsackie 1,669.15  
National Bank of Coxsackie 10,658.52  
National Bank of Coxsackie 109,294.97  
National Bank of Coxsackie 23,580.20  
National Bank of Coxsackie 17,645.44  
National Bank of Coxsackie 159,854.80  
National Bank of Coxsackie 20,862.40

**10140 - WOODBOURNE CORRECTIONAL FACILITY**

Agency Advance  
CD - Inmate Funds  
CD - Inmate Funds  
General Fund  
Inmate Funds Checking  
Occupational Therapy Account

Bank of America, N.A. 441.18  
First National Bank of Jeffersonville 95,000.00  
First National Bank of Jeffersonville 50,000.00  
Bank of America, N.A. 4,827.31  
Bank of America, N.A. 86,705.90  
Bank of America, N.A. 5,069.27

**10160 - DEPARTMENT OF CORRECTIONAL SERVICES**

Agency Advance Account  
Employee Benefit Fund  
Inmate Escrow Account  
Misc. Receipts Account  
Special Account

Key Bank 24,549.06  
Key Bank 21,512.07  
Key Bank 538,271.30  
Key Bank 96,691.42  
Key Bank 1,300.00

**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. 5,355.73  
JPMorgan Chase Bank, N.A. 1,362.45  
JPMorgan Chase Bank, N.A. 85,094.00  
JPMorgan Chase Bank, N.A. 381.94  
JPMorgan Chase Bank, N.A. 1,806.78  
JPMorgan Chase Bank, N.A. 15,447.98

**10230 - ADIRONDACK CORRECTIONAL FACILITY**

ADK QWL  
Agency Advance  
Diversity Management  
Employee Benefit Fund  
General Fund  
Inmate Funds  
Inmate Occupational Therapy Fund  
Inmate Savings Money Market  
Make A Difference Day

Community Bank 5,786.03  
Community Bank 737.12  
Community Bank 826.10  
Community Bank 5,926.95  
Community Bank 1,551.10  
Community Bank 55,868.38  
Community Bank 6,748.35  
Community Bank 67,227.67  
Community Bank 40.14

**10240 - DOWNSTATE CORRECTIONAL FACILITY**

Agency Advance  
Employee Recreational Funds  
Inmate Fund  
Inmates Funds Savings  
Misc. Receipts  
Occupational Therapy

JPMorgan Chase Bank, N.A. 1,659.35  
JPMorgan Chase Bank, N.A. 7,439.09  
JPMorgan Chase Bank, N.A. 241,224.83  
JPMorgan Chase Bank, N.A. 79,398.25  
JPMorgan Chase Bank, N.A. 27,978.11  
JPMorgan Chase Bank, N.A. 61,350.43

**10250 - TACONIC CORRECTIONAL FACILITY**

Inmate Funds  
Misc. Revenue  
Money Market  
Occupational Therapy Fund  
Taconic Advance Account

JPMorgan Chase Bank, N.A. 75,629.31  
JPMorgan Chase Bank, N.A. 3,945.61  
JPMorgan Chase Bank, N.A. 30,640.85  
JPMorgan Chase Bank, N.A. 26,049.07  
JPMorgan Chase Bank, N.A. 3,226.41

**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 1,614.40  
Key Bank 2,684.92  
Key Bank 14,809.02  
Key Bank 65,192.02  
Key Bank 7,712.37  
Key Bank 2,199.69



**10290 - OTISVILLE CORRECTIONAL FACILITY**

Cash Advance  
General Fund  
Inmate Funds  
Inmate Occupational Therapy  
Inmate Savings  
Inmate Savings CD

Jeff Bank 617.00  
Jeff Bank 1,556.86  
Jeff Bank 199,581.45  
Jeff Bank 50,792.64  
Jeff Bank 51,212.68  
Hometown Bank 76,353.26

**10300 - ROCHESTER CORRECTIONAL FACILITY**

Consolidated Advance Account  
Employee Recreation Fund  
Inmate Deposit Account  
Inmate Occupational Therapy  
Misc Fees  
Work Release Advance Account

M&T Bank 1,557.00  
M&T Bank 719.86  
M&T Bank 137,088.80  
M&T Bank 26.26  
M&T Bank 46.00  
M&T Bank 5,555.00

**10320 - EDGEcombe CORRECTIONAL FACILITY**

Agency Advance  
Employee Benefit Account  
Inmate Cash Account  
Misc. Receipts Account  
Occupational Therapy Acct  
Work Release Account

JPMorgan Chase Bank, N.A. 653.59  
JPMorgan Chase Bank, N.A. 1,263.65  
JPMorgan Chase Bank, N.A. 77,370.24  
JPMorgan Chase Bank, N.A. 0.00  
JPMorgan Chase Bank, N.A. 872.72  
JPMorgan Chase Bank, N.A. 0.00

**10350 - OGDENSBURG CORRECTIONAL FACILITY**

Agency Advance Account  
Inmate Fund  
Inmate Savings  
Misc. Receipts  
Occupational Therapy

Community Bank 2,994.50  
Community Bank 79,633.90  
Community Bank 45,179.79  
Community Bank 311.95  
Community Bank 13,645.46

**10360 - LINCOLN CORRECTIONAL FACILITY**

Agency Advance  
Employee Benefit Fund  
General Fund  
Inmate Funds  
Inmate Savings  
Lincoln Work Release Account  
Occupational Therapy

JPMorgan Chase Bank, N.A. 2,148.33  
JPMorgan Chase Bank, N.A. 6,150.71  
JPMorgan Chase Bank, N.A. 2,736.67  
JPMorgan Chase Bank, N.A. 493,214.92  
JPMorgan Chase Bank, N.A. 59,647.52  
JPMorgan Chase Bank, N.A. 892.00  
JPMorgan Chase Bank, N.A. 5,127.55

**10370 - FIVE POINTS CORRECTIONAL FACILITY**

Consolidated Advance  
EBF Checking  
EBF Savings  
Inmate Savings  
Inmate Spendable  
Misc Receipts  
Occupational Therapy

Five Star Bank 984.68  
Five Star Bank 27,632.86  
Five Star Bank 45,741.47  
Five Star Bank 357,773.60  
Five Star Bank 159,200.34  
Five Star Bank 781.40  
Five Star Bank 28,538.22

**10390 - MOHAWK CORRECTIONAL FACILITY**

Agency Advance  
Employee Benefit Fund Checking  
Inmate Funds Checking  
Inmate Funds Savings  
Miscellaneous Revenue  
Occupational Therapy

Key Bank No report received  
Bank of America, N.A. No report received  
Key Bank No report received  
Key Bank No report received  
Key Bank No report received  
Key Bank No report received

**10430 - WENDE CORRECTIONAL FACILITY**

Consolidated Advance  
Employee Benefit Account  
Inmate Savings  
Inmates Funds  
Misc. Receipts  
Occupational Therapy

Alden State Bank 4,535.54  
Alden State Bank 46,042.48  
Alden State Bank 194,861.36  
Alden State Bank 172,172.68  
Alden State Bank 23,777.42  
Alden State Bank 51,511.78

**10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER**

Office of Nutritional Services  
Miscellaneous Receipts

Key Bank 23,813.28

**10450 - GOWANDA CORRECTIONAL FACILITY**

Advance Account  
Employee Benefit Fund  
Inmate Funds  
Inmate Funds - CD  
Inmate Funds Savings  
Miscellaneous Revenue  
Occupational Therapy

Evans National Bank 1,908.02  
Evans National Bank 19,750.44  
Evans National Bank 74,396.52  
Evans National Bank 133,362.72  
Evans National Bank 163,563.96  
Evans National Bank 4,311.63  
Evans National Bank 13,687.28

**10460 - GROVELAND CORRECTIONAL FACILITY**

Agency Advance Account  
Employee Commission Account  
Inmate Funds Account  
Inmate Funds Account - Savings  
Miscellaneous Receipts Account

Five Star Bank 1,719.40  
Five Star Bank 12,837.96  
Five Star Bank 86,208.05  
Five Star Bank 132,992.79  
Five Star Bank 4,775.35

Occupational Therapy Account	Five Star Bank	16,559.20
<b>10470 - COLLINS CORRECTIONAL FACILITY</b>		
Agency Advance	Community Bank	3,405.99
Employee Activities	Community Bank	46,871.31
Inmate Fund Checking	Community Bank	107,877.83
Inmate Savings	Community Bank	130,442.55
Miscellaneous Revenue	Community Bank	4,702.17
Occupational Therapy	Community Bank	16,509.49
<b>10480 - MID-STATE CORRECTIONAL FACILITY</b>		
Agency Advance	Key Bank	1,101.74
Employee Benefit Fund	Bank of America, N.A.	33,391.47
Inmate Funds	Key Bank	241,115.44
Inmate Savings	Key Bank	198,071.71
Misc. Revenue	Key Bank	2,830.42
Occupational Therapy	Key Bank	49,030.55
<b>10490 - MARCY CORRECTIONAL FACILITY</b>		
Agency Advance Account	Key Bank	2,836.07
Employee Benefit Fund Account	Bank of America, N.A.	15,106.47
Inmate Fund Account	Key Bank	118,394.14
Inmate Funds Checking	Key Bank	0.00
Misc receipts Acct	Key Bank	7,954.02
NYS DOCS Marcy Corr Facility	Key Bank	206,099.55
Occupational Therapy fund Acct	Key Bank	36,325.21
<b>10500 - NYC CENTRAL ADMINISTRATION</b>		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	2,394.76
Misc Receipts	JPMorgan Chase Bank, N.A.	509.17
<b>10501 - CENTRAL PHARMACY</b>		
NYS Docs Central Pharmacy Advance Acct	Bank of America, N.A.	1,000.00
<b>10510 - MORIAH SHOCK INCARCERATION CORRECTIONAL FACILITY</b>		
Moriah Shock Incarceration Advance Acct	Glens Falls National	1,800.00
Moriah Shock Incarceration Employee Benefit Fund	Glens Falls National	4,246.57
Moriah Shock Incarceration Occ Therapy	Glens Falls National	3,372.30
Moriah Shock Misc Receipts	Glens Falls National	0.00
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	67,689.00
<b>10530 - FRANKLIN CORRECTIONAL FACILITY</b>		
Advance Account	Key Bank	3,489.18
Employee Benefit Account	Key Bank	7,631.78
Inmate Funds	Key Bank	142,674.24
Inmate Occupational Therapy	Key Bank	21,190.30
Inmate Savings	Key Bank	217,002.73
Misc. Receipts	Key Bank	11,988.48
<b>10540 - ALTONA CORRECTIONAL FACILITY</b>		
Cons Adv Travel Petty Cash	NBT Bank	3,057.57
Employees Vending Benefit	NBT Bank	10,097.26
Inmates Funds	NBT Bank	117,293.82
Misc Revenues General Fund	NBT Bank	971.86
Occupational Therapy	NBT Bank	7,789.83
<b>10550 - CAYUGA CORRECTIONAL FACILITY</b>		
Agency Advance	First National Bank of Groton	1,315.90
Cert Of Deposit	First National Bank of Groton	86,403.80
Employee Benefit Fund	First National Bank of Groton	4,615.92
Inmate Occupational Therapy Account	First National Bank of Groton	31,516.51
Inmate Spendable	First National Bank of Groton	0.00
Inmate Spendable	First National Bank of Groton	200,005.48
Misc Receipts	First National Bank of Groton	1,367.73
<b>10560 - BARE HILL CORRECTIONAL FACILITY</b>		
Agency Advance	Key Bank	1,547.33
Employee Benefit Fund	Key Bank	10,889.59
Inmate Spendable Funds	Key Bank	160,472.72
Key Public Money Market Checking	Key Bank	236,309.06
Miscellaneous Receipts	Key Bank	1,015.79
Occupational Therapy	Key Bank	22,428.46
<b>10570 - RIVERVIEW CORRECTIONAL FACILITY</b>		
Agency Advance Account	Key Bank	1,165.85
Inmate Accounts	Key Bank	95,156.73
Inmate Savings Account	Key Bank	105,312.41
Miscellaneous Receipts Account	Key Bank	2,953.23
Occupational Therapy	Key Bank	14,135.34
<b>10580 - CAPE VINCENT CORRECTIONAL FACILITY</b>		
Advance Account	Community Bank	1,900.00
Employee Benefit Fund	Community Bank	41,526.09
Inmate Occupation Therapy Acct	Community Bank	15,761.44
Inmate Savings	Community Bank	206,514.80
Inmate Spendable Account	Community Bank	91,168.07

Miscellaneous Receipts Account	Community Bank	3,114.94
<b>10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY</b>		
Agency Advance	Community Bank	3,700.00
Employee Benefit Fund	Community Bank	10,036.38
Inmate Funds	Community Bank	38,513.48
Inmate Funds - Sav	Community Bank	94,634.40
Miscellaneous Revenue	Community Bank	528.29
Occupational Therapy	Community Bank	3,060.07
<b>10610 - ULSTER CORRECTIONAL FACILITY</b>		
Agency Advance	Bank of America, N.A.	1,123.02
Employee Benefit Fund	Bank of America, N.A.	6,242.69
Inmate Fund	Bank of America, N.A.	88,095.02
Inmate Funds Savings	Bank of America, N.A.	12,278.52
Misc. Receipts	Bank of America, N.A.	4.00
Occupational Therapy	Bank of America, N.A.	13,477.38
<b>10630 - SOUTHPORT CORRECTIONAL FACILITY</b>		
Advance Account	Chemung Canal Trust	334.12
Employee Benefit Fund	Chemung Canal Trust	20,288.25
Inmate Funds	Chemung Canal Trust	103,769.32
Inmate Funds Account	Chemung Canal Trust	53,304.38
Misc. Receipts Account	Chemung Canal Trust	0.00
Occupational Therapy Account	Chemung Canal Trust	22,808.31
<b>10640 - ORLEANS CORRECTIONAL FACILITY</b>		
Agency Advance	Bank of America, N.A.	3,180.25
Employee Benefit Fund	Bank of America, N.A.	6,749.01
Inmate Funds	Bank of America, N.A.	61,461.01
Inmate Savings	Bank of America, N.A.	177,380.29
Miscellaneous Receipts	Bank of America, N.A.	10,033.60
Occupational Therapy	Bank of America, N.A.	31,194.87
<b>10650 - WASHINGTON CORRECTIONAL FACILITY</b>		
Advance Account	Key Bank	763.94
General Account	Key Bank	0.00
Inmate Account	Key Bank	160,049.74
Inmate Funds Account Certificate Of Deposit	Glens Falls National	78,243.77
Inmate Savings Account	Key Bank	14,324.05
Occupational Therapy Account	Key Bank	24,429.18
<b>10660 - WYOMING CORRECTIONAL FACILITY</b>		
Agency Advance	Five Star Bank	5,110.85
Employee Benefit Fund	Five Star Bank	12,372.82
Inmate Occupational Therapy	Five Star Bank	39,342.94
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings Account	Five Star Bank	51,142.21
Inmate Savings-Certificate of Deposit	Five Star Bank	25,000.00
Inmate Spendable	Five Star Bank	211,135.60
Misc. Receipts Account	Five Star Bank	34,324.80
<b>10670 - GREENE CORRECTIONAL FACILITY</b>		
Consolidated Advance	National Bank of Coxsackie	890.21
Inmate Accounts	National Bank of Coxsackie	98,831.38
Inmate Savings	National Bank of Coxsackie	202,364.58
Misc. Receipts	National Bank of Coxsackie	5,528.78
Occupational Therapy	National Bank of Coxsackie	61,512.40
<b>10680 - SHAWANGUNK CORRECTIONAL FACILITY</b>		
Consolidated Advance Account	Key Bank	886.60
Inmate Funds	Key Bank	150,020.10
Inmates Funds Account	Key Bank	42,603.09
Misc. Receipts Account	Key Bank	32.16
Occupational Therapy Acct	Key Bank	33,014.15
<b>10690 - SULLIVAN CORRECTIONAL FACILITY</b>		
Consolidated Advance	Bank of America, N.A.	1,526.23
Inmate Funds	Bank of America, N.A.	33,634.88
Miscellaneous Receipts	Bank of America, N.A.	3,701.79
Occupational Therapy	Bank of America, N.A.	26,815.55
Savings	Bank of America, N.A.	100,182.60
<b>10800 - LIVINGSTON CORRECTIONAL FACILITY</b>		
Consolidated Advance	Five Star Bank	1,001.26
Employee Benefit Fund	Five Star Bank	7,626.46
Inmate Funds CD	Five Star Bank	75,309.28
Inmate Funds Checking	Five Star Bank	98,676.47
Inmate Savings	Five Star Bank	20,240.81
Miscellaneous Receipts	Five Star Bank	1,384.26
Occupational Therapy	Five Star Bank	14,470.37
<b>10810 - GOUVERNEUR CORRECTIONAL FACILITY</b>		
Agency Advance	Community Bank	1,594.89

Inmate Occupational Therapy	Community Bank	23,259.40
Inmate Savings	Community Bank	164,858.63
Inmate Spendable Fund	Community Bank	166,036.16
Misc Receipts	Community Bank	14,597.59
<b>10820 - WILLARD DRUG TREATMENT CENTER</b>		
Consolidated Advance	Community Bank	543.71
Employee Benefit Fund	Community Bank	19,491.14
Inmate Funds	Community Bank	71,954.93
Inmate Occupational Therapy	Community Bank	5,999.42
Misc Receipts	Community Bank	382.90
<b>10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1</b>		
Advance Account	Key Bank	1,900.00
Facility Committees	Key Bank	12,772.67
Inmate Fund	Key Bank	131,080.40
Inmate Fund Savings	Key Bank	190,093.60
Inmate Occupational Therapy Fund	Key Bank	9,697.12
Miscellaneous Account	Key Bank	483.95
<b>10850 - HALE CREEK ASACTC</b>		
Consolidated Advance	Key Bank	405.53
Employee Benefit Fund	Bank of America, N.A.	14,136.09
Inmate Funds	Key Bank	70,913.39
Inmate Interest Bearing Account	Key Bank	15,000.25
Misc Receipts	Key Bank	199.40
Occupational Therapy	Key Bank	30,976.12
<b>10916 - CENTRAL OFFICE - INDUSTRIES</b>		
Div of Ind Petty Cash Acct	Key Bank	4,000.00
Div of Ind Revenue Acct	Key Bank	684,565.72
<b>11000 - EDUCATION DEPARTMENT</b>		
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
<b>11100 - NYS HIGHER EDUCATION SERVICES CORPORATION</b>		
EFT Disbursement	Key Bank	No report received
Operating	Key Bank	No report received
Retail Lockbox	US Bank	No report received
TAP	Key Bank	No report received
Wholesale Lockbox	US Bank	No report received
<b>11260 - BATAVIA SCHOOL FOR THE BLIND</b>		
Misc. Receipts	M&T Bank	571.19
Petty Cash	M&T Bank	3,626.42
Student Spending Account	Bank of America, N.A.	10,323.58
<b>11270 - ROME SCHOOL FOR THE DEAF</b>		
Miscellaneous Receipts	NBT Bank	2,534.01
Petty Cash	NBT Bank	1,970.00
Student Activity Fund	NBT Bank	3,276.37
<b>11280 - ARCHIVES PARTNERSHIP TRUST</b>		
Endowment	Janney Montgomery Scott LLC	4,476,105.02
Endowment - Special Account	Janney Montgomery Scott LLC	18,172.31
Trust's Board Project Account	Key Bank	181,989.16
<b>12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION</b>		
Conf Narcotic Investigation	M&T Bank	No report received
Consolidated Advance Acct	M&T Bank	No report received
CSA Rebate Account	Bank of America, N.A.	No report received
EPIC Benefit Recovery Program	Bank of America, N.A.	No report received
EPIC Provider Receipt Account	Bank of America, N.A.	No report received
General Account	M&T Bank	No report received
Indian Health Disbursement Account	Bank of America, N.A.	No report received
Medicaid	Key Bank	No report received
Medicaid Audit Recoveries Acct	Key Bank	No report received
Medicaid Buy-In Account	Bank of America, N.A.	No report received
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	No report received
Nursing Home Fees Account	Bank of America, N.A.	55,044.46
<b>12010 - ROSWELL PARK MEMORIAL INSTITUTE</b>		
Office Of Patient Accounts	M&T Bank	2,967,489.08
<b>12030 - HELEN HAYES HOSPITAL</b>		
Misc. Receipts	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	No report received
<b>12120 - NYS VETERANS HOME- OXFORD</b>		
Agency Advance	NBT Bank	No report received
Exchange Account	NBT Bank	No report received
Maintenance Fund	NBT Bank	No report received
Resident Advance Savings	NBT Bank	No report received
<b>12150 - NYS VETERANS HOME-ST ALBANS</b>		

NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	No report received
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	No report received
St Albans Vet Home Maintenance Acct	NBT Bank	711,005.46
<b>12180 - WESTERN NEW YORK VETERANS HOME</b>		
Advance Account	Bank of America, N.A.	No report received
Exchange Account	Bank of America, N.A.	No report received
Maintenance Account	NBT Bank	483,080.02
Resident Funds	Bank of America, N.A.	No report received
<b>12190 - VETERANS HOME AT MONTROSE</b>		
Agency Advance Account	Bank of America, N.A.	No report received
Maintenance Acct	NBT Bank	672,242.58
Residence Account	Bank of America, N.A.	No report received
<b>12200 - OFFICE OF MEDICAID INSPECTOR GENERAL</b>		
Albany Confidential Account	Key Bank	309.59
Albany Petty Cash Account	Key Bank	429.08
NYC Confidential Account	JPMorgan Chase Bank, N.A.	422.07
<b>14000 - DEPARTMENT OF LABOR</b>		
Agency Advance Account	Key Bank	28,214.85
Exchange Account	Bank of America, N.A.	109,020.13
Fee And Permit Account	Key Bank	696,461.21
Min Wage & Claim Funding Acct	Key Bank	635,386.27
Minimum Wage & Wage Claim Acct	Key Bank	785,110.71
Misc Receipts	Bank of America, N.A.	192,294.84
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	26,861,962.12
UI Fund ACH Transactions	Wells Fargo Bank	1,100,000.00
<b>16000 - PUBLIC SERVICE COMMISSION</b>		
Cable Account	Key Bank	5,228.23
Petty Cash Account	Key Bank	3,966.50
Special Fee Account	Key Bank	48,053.56
<b>17000 - NYS DEPARTMENT OF TRANSPORTATION</b>		
Contractors Bid And Guarantee	Key Bank	(92,626.05)
Driver Improvement Program (DIP)	Key Bank	17,064.31
Main Office Advance For Travel	Key Bank	51,944.80
Revenue Unit	Key Bank	449,131.29
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	43,599.02
<b>17100 - NYS DEPARTMENT OF TRANSPORTATION-REGION 10</b>		
Region 10 Advance For Travel	Citibank	No report received
<b>19000 - DEPARTMENT OF STATE</b>		
Athletic	M&T Bank	No report received
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Main	M&T Bank	No report received
Petty Cash Account	Key Bank	No report received
Summons	M&T Bank	No report received
<b>19001 - TUG HILL COMMISSION</b>		
Agency Advance Account	Key Bank	No report received
<b>19002 - LAKE GEORGE PARK COMMISSION</b>		
Petty Cash Account	Glens Falls National	No report received
Revenue Transfer Account	Glens Falls National	No report received
<b>19005 - COMMISSION ON PUBLIC INTEGRITY</b>		
JCOPE Petty Cash Account	Bank of America, N.A.	No report received
JCOPE Revenue Account	Bank of America, N.A.	No report received
<b>20000 - DEPARTMENT OF TAXATION &amp; FINANCE</b>		
Exchange	Bank of America, N.A.	124,793.50
Fee Account	Key Bank	284,785.45
IFTA Funding	JPMorgan Chase Bank, N.A.	583.17
Misc Tax Account - Exchange	Bank of America, N.A.	167,289.75
Petty Cash	Bank of America, N.A.	15,803.65
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	29,300.00
Waste Tire Fee (EFT)	Wells Fargo Bank	42,312.72
Waste Tire Tax	JPMorgan Chase Bank, N.A.	18,813.35
<b>20050 - NEW YORK STATE GAMING COMMISSION</b>		
Charitable Gaming Account	Key Bank	99,262.85
Custody Account	US Bank	No report received
Fingerprint Concentration Account	Key Bank	41,528.89
License Revenue Account	Bank of America, N.A.	37,836.81
Lottery Concentration Account	Key Bank	91,713.29
Lottery Prize Payment Account	Key Bank	43,982,414.00
Lottery Subscriptions Account	Key Bank	626,040.87
Petty Cash Account	Key Bank	1,147.53
Racing Refund Account	Key Bank	2,025,767.86
Video Gaming Revenue Account	Key Bank	9,758,582.02
<b>21012 - WELFARE INSPECTOR GENERAL</b>		
Confidential Fund	Bank of America, N.A.	32,739.74



Confidential Fund	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
<b>21110 - OFFICE OF REGULATORY REFORM</b>		
Petty Cash	Key Bank	No report received
<b>21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT</b>		
Checking- General Fund Acct.	Community Bank	11,741.76
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	285,346.98
Money Market	Bank of America, N.A.	908.38
Petty Cash Fund	Bank of America, N.A.	6,500.00
<b>21700 - OFFICE OF THE STATE INSPECTOR GENERAL</b>		
Office Of The State Inspector General Pass Thru Account	Key Bank	45,849.43
OSIG Petty Cash Account	Key Bank	358.03
Albany		
Office of the Inspector General Confidential	Bank of America, N.A.	32,739.74
<b>21820 - STATE COMMISSION ON JUDICIAL CONDUCT</b>		
Petty Cash Account	JPMorgan Chase Bank, N.A.	63.22
Petty Cash Account	Key Bank	405.24
Petty Cash Fund	JPMorgan Chase Bank, N.A.	940.87
<b>21940 - NYS FINANCIAL CONTROL BOARD</b>		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
<b>23000 - DEPARTMENT OF MOTOR VEHICLES</b>		
Albany Central Main Acct		
Albany Central Main Acct	Wells Fargo Bank	1,194,365.28
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	634,938.69
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	46,394.46
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	98,303.82
Administrative Adj	M&T Bank	No report received
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	No report received
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	12,067.93
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	71,645.40
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	336.00
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	86,723.27
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	128,460.85
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	63,951.34
Chautauqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	52,536.09
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	227,000.00
Concentration (DO)(OSC)		
Concentration (DO)(OSC)	Key Bank	6,170,378.00
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	7,740.00
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	1,706,692.23
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	12,648.58
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	5,915,984.25
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Downstate		
Revenue Account - Downstate	Wells Fargo Bank	757,258.92
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	190,805.07
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	49,066.59
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	75,646.37
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.	80,361.74
IRP (Albany Central Office)		
International Registration	M&T Bank	881,007.16
International Registration	Wells Fargo Bank	213,929.97
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	192,103.69
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	218,038.00
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	743,260.17
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	32,306.73
Office Fee (Albany Central Office)		
Office Fee	Wells Fargo Bank	38,238.61
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	129,072.13
Oneida County Fee Account	NBT Bank	124,143.32
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	3,148.03
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	2,650.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	126,480.08
Search Exchange (Albany Central Office)		
MV Search	Key Bank	210,545.61
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	199,980.55
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	No report received
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	195,465.75
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	1,974.00
TVB Acct		
TVB Acct	Wells Fargo Bank	321,789.87
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	970,336.15
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	113,730.67
Utica D.O.		
Exchange Account	Bank of Utica	3,671.89
Revenue Utica	Bank of Utica	2,880,214.17
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	2,833.00
<b>25000 - OFFICE OF CHILDREN &amp; FAMILY SERVICES</b>		
Brentwood Resid Advance	JPMorgan Chase Bank, N.A.	311.20
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	798.80
Bronx CMSO Cash Advance #237	JPMorgan Chase Bank, N.A.	500.00
Brooklyn Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	500.00
Brookwood Cash Advance	Key Bank	1,186.35
Brookwood Resid Residential Cash	Key Bank	24,153.10
Check Exchange	Bank of America, N.A.	4,053.19
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	435.34
Columbia Girls Secure Center-Youth Savings	Key Bank	853.08
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	2,238.85
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	2,516.33
Goshen Cash Advance	Bank of America, N.A.	2,020.80
Goshen Residents Account	Bank of America, N.A.	3,644.52
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	2,500.67
Highland Res Ctr Residents Acct	Bank of America, N.A.	1,455.34
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,210.40
Industry Res Account	JPMorgan Chase Bank, N.A.	3,077.68
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	0.00
MacCormick Cash Advance	Tompkins County Trust	1,724.91
MacCormick Resid Advance	Tompkins County Trust	6,024.51

Medicaid Reimbursement Exchange	Bank of America, N.A.	161,684.91
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	15,152.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	17,800.00
Queens CMSO Cash Advance	Bank of America, N.A.	400.00
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	700.00
Red Hook Res Ctr Resident Cash	Key Bank	167.79
Red Hook Resid Ctr Cash Advance	Key Bank	211.60
Rochester Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	733.50
SCR Credit Card Revenue Account	Bank of America, N.A.	5,750.00
State Central Register	Bank of America, N.A.	56,988.60
Taberg Cash Advance	NBT Bank	614.98
Taberg Residents Account	NBT Bank	659.57
Training Academy Cash Advance	Key Bank	0.00
Youth Leadership Academy	NBT Bank	456.46
Youth Leadership Cash Advance	NBT Bank	700.80
<b>27000 - OFFICE OF TEMPORARY &amp; DISABILITY ASSISTANCE</b>		
Exchange Account	Key Bank	0.70
Title IV D Of Social Security	Key Bank	324,284.76
Travel Advance	Key Bank	10,000.00
<b>28010 - SUNY ALBANY</b>		
Fee Account	Key Bank	(306,880.22)
Loan Services Center Account	Key Bank	284,830.02
Petty Cash/Travel Advance	Key Bank	0.00
<b>28020 - SUNY BINGHAMTON</b>		
SUNY Binghamton	M&T Bank	1,634,568.25
SUNY Binghamton - Controlled Disb	M&T Bank	No report received
SUNY Binghamton - Petty Cash	M&T Bank	No report received
<b>28030 - SUNY BUFFALO</b>		
Controlled Disbursement Account	Bank of America, N.A.	0.00
General Revenue Account	Bank of America, N.A.	0.00
General Revenue Account	Key Bank	396,262.82
Imprest Account	Key Bank	5,345.69
<b>28050 - SUNY STONY BROOK</b>		
Central Funding	JPMorgan Chase Bank, N.A.	1,236,139.47
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	3,372,066.27
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	160,541.09
LISVH Fees Depository	Sterling Bank	610,196.49
LISVH Residence Fund	Sterling Bank	366,738.17
Payroll Advance	JPMorgan Chase Bank, N.A.	2,780.00
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
State Consolidated Petty Cash/Travel Advance	JPMorgan Chase Bank, N.A.	0.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	0.00
SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	399,113.17
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	21,596,081.32
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,895.00
<b>28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN</b>		
Center Revenue	JPMorgan Chase Bank, N.A.	47,737.93
EFT Federal Deposits Acct	JPMorgan Chase Bank, N.A.	0.00
Hospital Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Hospital Revenue	JPMorgan Chase Bank, N.A.	31,838,140.29
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	5,708,568.12
Petty Cash	JPMorgan Chase Bank, N.A.	28,982.41
Student Refunds	JPMorgan Chase Bank, N.A.	0.00
<b>28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE</b>		
College Revenue	Key Bank	423,219.32
Controlled Disbursement	Key Bank	0.00
Hospital Revenue	Key Bank	17,454,885.08
Parking	Key Bank	279,417.94
<b>28150 - SUNY BROCKPORT</b>		
Brockport-REOC Account	Key Bank	19,968.78
Concentration Acct	M&T Bank	82,254.87
Controlled Disb	M&T Bank	0.00
<b>28160 - SUNY BUFFALO STATE COLLEGE</b>		
Controlled Disb	M&T Bank	0.00
Dept Public Safety	M&T Bank	0.00
Special Grant Account	M&T Bank	3,773.14
Students Acct Office	M&T Bank	136,145.74
<b>28170 - SUNY CORTLAND</b>		
General Checking Account	Key Bank	85,379.33
<b>28180 - SUNY FREDONIA</b>		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	99,800.82

<b>28190 - SUNY GENESEO</b>		
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	190,704.53
<b>28200 - SUNY OLD WESTBURY</b>		
Local Depository	JPMorgan Chase Bank, N.A.	47,215.43
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
<b>28210 - SUNY NEW PALTZ</b>		
Disbursement Account	Key Bank	0.00
State Revenue	Key Bank	127,230.10
<b>28220 - SUNY ONEONTA</b>		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	1,885,728.11
<b>28230 - SUNY OSWEGO</b>		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	513,545.96
Imprest Account	Key Bank	0.00
<b>28240 - SUNY PLATTSBURGH</b>		
General Revenue	TD Bank	3,230,348.13
<b>28250 - SUNY POTSDAM</b>		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	251,258.59
<b>28260 - SUNY PURCHASE</b>		
General Income Fund	Key Bank	130,827.24
<b>28270 - SUNY INSTITUTE OF TECHNOLOGY UTICA/ROME</b>		
Advance Account	Bank of America, N.A.	0.00
Controlled Disbursement Account	Bank of America, N.A.	0.00
Revenue	Bank of America, N.A.	272,372.01
<b>28280 - SUNY EMPIRE STATE COLLEGE</b>		
Concentration Account	Key Bank	273,197.00
Distribution Center Account	Key Bank	36,488.82
Zero Balance Controlled Disbursement Account	Key Bank	0.00
<b>28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED</b>		
Fees Account	Community Bank	166,603.07
<b>28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON</b>		
Community Cash Deposits	NBT Bank	111,645.30
Dental Hygiene	NBT Bank	5,784.00
Income Fund	Key Bank	76,973.87
International Program Account	Key Bank	76,614.14
<b>28370 - SUNY AGRICULTURAL &amp; TECHNICAL COLLEGE AT COBLESKILL</b>		
Income Fund	Key Bank	90,160.00
<b>28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI</b>		
General Revenue	Delaware National Bank	59,394.00
Petty Cash Fund	Delaware National Bank	0.00
<b>28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE</b>		
Income Fund	Citibank	355,244.66
<b>28400 - SUNY AGRICULTURAL &amp; TECHNICAL COLLEGE AT MORRISVILLE</b>		
Income Fund	Key Bank	547,944.46
Revenue Account	NBT Bank	46,394.93
<b>28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE &amp; FORESTRY</b>		
Agency Advance	Key Bank	0.00
Controlled Disb	Key Bank	No report received
ESF/GSA	Key Bank	4,849.62
Forestry	Community Bank	No report received
Regular Account	Key Bank	66,400.59
Student Government	Key Bank	48,316.68
<b>28570 - SUNY MARITIME COLLEGE</b>		
Controlled Disbursement Account	JPMorgan Chase Bank, N.A.	0.00
Cruise Account	JPMorgan Chase Bank, N.A.	76,815.75
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	20,602.58
Revenue EFT Account	JPMorgan Chase Bank, N.A.	12,605.34
<b>28580 - SUNY COLLEGE OF OPTOMETRY</b>		
General Revenue	JPMorgan Chase Bank, N.A.	143,727.56
Medical Transportation	JPMorgan Chase Bank, N.A.	664.38
<b>28650 - SUNY CENTRAL SYSTEM ADMINISTRATION</b>		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	2,500,000.00
Petty Cash	Key Bank	0.00
Revenue	Key Bank	114,926.73
<b>37000 - DEPARTMENT OF FINANCIAL SERVICES</b>		
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,476.92
Confidential Investigations	JPMorgan Chase Bank, N.A.	7,546.19
Fire Tax Account (Main)	Key Bank	10,129.78
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	28,050.33

General Fund	Key Bank	251,078.33
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	91,749,889.20
Miscellaneous Account	JPMorgan Chase Bank, N.A.	184,784.95
Petty Cash	Key Bank	3,144.96
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,054.91
<b>49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION</b>		
Contractors Bid (SA)	Bank of America, N.A.	76,178.68
Revenue (SA)	Glens Falls National	22,867.71
<b>49020 - LONG ISLAND STATE PARK COMMISSION</b>		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	36,858.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	664,640.15
Revenue (LI)	People's United Bank	150,505.73
<b>49030 - GENESEE STATE PARK COMMISSION</b>		
Contractors Bid (GE)	Bank of Castile	51,084.97
Revenue (GE)	Bank of Castile	1,860,358.26
<b>49040 - NIAGARA FRONTIER STATE PARK COMMISSION</b>		
Contractors Bid (NIA)	Key Bank	309.37
Revenue (NIA)	Evans National Bank	93,920.30
<b>49050 - PALISADES INTERSTATE STATE PARK COMMISSION</b>		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	5,186.96
<b>49070 - OFFICE OF PARKS &amp; RECREATION</b>		
Main Office - Change Fund	Key Bank	47,035.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	Key Bank	829,896.29
Petty Cash (ALB)	Key Bank	40,202.75
Revenue (NI, GE, AL, CE, TA)	M&T Bank	49,165.24
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	101,479.75
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	44,885.88
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	2,332.49
Revenue (various)	Wells Fargo Bank	53,363.04
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	1,595.52
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	305,363.77
Statewide Housing Security Deposits	Key Bank	166,952.38
<b>49090 - FINGER LAKES STATE PARK COMMISSION</b>		
Contractors Bid (FL)	Tompkins County Trust	16,045.78
Revenue (FL)	Savannah Bank	203,178.43
Revenue (FL-Multi)	Community Bank	3,639.27
Revenue (FL-Multi-Facilities)	Tompkins County Trust	1,613,553.74
<b>49100 - ALLEGANY STATE PARK COMMISSION</b>		
Contractors Bid (AL)	Five Star Bank	4,183.00
Regional Account (AL)	Five Star Bank	150,784.94
Revenue (AL)	Five Star Bank	362,005.96
<b>49120 - CENTRAL NEW YORK STATE PARK COMMISSION</b>		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	16,530.82
Revenue (CE, SA, TI)	NBT Bank	313,867.39
<b>49130 - TACONIC STATE PARK COMMISSION</b>		
Contractors Bid (TA)	M&T Bank	5,060.08
<b>49140 - THOUSAND ISLANDS STATE PARK COMMISSION</b>		
Revenue (TI -Long Point River)	Citizens Bank	20,905.97
Revenue (TI)	Citizens Bank	41,066.28
Revenue (TI-Multi)	Community Bank	5,680.98
<b>50000 - OFFICE OF MENTAL HEALTH</b>		
Consolidated Advance	Bank of America, N.A.	4,412.42
Iterim Assistance Agreement	Bank of America, N.A.	0.00
OMH Medication Grant Program Acct	Bank of America, N.A.	45,864.52
Petty Cash Manufacturing	Bank of America, N.A.	300.00
Reimbursement Account	Bank of America, N.A.	2,462,799.38
<b>50010 - GREATER BINGHAMTON HEALTH CENTER</b>		
Agency Advance Account	JPMorgan Chase Bank, N.A.	9,710.96
Facility Holding Account	JPMorgan Chase Bank, N.A.	16,044.69
Patient Cash Funds	JPMorgan Chase Bank, N.A.	445,857.33
Patients Cash Account	JPMorgan Chase Bank, N.A.	124,390.07
Security Deposit	JPMorgan Chase Bank, N.A.	2,105.61
<b>50020 - KINGSBORO PSYCHIATRIC CENTER</b>		
Advance Account	Banco Popular	No report received
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	176,371.57
Medicaid Outpatient Travel	Banco Popular	2,244.70
Patient Cash Acct (MM)	Banco Popular	299,788.01
Patient Checking Account	Citibank	104,813.02
Patient Savings Account	Banco Popular	333,187.96
Security Deposit	Banco Popular	2,448.49
Urban Oasis/EBT	Banco Popular	42,730.07



**50030 - BUFFALO PSYCHIATRIC CENTER**

Advance Account	Key Bank	60,982.71
Advance Account	M&T Bank	0.00
Facility Holding	Key Bank	6,405.00
Facility Holding	M&T Bank	0.00
Patient Cash Checking	Key Bank	0.00
Patient Cash Checking	M&T Bank	175,815.07

**50060 - HUDSON RIVER PSYCHIATRIC CENTER**

Patients Cash	JPMorgan Chase Bank, N.A.	0.00
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**50080 - MANHATTAN PSYCHIATRIC CENTER**

Advance Account	Sterling Bank	13,702.83
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	8,731.23
Patient Cash Checking	Hudson Valley National Bank	627,112.17
Patients Money Market	Hudson Valley National Bank	72,763.11
Social Service Tokens	Hudson Valley National Bank	38,371.36

**50110 - ROCHESTER PSYCHIATRIC CENTER**

Agency Advance	Key Bank	24,327.08
Facility Holding	Key Bank	100,251.44
Patients Cash Account	Key Bank	160,049.12
Patients Fund Savings	Key Bank	199,425.80

**50120 - ST LAWRENCE PSYCHIATRIC CENTER**

Facility Advance Account	Community Bank	20,092.38
Facility Holding Account	Community Bank	17,541.26
Patients Cash Account	Community Bank	9,749.34
Patients Cash Savings	Community Bank	242,696.24

**50150 - CREEDMOOR PSYCHIATRIC CENTER**

Advance Account	HSBC	43,968.78
Certificate Of Deposit	HSBC	150,000.00
Certificate Of Deposit	HSBC	250,000.00
Holding Account	HSBC	42,472.01
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	628,987.56
Patient Cash Account	HSBC	76,853.37
Rent Holding Account	HSBC	3,324.00

**50170 - ROCKLAND PSYCHIATRIC CENTER**

Advance Account	JPMorgan Chase Bank, N.A.	39,256.88
Exchange Account	JPMorgan Chase Bank, N.A.	112,087.90
Holding Account	JPMorgan Chase Bank, N.A.	64,602.83
Investment CD	Sterling Bank	100,140.94
Investment CD	Sterling Bank	100,140.94
Investment CD	Sterling Bank	100,158.43
Investment CD	Sterling Bank	100,140.94
Investment CD	Sterling Bank	100,229.39
Investment CD	Sterling Bank	10,015.43
Patient Cash Account	JPMorgan Chase Bank, N.A.	50,000.00
Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	214,874.19
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	880,730.58

**50180 - NYS PSYCHIATRIC INSTITUTE**

Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	3,921.21
General	JPMorgan Chase Bank, N.A.	12,530.93
Petty Cash	JPMorgan Chase Bank, N.A.	1,517.50

**50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER**

Advance Account	Key Bank	11,760.68
Clients Count	Key Bank	216,802.79
Holding Account	Key Bank	25,334.92

**50200 - PILGRIM PSYCHIATRIC CENTER**

Facility Advance Account	JPMorgan Chase Bank, N.A.	51,988.06
Facility Holding Acct	JPMorgan Chase Bank, N.A.	156,088.58
Patient Cash	JPMorgan Chase Bank, N.A.	556,631.22

**50210 - MOHAWK VALLEY PSYCHIATRIC CENTER**

Advance Fund	Key Bank	14,620.57
Facility Holding	Key Bank	3,171.93
Patient Cash Checking	Key Bank	45,466.06
Patient Cash Savings	Key Bank	39,974.63
Security Deposit	Key Bank	7,747.23

**50310 - BRONX PSYCHIATRIC CENTER**

CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	33,182.08
Misc. Receipts	JPMorgan Chase Bank, N.A.	26,877.13
Patients Cash MM	JPMorgan Chase Bank, N.A.	86,801.15
Patients Checking Acct	JPMorgan Chase Bank, N.A.	519,455.29

**50340 - NATHAN KLINE INSTITUTE**

Petty Cash Account	JPMorgan Chase Bank, N.A.	1,232.50
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<b>50350 - KIRBY FORENSIC PSYCHIATRIC CENTER</b>		
Consolidated Advance Account	Hudson Valley National Bank	17,508.95
Holding Account	Hudson Valley National Bank	9,613.36
Patient Cash Account	Hudson Valley National Bank	86,572.45
<b>50390 - CENTRAL NY PSYCHIATRIC CENTER</b>		
Agency Advance Account	Key Bank	9,407.58
General Fund	Key Bank	2,332.78
Patient Checking	Key Bank	25,117.91
Patient Savings	Key Bank	110,943.15
Security Deposit	Key Bank	2,573.77
<b>50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER</b>		
Facility Advance Account	Key Bank	15,521.54
Facility Holding Account	Key Bank	2,993.08
Patients Account	Key Bank	137,141.54
<b>50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER</b>		
Petty Cash Advance Account	Banco Popular	6,952.35
<b>50790 - SOUTH BEACH PSYCHIATRIC CENTER</b>		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	15,772.10
Facility Holding Checking	JPMorgan Chase Bank, N.A.	8,598.49
Family Care Checking	JPMorgan Chase Bank, N.A.	1,500.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	87,017.16
<b>50800 - BRONX CHILDRENS PSYCHIATRIC CENTER</b>		
General Fund	JPMorgan Chase Bank, N.A.	9,946.42
<b>50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER</b>		
Agency Advance	Key Bank	1,464.42
Exchange Account	Key Bank	0.00
Patient Cash	Key Bank	265.00
<b>50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER</b>		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	44,773.23
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	5,298.00
<b>50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER</b>		
Advance Account	JPMorgan Chase Bank, N.A.	14,113.48
<b>50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER</b>		
Money Management Account	HSBC	1,248.89
Queens Adv Acct	HSBC	8,378.36
Queens Childrens Account	HSBC	6,378.37
<b>50920 - ELMIRA PSYCHIATRIC CENTER</b>		
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Facility Advance Account	Chemung Canal Trust	11,872.19
General Fund Account	Chemung Canal Trust	6,896.45
IMMA	Chemung Canal Trust	44,546.41
Patients Fund Account	Chemung Canal Trust	101,108.39
<b>50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER</b>		
Facility Advance Account	Key Bank	2,240.76
Facility Holding Account	Key Bank	135,794.23
Parking Garage Account	Key Bank	222,377.02
Patients Cash Checking Account	Key Bank	157,066.89
Patients Cash Savings Account	Key Bank	445,963.58
<b>51000 - OFFICE OF MENTAL RETARDATION &amp; DEVELOPMENTAL DISABILITIES</b>		
Petty Cash Acct	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	5,807,397.93
Travel Advance Account	Bank of America, N.A.	No report received
<b>51210 - HUDSON VALLEY DDSO</b>		
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
<b>51240 - CENTRAL NY DDSO</b>		
Advance Account	M&T Bank	19,600.00
Advance Accounts	Key Bank	14,294.01
Clients Account	Key Bank	397,821.05
Consumer Cash - Checking	M&T Bank	15,199.08
Consumer Cash - Savings	Adirondack Bank	628,085.45
Consumer Cash - Savings	Key Bank	948,048.65
Consumer Cash - Savings	M&T Bank	2,427,237.32
EBT Checking Account	Key Bank	581,216.66
Exchange Account	Key Bank	92,205.58
<b>51250 - TACONIC DDSO</b>		
Agency Advance Account	M&T Bank	55,692.43
Electronic Benefits Transfer	M&T Bank	0.00

General Fund	M&T Bank	19,360.60
Patients Cash Checking	M&T Bank	183,914.52
Patients Fund Savings	M&T Bank	1,602,032.34
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	984,326.46
<b>51270 - STATEN ISLAND DDSO</b>		
Clients Cash Account	JPMorgan Chase Bank, N.A.	334,306.04
General Fund Account	JPMorgan Chase Bank, N.A.	0.00
Money Market Account	JPMorgan Chase Bank, N.A.	275,070.88
Petty Cash Account	JPMorgan Chase Bank, N.A.	12,631.13
Staten Island DDSO EBT Checking Acct	JPMorgan Chase Bank, N.A.	0.00
<b>51290 - CAPITAL DISTRICT DDSO</b>		
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
<b>51330 - WESTERN NY DDSO</b>		
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
Food Stamp Account	M&T Bank	No report received
General Account	M&T Bank	No report received
Patient Property Funds	Community Bank	No report received
WNY DDSO Perrysburg Client Cash	M&T Bank	No report received
<b>51350 - LONG ISLAND DDSO</b>		
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
<b>51380 - BROOKLYN DDSO</b>		
CD	Banco Popular	No report received
Consumers Fund	JPMorgan Chase Bank, N.A.	No report received
Consumers Money Management	JPMorgan Chase Bank, N.A.	No report received
Food Stamps Benefits	JPMorgan Chase Bank, N.A.	No report received
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	No report received
Petty Cash - Degraw Street	JPMorgan Chase Bank, N.A.	No report received
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	No report received
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	No report received
<b>51420 - SUNMOUNT DDSO</b>		
Certificate of Deposit	Community Bank	No report received
Community Store Fund	Community Bank	No report received
EBT	Community Bank	No report received
Exchange Fund	Community Bank	No report received
Residents Fund	Community Bank	No report received
Sunmount Advance Account	Community Bank	No report received
Sunmount EBT Checking Account	Community Bank	No report received
<b>51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES</b>		
Petty Cash	JPMorgan Chase Bank, N.A.	3,000.00
<b>51450 - METRO NY DDSO</b>		
Consolidated Acct	JPMorgan Chase Bank, N.A.	28,214.02
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	25,743.48
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	43,035.86
Metro NY DDSO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	478,379.51
Patients Cash Account	JPMorgan Chase Bank, N.A.	18,785.40
Patients Money Market Account	JPMorgan Chase Bank, N.A.	0.01
Petty Cash	JPMorgan Chase Bank, N.A.	4,161.97
<b>51470 - BERNARD M FINESON DDSO</b>		
Bernard Fineson DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	102,932.00
Money Market Account	JPMorgan Chase Bank, N.A.	303,632.25
Patient Fund Account	JPMorgan Chase Bank, N.A.	581,700.48
Petty Cash Fund	JPMorgan Chase Bank, N.A.	10,892.95
<b>51780 - FINGER LAKES DDSO</b>		
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
<b>51940 - BROOME DDSO</b>		
Broome DDSO		
Broome DDSO - Advance Account	M&T Bank	No report received
Broome DDSO - General Fund	M&T Bank	No report received
Disabled Individuals Savings	M&T Bank	No report received
Disabled Individuals Savings	Key Bank	No report received
OMRDD Broome DDSO EBT Checking	M&T Bank	No report received
<b>53000 - OFFICE OF ALCOHOLISM &amp; SUBSTANCE ABUSE SERVICES</b>		
Agency Advance Acct	M&T Bank	No report received
Patient Fees	Key Bank	No report received
Revenue Account	Bank of America, N.A.	No report received
<b>53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER</b>		
Petty Cash Advance Account	Bank of America, N.A.	378.04
<b>55630 - NYS FOUNDATION FOR SCIENCE, TECHNOLOGY &amp; INNOVATION</b>		
Administrative Monies Account	Key Bank	No report received
Federal Monies Account	Key Bank	No report received
NYS Foundation For Science Technology & Innovation	Key Bank	No report received
<b>70000 - CUNY UNIVERSITY MANAGEMENT &amp; PROGRAM BOARD OF HIGHER EDUCATION</b>		
CUNY Admin Imprest Cash Account	Citibank	No report received
CUNY Admin UAO Travel Advance	Citibank	No report received
<b>70030 - CUNY HUNTER COLLEGE</b>		
Travel Petty Cash Account	Citibank	No report received
<b>70060 - CUNY JOHN JAY COLLEGE</b>		
CUNY JOHN JAY COLLEGE IMPREST FUND	Citibank	No report received
<b>70070 - CUNY LEHMAN COLLEGE</b>		
Lehman College	Citibank	No report received
<b>70080 - CUNY YORK COLLEGE</b>		
York College Imprest Fund	JPMorgan Chase Bank, N.A.	No report received
York College Imprest Funds	Citibank	No report received
York College Travel Advance Fund	Citibank	No report received
York College Travel Allowance	JPMorgan Chase Bank, N.A.	No report received
<b>70100 - CUNY COLLEGE OF STATEN ISLAND</b>		
CSI Imprest Cash	TD Bank	No report received
<b>70120 - CUNY NYC COLLEGE OF TECHNOLOGY</b>		
NY City College Of Technology College Travel Fund	Popular Community Bank	No report received
NY City College Of Technology Technical College Imprest Fund	Popular Community Bank	No report received
<b>70150 - CUNY SCHOOL OF LAW</b>		
CUNY School Of Law	TD Bank	No report received

The above balances represent funds deposited in various banking institutions as reported by the State department and agencies, and published in accordance with Section 107 of the State Finance Law.

*Division of the Treasury, Department of Taxation and Finance*  
**Christopher Curtis** Deputy Commissioner and State Treasurer

**FUNDS OF THE DIVISION OF THE TREASURY OF WHICH THE COMMISSIONER OF TAXATION AND FINANCE  
IS THE SOLE CUSTODIAN WITH BALANCES AS OF 10/31/2017**

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 10/31/2017
<b>COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND</b>		
0226 Upstate Community Colleges, FIT Series 2000A	Key Bank	158,678.45
0231 Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232 Upstate Community Colleges, Series 2005B	Key Bank	148,771.75
0233 Upstate Community Colleges, Series 2005C	Key Bank	140,117.81
<b>DORMITORY AUTHORITY OF THE STATE OF NEW YORK</b>		
0039 Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	9,553,333.25
0070 Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104 Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	24,523.47
0105 Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	268,020.71
0149 State Advances Repayment Account	Bank of America, N.A.	53.09
1202 DA DFRF MAC #1202 Binghamton	Key Bank	31,650,472.23
1203 DA DFRF MAC #1203 Oneonta	Key Bank	9,670,382.64
1205 DA DFRF MAC #1205 Delhi	Key Bank	3,537,304.62
1206 DA DFRF MAC #1206 Buffalo Univ	Key Bank	10,317,591.45
1207 DA DFRF MAC #1207 Buffalo College	Key Bank	6,032,086.01
1208 DA DFRF MAC #1208 Alfred	Key Bank	4,934,604.49
1209 DA DFRF Mac #1209 Fredonia	Key Bank	6,979,657.15
1211 DA DFRF Mac #1211 Upstate Medical	Key Bank	3,204,065.82
1212 DA DFRF Mac #1212 Oswego	Key Bank	15,530,441.22
1214 DA DFRF Mac #1214 Cortland	Key Bank	6,200,021.70
1215 DA DFRF MAC #1215 Stony Brook	Key Bank	40,474,671.55
1216 DA DFRF MAC #1216 Old Westbury	Key Bank	1,177,707.10
1217 DA DFRF MAC #1217 Farmingdale	Key Bank	1,442,101.77
1218 DA DFRF MAC #1218 Downstate Med	Key Bank	1,371,653.70
1219 DA DFRF MAC #1219 Maritime	Key Bank	4,044,314.65
1221 DA DFRF MAC #1221 Brockport	Key Bank	3,922,610.37
1222 DA DFRF MAC #1222 Geneseo	Key Bank	10,075,054.70
1223 DA DFRF MAC #1223 Purchase	Key Bank	9,775,318.17
1224 DA DFRF MAC #1224 New Paltz	Key Bank	11,504,549.40
1225 DA DFRF MAC #1225 Canton	Key Bank	2,073,984.11
1226 DA DFRF MAC #1226 Plattsburgh	Key Bank	3,624,274.56
1227 DA DFRF MAC #1227 Potsdam	Key Bank	2,432,380.37
1228 DA DFRF MAC #1228 Morrisville	Key Bank	1,174,643.15
1229 DA DFRF MAC #1229 SUNYIT	Key Bank	2,458,487.54
1230 DA DFRF MAC #1230 Cobleskill	Key Bank	3,947,153.56
1239 DA DFRF MAC #1239 Albany	Key Bank	18,275,012.00
1240 Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202 DA OMR MAC #2202 Binghamton	Key Bank	10,474,651.18
2203 DA OMR MAC #2203 Oneonta	Key Bank	14.79
2205 DA OMR MAC #2205 Delhi	Key Bank	500,442.14
2206 DA OMR MAC #2206 Buffalo Univ	Key Bank	1,798,346.30
2207 DA OMR MAC #2207 Buffalo College	Key Bank	33.41
2208 DA OMR MAC #2208 Alfred	Key Bank	63.81
2209 DA OMR MAC #2209 Fredonia	Key Bank	100.50
2211 DA OMR MAC #2211 Upstate Medical	Key Bank	36.04
2212 DA OMR MAC #2212 Oswego	Key Bank	106.21
2214 DA OMR MAC #2214 Cortland	Key Bank	3,448,827.86
2215 DA OMR MAC #2215 Stony Brook	Key Bank	27.06
2216 DA OMR MAC #2216 Old Westbury	Key Bank	953,547.14
2217 DA OMR MAC #2217 Farmingdale	Key Bank	182,442.20
2218 DA OMR MAC #2218 Downstate Med	Key Bank	123,419.95
2219 DA OMR MAC #2219 Maritime	Key Bank	1,339,993.14
2221 DA OMR MAC #2221 Brockport	Key Bank	49.46
2222 DA OMR MAC #2222 Geneseo	Key Bank	4,473,546.44
2223 DA OMR MAC #2223 Purchase	Key Bank	74.99
2224 DA OMR MAC #2224 New Paltz	Key Bank	83.06
2225 DA OMR MAC #2225 Canton	Key Bank	7.36
2226 DA OMR MAC #2226 Plattsburgh	Key Bank	33.60
2227 DA OMR MAC #2227 Potsdam	Key Bank	49.91
2228 DA OMR MAC #2228 Morrisville	Key Bank	48.82
2229 DA OMR MAC #2229 SUNYIT	Key Bank	637,349.59
2230 DA OMR MAC #2230 Cobleskill	Key Bank	2,838,445.87
2239 DA OMR MAC #2239 Albany	Key Bank	111.40
2240 DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	9,955,948.67
<b>HOMELESS HOUSING ASSISTANCE CORPORATION</b>		
0320 Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	1,641,336.88



**NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION**

0315	The Egg	Key Bank	33,349.34
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**NEW YORK CONVENTION CENTER**

0300	Operating Fund	JPMorgan Chase Bank, N.A.	9,089,211.55
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**NEW YORK JOB DEVELOPMENT AUTHORITY**

0036	Special Purpose Fund	Bank of America, N.A.	744,417.27
0371	Series H Commercial Paper	Bank of America, N.A.	303,088.87
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	75,963.73
0421	Escrow Account for Package Fulfillment Center Inc.	Key Bank	30,867.79
0423	Escrow Account for USA Industries Inc.	Key Bank	37,273.42
0424	Escrow Account for Pluritec USA Inc.	Key Bank	19,781.72

**NYS AFFORDABLE HOUSING CORPORATION**

0491	Disbursement Account	JPMorgan Chase Bank, N.A.	787,779.56
0520	Development Account	Key Bank	3,977,885.37
0521	Development Account II	Key Bank	0.00
0522	Repayment Account	Key Bank	13,050.00
0523	Recapture Account	Key Bank	0.00
0880	Payroll Account	JPMorgan Chase Bank, N.A.	0.00

**NYS DEPARTMENT OF TAXATION AND FINANCE**

0510	Excelsior Linked Deposit Fund	Key Bank	0.00
0600	World Trade Center Memorial Foundation Fund Account	Bank of America, N.A.	201,814.17
0625	Advance Act/Imprest Confidential Fund	Bank of America, N.A.	26,475.00
0626	Criminal Investigation Division	Key Bank	335,657.02
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	3,071,977.52
0827	Stock Transfer Incentive Fund	Key Bank	1,024,512.23
0847	Pari-Mutuel Revenue Transfer Account	Key Bank	0.00
0848	Off-Track Bet Tax Revenue Transfer Account	Key Bank	0.00

**NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY**

0028	Green Jobs - Green New York Fund	Bank of America, N.A.	0.00
0030	NYS Energy Research and Development Authority	Bank of America, N.A.	25,891,290.37

**NYS HOUSING FINANCE AGENCY**

0032	Operating Fund	Key Bank	0.00
0251	Housing Project Repair Fund	Key Bank	31,789.29
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	132,179.49
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	1,029,719.24
0255	Residual Indebtedness Program Operating Fund	JPMorgan Chase Bank, N.A.	0.00
0266	Community Related Programs Operating Account	Key Bank	0.00
0267	Neighborhood Stabilization Program - Round 1	JPMorgan Chase Bank, N.A.	280.85
0268	Neighborhood Stabilization Program 3	JPMorgan Chase Bank, N.A.	32.77
0270	Claims Repayment Account	Key Bank	0.00
0271	Pre-Bond Revenue Account	Key Bank	0.00
0272	TCAP Account	Key Bank	214.01
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	1,931,887.86
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	0.00
0283	Small Owner's Assistance Program Account	Key Bank	30,920.76
0285	Public Purpose Account	Key Bank	2,735,363.62
0286	Disbursement Account	Key Bank	3,622,670.59
0287	Infrastructure Development Fund	Key Bank	38,940.65
0288	Mobile Home Cooperative Fund	Key Bank	6,311.66
0290	Low Rent Lease Account	Key Bank	0.00
0292	Homeless Housing Initiatives	Key Bank	157,653.19
0879	Payroll Account	JPMorgan Chase Bank, N.A.	125,000.00

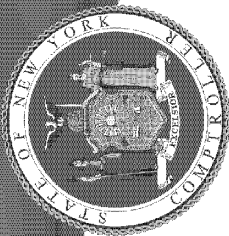
**NYS HOUSING TRUST FUND CORPORATION**

0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	1,299,715.09
0460	Escrow Account	M&T Bank	2,351,922.33
0461	Housing Modernization Account	M&T Bank	3,562,429.80
0462	General Custodial Account	M&T Bank	102,964,046.80
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	7,656,158.97
0466	Homes for Working Families Account	M&T Bank	30,781,347.66
0467	Section 8 Administrative Account	M&T Bank	18,671,377.26
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	15,323,592.47
0470	HCV Main Account	Bank of America, N.A.	16,013,037.89
0471	Empire State Relief Fund	M&T Bank	1,624,466.09
0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	4,078,218.61

0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	576,974.74
0476	Voucher Fee Account	Bank of America, N.A.	0.00
0477	Five-Year Mainstream Account	Bank of America, N.A.	0.00
0480	OHP Miscellaneous Programs Account	Bank of America, N.A.	15,780,618.38
0891	Small Cities Community Development Block Grant Program	M&T Bank	690,988.58
0892	Disaster Recovery Initiative Account	M&T Bank	168,641.84
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	682,862.38
<b>NYS INSURANCE DEPARTMENT</b>			
0001	Property/Casualty Insurance Security Fund	Key Bank	513,208.45
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	708,571.87
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	2,151,263.36
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	19,365,774.41
<b>NYS TEACHERS RETIREMENT SYSTEM</b>			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	21,412,947.84
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	3,443,462.25
0854	NYSTRS Electronic Value Transfer System	JPMorgan Chase Bank, N.A.	0.00
<b>STATE INSURANCE FUND</b>			
0053	State Insurance Fund	Bank of America, N.A.	30,489,885.34
0054	State Insurance Fund	Bank of America, N.A.	1,526,348.22
0055	State Insurance Fund	Bank of America, N.A.	22,356,233.89
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	37,146.82
<b>STATE UNIVERSITY CONSTRUCTION FUND</b>			
0034	Income Fund	Key Bank	794,571.35
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	29,556.26
0870	Deductions Account	Key Bank	337,725.74
0871	Bio-Tech Incubator at Farmingdale	Key Bank	0.00
<b>WORKERS COMPENSATION BOARD</b>			
0006	Fund for Reopened Cases	Bank of America, N.A.	12,390,898.03
0007	Special Disability Fund	Bank of America, N.A.	3,227,317.34
0008	Special Fund for Disability Benefits	Bank of America, N.A.	199,668.82
0011	Uninsured Employers Fund	Bank of America, N.A.	1,568,492.26
0012	WCB Asset Transfer Account	Bank of America, N.A.	0.00
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	97,969,718.33
008K	Special Fund for Disability Benefits	Key Bank	191,599.65

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

OCTOBER 2017

NYS Comptroller  
**THOMAS P. DINAPOLI**

Office of Operations  
Division of Payroll, Accounting and Revenue Services  
Bureau of Financial Reporting and Oil Spill Remediation



STATE OF NEW YORK  
OFFICE OF OPERATIONS  
DIVISION OF PAYROLL, ACCOUNTING AND REVENUE SERVICES  
BUREAU OF FINANCIAL REPORTING AND OIL SPILL REMEDIATION

THOMAS P. DINAPOLI  
STATE COMPTROLLER

**COMPTROLLER'S MONTHLY REPORT TO THE LEGISLATURE ON STATE FUNDS - CASH BASIS OF ACCOUNTING**

October 31, 2017

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EXHIBIT A

STATE OF NEW YORK  
GOVERNMENTAL FUNDS  
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES  
(Amounts in millions)

		GENERAL			SPECIAL REVENUE			DEBT SERVICE			CAPITAL PROJECTS			TOTAL GOVERNMENTAL FUNDS			YEAR OVER YEAR		
		MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016	MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016	\$ Increase/ (Decrease)	% Increase/ (Decrease)		
RECEIPTS:	(4)	\$ 2,015.7	\$ 18,589.1	\$ 5.0	\$ 62.6	\$ 673.5	\$ 6,217.2	\$ -	\$ -	\$ 2,694.2	\$ 24,868.9	\$ 2,532.7	\$ 26,032.0	\$ -	\$ (1,163.1)	-4.5%			
		Personal Income Tax	570.5	4,248.5	172.3	1,214.5	519.8	3,879.9	53.5	327.4	1,316.1	9,670.3	1,267.7	9,516.6	153.7	1.6%			
		Consumption/Use Taxes	(45.6)	2,494.7	64.3	853.4	-	-	51.0	362.2	69.7	3,710.3	588.3	3,962.9	(252.6)	-6.4%			
		Business Taxes	77.1	751.4	118.0	754.5	70.0	628.5	11.9	59.5	277.0	2,194.9	308.3	2,050.8	144.1	7.0%			
		Other Taxes	151.7	1,682.8	1,391.7	10,152.2	26.9	970.8	2,863.8	4,214.1	14,975.1	1,822.8	14,092.5	886.9	6.3%				
		Miscellaneous Receipts	0.1	-	4,085.5	31,107.2	-	36.7	1,106.3	4,214.7	32,250.3	3,558.0	29,473.0	2,777.3	9.4%				
		Federal Receipts	2,768.5	27,766.6	5,837.8	44,144.4	1,290.2	11,043.9	1,215.3	4,718.2	11,112.8	87,674.1	10,087.8	85,127.8	2,546.3	3.0%			
		Total Receipts																	
	DISBURSEMENTS:	(3)																	
			Local Assistance Grants:																
		Education	931.4	11,845.7	325.7	4,613.8	-	-	20.3	75.7	1,277.4	16,535.2	1,864.3	16,406.0	129.2	0.8%			
		Environment and Recreation	0.2	2.4	-	1.9	-	-	8.6	69.0	8.8	73.3	7.4	57.6	15.7	27.3%			
		General Government	8.1	724.8	11.3	123.9	-	-	55.8	350.3	75.2	1,199.0	130.3	1,102.2	96.8	8.8%			
		Public Health:																	
		Medicaid	1,222.9	9,102.0	3,276.2	24,047.6	-	-	-	-	4,469.1	33,148.6	3,773.6	29,318.8	3,830.8	13.1%			
		Other Public Health	42.4	617.0	547.9	5,082.2	-	-	26.5	120.8	616.8	5,820.0	663.0	4,964.0	856.0	17.2%			
		Public Safety	10.4	81.1	162.9	765.9	-	-	-	18.0	173.3	865.0	106.4	957.9	(92.9)	-9.7%			
		Public Welfare	135.0	1,280.6	665.9	2,391.9	-	-	24.9	144.8	855.8	3,827.3	443.6	4,292.1	(464.8)	-10.8%			
		Support and Regulate Business	14.4	100.0	24.5	37.4	-	-	43.2	741.6	82.1	879.0	15.9	553.0	326.0	56.0%			
		Transportation	64.3	365.0	2,791.7	497.4	-	-	70.9	487.4	3,353.4	435.9	3,441.0	(87.6)	-2.5%				
		Total Local Assistance Grants	2,364.8	23,827.9	5,408.4	38,856.3	-	-	250.2	2,017.6	8,024.4	65,701.8	7,455.3	61,092.6	4,609.2	7.5%			
		Departmental Operations:																	
		Personal Service	488.2	3,608.1	613.7	4,438.5	-	-	-	-	1,111.9	8,046.6	1,038.6	7,957.8	88.8	1.1%			
		Non-Personal Service	181.0	1,216.2	462.4	2,740.5	0.8	20.4	-	-	644.2	3,977.1	603.9	3,860.4	116.7	3.0%			
		General State Charges	386.2	4,366.8	161.6	1,336.8	-	-	-	-	557.8	5,733.6	529.2	5,465.2	248.4	4.5%			
		Debt Service, Including Payments on																	
		Financing Agreements	-	-	-	-	26.7	1,581.9	-	-	26.7	1,581.9	32.3	1,465.5	86.4	5.8%			
	(1)	Capital Projects	-	-	-	-	-	-	718.2	3,794.5	718.2	3,794.5	587.2	3,753.6	40.9	1.1%			
	Total Disbursements	3,440.2	33,048.0	6,647.1	48,372.1	27.5	1,602.3	968.4	5,812.1	11,083.2	88,835.5	10,246.5	83,645.1	5,190.4	6.2%				
	Excess (Deficiency) of Receipts over Disbursements	(670.7)	(5,282.4)	(809.3)	(4,227.7)	1,262.7	9,441.6	246.9	(1,092.9)	29.6	(1,161.4)	(158.7)	1,482.7	(2,644.1)	-178.3%				
OTHER FINANCING SOURCES (USES):																			
		Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%			
	(2)	Transfers from Other Funds	1,207.3	9,981.9	702.4	5,180.6	431.4	1,965.8	(266.0)	1,271.1	2,075.1	18,399.4	2,316.2	18,300.4	99.0	0.5%			
	(2)	Transfers to Other Funds	(686.8)	(6,061.1)	(57.0)	(1,176.3)	(1,302.8)	(10,764.4)	(25.1)	(443.3)	(2,081.7)	(18,469.1)	(2,319.3)	(18,327.7)	141.4	0.8%			
		Total Other Financing Sources (Uses)	510.5	3,896.8	645.4	4,004.3	(871.4)	(8,798.6)	(291.1)	827.8	(6.6)	(68.7)	(3.1)	(27.3)	(42.4)	-155.3%			
		Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(160.2)	(1,385.6)	(163.9)	(223.4)	391.3	643.0	(44.2)	(265.1)	23.0	(1,231.1)	(161.8)	1,455.4	(2,686.5)	-184.6%			
		Beginning Fund Balances (Deficits)	6,523.2	7,748.6	4,212.7	4,272.2	396.1	144.4	(1,281.4)	(1,060.5)	9,850.6	11,004.7	13,427.3	11,810.1	(705.4)	-6.0%			
		Ending Fund Balances (Deficits)	\$ 6,363.0	\$ 6,363.0	\$ 4,048.8	\$ 4,048.8	\$ 787.4	\$ 787.4	\$ (1,325.6)	\$ (1,325.6)	\$ 9,873.6	\$ 9,873.6	\$ 13,265.5	\$ 13,265.5	\$ (3,391.9)	-25.6%			



EXHIBIT A  
SUPPLEMENTAL

	GENERAL			STATE SPECIAL REVENUE ("S")			DEBT SERVICE					
	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017				
RECEIPTS:	\$	2,015.7	\$	18,589.1	\$	5.0	\$	62.6	\$	673.5	\$	6,217.2
		570.5		4,248.5		172.3		1,214.5		519.8		3,879.9
		(45.6)		2,494.7		64.3		853.4		-		-
		77.1		118.0		754.5		70.0		629.5		629.5
		151.7		1,682.8		1,379.0		10,019.1		26.9		280.6
Federal Receipts	0.1	0.1	0.4	-	-	36.7						
Total Receipts	2,769.5	27,766.6	1,738.6	12,904.5	1,280.2	11,043.9						
DISBURSEMENTS:												
		931.4		11,845.7		146.3		2,725.3		-		-
		0.2		2.4		1.3		-		-		-
		8.1		724.8		10.6		102.0		-		-
	Public Health:											
Medicaid	1,222.9	9,102.0	390.9	3,162.2	-	-						
Other Public Health	42.4	617.0	100.1	1,326.0	-	-						
Public Safety	10.4	81.1	15.5	78.8	-	-						
Public Welfare	135.0	1,290.6	0.7	3.3	-	-						
Support and Regulate Business	14.4	100.0	24.4	34.4	-	-						
Transportation	-	64.3	362.0	2,762.1	-	-						
Total Local Assistance Grants	2,364.8	23,827.9	1,050.5	10,195.4	-	-						
Departmental Operations:												
Personal Service	498.2	3,608.1	566.1	4,067.5	-	-						
Non-Personal Service	181.0	1,216.2	323.8	1,968.4	0.8	20.4						
General State Charges	396.2	4,396.8	137.1	1,158.4	-	-						
Debt Service, Including Payments on												
Financing Agreements	-	-	-	-	26.7	1,581.9						
Capital Projects	-	-	-	-	-	-						
Total Disbursements	3,440.2	33,049.0	2,077.5	17,387.7	27.5	1,602.3						
Excess (Deficiency) of Receipts over Disbursements	(670.7)	(5,282.4)	(338.9)	(4,483.2)	1,262.7	9,441.6						
OTHER FINANCING SOURCES (USES):												
	(2)	1,207.3	9,981.9	723.6	5,506.6	431.4	1,965.8					
	(2)	(695.8)	(6,085.1)	(13.2)	(319.0)	(1,302.8)	(10,764.4)					
	Total Other Financing Sources (Uses)	510.5	3,896.8	710.4	5,187.6	(871.4)	(8,798.6)					
	Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(160.2)	(1,385.6)	371.5	704.4	391.3	643.0					
Beginning Fund Balances (Deficits)	6,523.2	7,748.6	4,065.2	3,732.3	396.1	144.4						
Ending Fund Balances (Deficits)	6,363.0	6,363.0	4,436.7	4,436.7	787.4	787.4						

	TOTAL STATE OPERATING FUNDS			\$ Increase/ Decrease	% Increase/ Decrease		
	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	7 MOS. ENDED OCT. 31, 2016				
RECEIPTS:	\$	2,694.2	\$	24,868.9	\$	(1,163.1)	
		1,262.6		9,342.9		194.3	
		18.7		3,348.1		(238.1)	
		296.4		2,135.4		144.1	
		1,482.6		11,869.8		112.7	
Federal Receipts	-	37.2	-	36.4	0.8	2.2%	
Total Receipts	6,076.0	51,715.0	52,664.3	(949.3)	-1.8%		
DISBURSEMENTS:							
		1,077.7		14,571.0		(134.0)	
		0.2		3.7		(1.0)	
		18.7		826.8		(22.5)	
	Public Health:						
Medicaid	1,613.8	12,264.2	1,474.7	11,485.2	779.0	6.8%	
Other Public Health	142.5	1,943.0	203.7	2,157.1	(214.1)	-9.9%	
Public Safety	25.9	169.9	2.9	161.1	(1.2)	-0.7%	
Public Welfare	135.7	1,293.9	164.5	1,492.3	(198.4)	-13.3%	
Support and Regulate Business	38.8	134.4	11.8	106.3	28.1	26.4%	
Transportation	362.0	2,826.4	376.4	2,799.7	26.7	1.0%	
Total Local Assistance Grants	3,415.3	34,023.3	3,802.7	33,760.7	262.6	0.8%	
Departmental Operations:							
Personal Service	1,064.3	7,675.6	893.4	7,600.7	74.9	1.0%	
Non-Personal Service	505.6	3,203.0	502.2	3,092.3	110.7	3.6%	
General State Charges	533.3	5,555.2	525.5	5,350.2	205.0	3.8%	
Debt Service, Including Payments on							
Financing Agreements	26.7	1,581.9	32.3	1,495.5	86.4	5.8%	
Capital Projects	-	-	-	2.4	(2.4)	-100.0%	
Total Disbursements	5,545.2	52,039.0	5,856.1	51,301.8	737.2	1.4%	
Excess (Deficiency) of Receipts over Disbursements	253.1	(324.0)	219.9	1,362.5	(1,686.5)	-125.8%	
OTHER FINANCING SOURCES (USES):							
	(2)	2,362.3	17,454.3	2,038.0	17,043.9	410.4	2.4%
	(2)	(2,012.8)	(17,168.5)	(2,231.4)	(17,119.4)	49.1	0.3%
	Total Other Financing Sources (Uses)	349.5	285.8	(193.4)	(75.5)	361.3	478.5%
	Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	602.6	(38.2)	26.5	1,287.0	(1,325.2)	-103.0%
Beginning Fund Balances (Deficits)	10,984.5	11,625.3	13,901.7	12,641.2	(1,015.9)	-8.0%	
Ending Fund Balances (Deficits)	11,587.1	11,587.1	13,928.2	13,928.2	(1,341.1)	-16.8%	

\*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.

\*\*) Eliminations between Special Revenue - State and Federal Funds are not included.

**GOVERNMENTAL FUNDS FOOTNOTES**

1. Certain disbursements from Capital Projects funds are financed by operating transfers from other funds, proceeds of State bonds and notes, and reimbursements received from Public Authorities and the Federal Government. The amounts shown below represent disbursements to be reimbursed in future months from the sources indicated:

Urban Development Corporation (Correctional Facilities)	\$340.6	million
Urban Development Corporation (Youth Facilities)	28.2	
Housing Finance Agency (HFA)	171.1	
Housing Assistance Fund	13.6	
Dormitory Authority (Mental Hygiene)	550.1	
Dormitory Authority and State University Income Fund	394.9	
Federal Capital Projects	537.4	
State bond and note proceeds	137.6	

2. Operating Transfers constitute legally authorized transfers from a fund receiving revenues to a fund through which disbursements will ultimately be made. The more significant transfers include:

**General Fund** "Transfers to Other Funds" are as follows:

State Capital Projects Fund	\$354.8	million
General Debt Service Fund	712.3	
Banking Services Account	22.1	
Charter School Stimulus Fund	4.8	
Court Facilities Incentive Aid Fund	60.7	
Dedicated Highway & Bridge Trust Fund	33.0	
Dedicated Infrastructure Investment Fund	686.7	
Dedicated Mass Transportation - Railroad Account	4.4	
Dedicated Mass Transportation - Transit Authority Account	24.4	
Dedicated Mass Transportation (Non-MTA)	2.5	
Financial Crimes Revenue Account	2.0	
Housing Debt Service Fund	3.1	
Medical Marijuana Health Operation and Oversight	4.5	
Mental Hygiene Patient Income Account	1,350.0	
Mental Hygiene Program Fund	800.0	
MTA Financial Assistance Fund	209.4	
MTA Operating Assistance Fund	24.7	
NYC County Courts Operating Fund	3.7	
SUNY - Hospital IFR	34.9	
SUNY - Income Fund	834.0	
Tax Revenue Arrears Account	1.5	

Also included in the General Fund are transfers representing payments for patients residing in State-operated Health, Mental Hygiene and State University facilities to Debt Service funds (\$10.1m), the State University Income Fund (\$191.7m), the Mental Hygiene Program Account (\$709.6m) and Miscellaneous State Special Revenue Fund (\$0.1m).

\$724(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 October 31, 2017 - pursuant to a certification from the Budget Director - the reserve amount is (\$359.0m), which is funded by a transfer from the General Fund.

**EXHIBIT A NOTES**  
October 2017

**Special Revenue Funds** "Transfers To Other Funds" includes transfers to Mental Health Services Fund and Department of Health Income Fund (\$798.5m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities, the General Debt Service Fund (\$10.6m), the Capital Projects Funds (\$196.7m) and Medicaid Management Information System Escrow Fund (\$59.2m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Federal Dept of Health & Human Services Fund	\$8.4	million
Federal USDA/Food & Nutrition Services Fund	47.6	
Public Safety Communication Account	25.0	
SUNY Income Fund	26.0	
Unemployment Insurance Administration Fund	2.7	
Unemployment Insurance - Interest & Penalty Account	3.2	

**Debt Service Funds** "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	\$5,805.3	million
Local Government Assistance Tax Fund	1,886.6	
Sales Tax Revenue Bond Tax Fund	1,586.3	
Clean Water/Clean Air Fund	593.4	

Also included in Debt Service funds are transfers to Special Revenue funds representing receipts in excess of lease-purchase obligations that are used to finance a portion of the operating expenses for Departments of Health (\$95.3m) and Mental Hygiene (\$817.4m).

**Capital Projects Funds** "Transfers To Other Funds" includes transfers to the General Fund (\$14.7m), the General Debt Service Fund - Lease Purchase (\$232.3m), the Revenue Bond Tax Fund (\$191.7m), and Miscellaneous Special Revenue Fund (\$4.7m).

3. The State receives moneys that represent refunds, pharmacy rebates, reimbursements, or disallowances of medical assistance payments previously made from appropriated State and Federal funds. These monies are initially credited to an agency escrow account and shortly after receipt are allocated and refunded to State or Federal fund appropriations from which the medical assistance payments were originally made.

At month end, the following balances remained in agency escrow accounts. For accounting purposes, adjustments have been made to reduce medical assistance spending and count these monies as financial resources of the General Fund and the Special Revenue Federal Fund.

	General Fund	Special Revenue - Federal
Medicaid Recoveries - Health Facilities	\$	\$ 354,008
Medicaid Recoveries - Audit	-	503,517
Medicaid Recoveries - Third Parties	-	17,118,478
Pharmacy Rebates	-	1,756,413
Medicare Catastrophic Recovery	-	-
Medicaid "Windfall" Recovery	-	-
Total	\$	\$ 19,732,416

4. A portion of Personal Income Tax receipts is transferred to the State Special Revenue School Tax Relief (STAR) Fund to be used to reimburse school districts for the STAR property tax exemptions for homeowners and payments to homeowners for the STAR Property Rebate Program. School Tax Relief payments were (\$62.6m) as of October 31, 2017.

STATE OF NEW YORK  
PROPRIETARY FUNDS  
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES  
(Amounts in millions)

EXHIBIT B

	ENTERPRISE			INTERNAL SERVICE			TOTAL PROPRIETARY FUNDS			YEAR OVER YEAR	
	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016	\$ Increase/ (Decrease)	% Increase/ Decrease	
RECEIPTS:											
Miscellaneous Receipts	\$ 6.3	\$ 37.4	\$ 36.8	\$ 294.9	\$ 43.1	\$ 332.3	\$ 33.4	\$ 254.3	\$ 78.0	30.7%	
Federal Receipts	1.5	9.6	-	-	1.5	9.6	1.5	10.1	(0.5)	-5.0%	
Unemployment Taxes	164.8	1,205.7	-	-	164.8	1,205.7	154.5	1,156.9	48.8	4.2%	
Total Receipts	172.6	1,252.7	36.8	294.9	209.4	1,547.6	189.4	1,421.3	126.3	8.9%	
DISBURSEMENTS:											
Departmental Operations:											
Personal Service	2.2	4.9	8.7	60.3	10.9	65.2	8.9	58.9	6.3	10.7%	
Non-Personal Service	5.5	31.4	30.2	288.2	35.7	319.6	(27.3)	262.5	57.1	21.8%	
General State Charges	0.2	0.8	5.2	35.0	5.4	35.8	-	21.6	14.2	65.7%	
Unemployment Benefits	166.2	1,215.3	-	-	166.2	1,215.3	155.8	1,210.7	4.6	0.4%	
Total Disbursements	174.1	1,252.4	44.1	383.5	218.2	1,635.9	137.4	1,553.7	82.2	5.3%	
Excess (Deficiency) of Receipts Over Disbursements	(1.5)	0.3	(7.3)	(88.6)	(8.8)	(88.3)	52.0	(132.4)	44.1	33.3%	
OTHER FINANCING SOURCES (USES):											
Transfers from Other Funds	-	-	6.6	22.0	6.6	22.0	3.1	24.8	(2.8)	-11.3%	
Transfers to Other Funds	-	-	-	(7.3)	-	(7.3)	-	(7.7)	0.4	5.2%	
Total Other Financing Sources (Uses)	-	-	6.6	14.7	6.6	14.7	3.1	17.1	(2.4)	-14.0%	
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1.5)	0.3	(0.7)	(73.9)	(2.2)	(73.6)	55.1	(115.3)	41.7	36.2%	
Beginning Fund Balances (Deficits)	25.4	23.6	(273.6)	(200.4)	(248.2)	(176.8)	(231.5)	(61.1)	(115.7)	-189.4%	
Ending Fund Balances (Deficits)	\$ 23.9	\$ 23.9	\$ (274.3)	\$ (274.3)	\$ (250.4)	\$ (250.4)	\$ (176.4)	\$ (176.4)	\$ (74.0)	-42.0%	

## 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 OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2017	7 MOS. ENDED OCT. 31, 2017	MONTH OF OCT. 2016	7 MOS. ENDED OCT. 31, 2016	\$ Increase/ (Decrease)	% Increase/ Decrease
<b>RECEIPTS:</b>												
Miscellaneous Receipts	\$ 5.8	\$ 39.0	\$ 0.2	\$ 1.0	\$ 6.0	\$ 40.0	\$ 4.9	\$ 37.0	\$ 4.9	\$ 37.0	\$ 3.0	8.1%
<b>Total Receipts</b>	<b>5.8</b>	<b>39.0</b>	<b>0.2</b>	<b>1.0</b>	<b>6.0</b>	<b>40.0</b>	<b>4.9</b>	<b>37.0</b>	<b>4.9</b>	<b>37.0</b>	<b>3.0</b>	<b>8.1%</b>
<b>DISBURSEMENTS:</b>												
Departmental Operations:												
Personal Service	5.8	37.1	0.1	0.2	5.9	37.3	4.8	35.6	4.8	35.6	1.7	4.8%
Non-Personal Service	1.3	7.8	-	-	1.3	7.8	0.9	7.0	0.9	7.0	0.8	11.4%
General State Charges	-	14.9	-	0.1	-	15.0	-	11.6	-	11.6	3.4	29.3%
<b>Total Disbursements</b>	<b>7.1</b>	<b>59.8</b>	<b>0.1</b>	<b>0.3</b>	<b>7.2</b>	<b>60.1</b>	<b>5.7</b>	<b>54.2</b>	<b>5.7</b>	<b>54.2</b>	<b>5.9</b>	<b>10.9%</b>
<b>Excess (Deficiency) of Receipts Over Disbursements</b>	<b>(1.3)</b>	<b>(20.8)</b>	<b>0.1</b>	<b>0.7</b>	<b>(1.2)</b>	<b>(20.1)</b>	<b>(0.8)</b>	<b>(17.2)</b>	<b>(0.8)</b>	<b>(17.2)</b>	<b>(2.9)</b>	<b>-16.9%</b>
<b>OTHER FINANCING SOURCES (USES):</b>												
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-	-	0.0%
<b>Total Other Financing Sources (Uses)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>0.0%</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>(1.3)</b>	<b>(20.8)</b>	<b>0.1</b>	<b>0.7</b>	<b>(1.2)</b>	<b>(20.1)</b>	<b>(0.8)</b>	<b>(17.2)</b>	<b>(0.8)</b>	<b>(17.2)</b>	<b>(2.9)</b>	<b>-16.9%</b>
<b>Beginning Fund Balances (Deficits)</b>	<b>(21.4)</b>	<b>(1.9)</b>	<b>11.3</b>	<b>10.7</b>	<b>(10.1)</b>	<b>8.8</b>	<b>(4.7)</b>	<b>11.7</b>	<b>(4.7)</b>	<b>11.7</b>	<b>(2.9)</b>	<b>-24.8%</b>
<b>Ending Fund Balances (Deficits)</b>	<b>\$ (22.7)</b>	<b>\$ (22.7)</b>	<b>\$ 11.4</b>	<b>\$ 11.4</b>	<b>\$ (11.3)</b>	<b>\$ (11.3)</b>	<b>\$ (5.5)</b>	<b>\$ (5.5)</b>	<b>\$ (5.5)</b>	<b>\$ (5.5)</b>	<b>\$ (5.8)</b>	<b>-105.5%</b>

## EXHIBIT D

STATE OF NEW YORK  
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL  
FISCAL YEAR 2017-2018  
FOR SEVEN MONTHS ENDED OCTOBER 31, 2017  
(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
<b>RECEIPTS:</b>					
Taxes:					
Personal Income	\$ 26,006.0	\$ 24,911.0	\$ 24,868.9	\$ (1,137.1)	\$ (42.1)
Consumption/Use	9,843.0	9,661.0	9,670.3	(172.7)	9.3
Business	3,336.0	3,709.0	3,710.3	374.3	1.3
Other	2,104.0	2,201.0	2,194.9	90.9	(6.1)
Miscellaneous Receipts	14,377.0	14,912.0	14,979.4	602.4	67.4
Federal Receipts	31,710.0	32,252.0	32,250.3	540.3	(1.7)
<b>Total Receipts</b>	<b>87,376.0</b>	<b>87,646.0</b>	<b>87,674.1</b>	<b>298.1</b>	<b>28.1</b>
<b>DISBURSEMENTS:</b>					
Local Assistance Grants	65,914.0	65,580.0	65,701.8	(212.2)	121.8
Departmental Operations	11,722.0	12,023.0	12,023.7	301.7	0.7
General State Charges	5,626.0	5,733.0	5,733.6	107.6	0.6
Debt Service	1,625.0	1,581.0	1,581.9	(43.1)	0.9
Capital Projects	4,935.0	3,794.0	3,794.5	(1,140.5)	0.5
<b>Total Disbursements</b>	<b>89,822.0</b>	<b>88,711.0</b>	<b>88,835.5</b>	<b>(986.5)</b>	<b>124.5</b>
<b>Excess (Deficiency) of Receipts over Disbursements</b>	<b>(2,446.0)</b>	<b>(1,065.0)</b>	<b>(1,161.4)</b>	<b>1,284.6</b>	<b>(96.4)</b>
<b>OTHER FINANCING SOURCES (USES):</b>					
Bond and Note Proceeds, net	-	-	-	-	-
Transfers from Other Funds	19,528.0	18,841.0	18,399.4	(1,128.6)	(441.6)
Transfers to Other Funds	(19,568.0)	(18,912.0)	(18,469.1)	(1,098.9)	(442.9)
<b>Total Other Financing Sources (Uses)</b>	<b>(40.0)</b>	<b>(71.0)</b>	<b>(69.7)</b>	<b>(29.7)</b>	<b>1.3</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>(2,486.0)</b>	<b>(1,136.0)</b>	<b>(1,231.1)</b>	<b>1,254.9</b>	<b>(95.1)</b>
<b>Fund Balances (Deficits) at April 1</b>	<b>11,105.0</b>	<b>11,105.0</b>	<b>11,104.7</b>	<b>(0.3)</b>	<b>(0.3)</b>
<b>Fund Balances (Deficits) at October 31, 2017</b>	<b>\$ 8,619.0</b>	<b>\$ 9,969.0</b>	<b>\$ 9,873.6</b>	<b>\$ 1,254.6</b>	<b>\$ (95.4)</b>

(\*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.

(\*\*) Source: 2017-18 Mid-Year Update dated November 10, 2017.



## EXHIBIT D

STATE OF NEW YORK  
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL  
FISCAL YEAR 2017-2018  
FOR SEVEN MONTHS ENDED OCTOBER 31, 2017  
(Amounts in millions)

	STATE OPERATING FUNDS <sup>(****)</sup>			
	Enacted Financial Plan <sup>(*)</sup>	Updated Financial Plan <sup>(**)</sup>	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
<b>RECEIPTS:</b>				
Taxes:				
Personal Income	\$ 26,006.0	\$ 24,911.0	\$ 24,866.9	\$ (1,137.1) (42.1)
Consumption/Use	9,506.0	9,330.0	9,342.9	(163.1) 12.9
Business	2,978.0	3,360.0	3,348.1	370.1 (1.9)
Other	2,044.0	2,141.0	2,135.4	91.4 (5.6)
Miscellaneous Receipts	11,161.0	11,927.0	11,982.5	821.5 55.5
Federal Receipts	37.0	39.0	37.2	0.2 (1.8)
<b>Total Receipts</b>	<b>51,732.0</b>	<b>51,698.0</b>	<b>51,715.0</b>	<b>(17.0) 17.0</b>
<b>DISBURSEMENTS:</b>				
Local Assistance Grants	34,767.0	34,020.0	34,023.3	(743.7) 3.3
Departmental Operations	10,679.0	10,878.0	10,878.6	199.6 0.6
General State Charges	5,464.0	5,556.0	5,555.2	91.2 (0.8)
Debt Service	1,625.0	1,581.0	1,581.9	(43.1) 0.9
Capital Projects	-	-	-	- -
<b>Total Disbursements</b>	<b>52,535.0</b>	<b>52,035.0</b>	<b>52,039.0</b>	<b>(496.0) 4.0</b>
<b>Excess (Deficiency) of Receipts over Disbursements</b>	<b>(803.0)</b>	<b>(337.0)</b>	<b>(324.0)</b>	<b>479.0 13.0</b>
<b>OTHER FINANCING SOURCES (USES):</b>				
Transfers from Other Funds	17,827.0	17,570.0	17,454.3 <sup>(****)</sup>	(372.7) (115.7)
Transfers to Other Funds	(17,839.0)	(17,169.0)	(17,168.5) <sup>(****)</sup>	(670.5) (0.5)
<b>Total Other Financing Sources (Uses)</b>	<b>(12.0)</b>	<b>401.0</b>	<b>285.8</b>	<b>297.8 (115.2)</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>(815.0)</b>	<b>64.0</b>	<b>(38.2)</b>	<b>776.8 (102.2)</b>
<b>Fund Balances (Deficits) at April 1</b>	<b>11,625.0</b>	<b>11,625.0</b>	<b>11,625.3</b>	<b>0.3 0.3</b>
<b>Fund Balances (Deficits) at October 31, 2017</b>	<b>\$ 10,810.0</b>	<b>\$ 11,689.0</b>	<b>\$ 11,587.1</b>	<b>\$ 777.1 (101.9)</b>

(\*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.

(\*\*) Source: 2017-18 Mid-Year Update dated November 10, 2017.

(\*\*\*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.

(\*\*\*\*) Eliminations between Special Revenue - State and Federal Funds are not included.

**STATE OF NEW YORK  
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL  
FISCAL YEAR 2017-2018  
FOR SEVEN MONTHS ENDED OCTOBER 31, 2017  
(Amounts in millions)**

EXHIBIT D

	GENERAL FUND			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
<b>RECEIPTS:</b>				
Taxes:				
Personal Income	\$ 19,332.0	\$ 18,620.0	\$ 18,589.1	\$ (742.9) (30.9)
Consumption/Use	4,326.0	4,241.0	4,248.5	(77.5) 7.5
Business	2,217.0	2,504.0	2,494.7	277.7 (9.3)
Other	627.0	756.0	751.4	124.4 (4.6)
Miscellaneous Receipts	1,007.0	1,680.0	1,682.8	675.8 2.8
Federal Receipts	-	-	0.1	0.1 0.1
Transfers From:				
PIT in excess of Revenue Bond Debt Service	6,051.0	5,815.0	5,805.3	(255.7) (9.7)
Sales Tax in excess of LGAC / STRBF Debt Service	3,509.0	3,446.0	3,452.9	(56.1) 6.9
Real Estate Taxes in excess of CW/CA Debt Service	615.0	593.0	593.4	(21.6) 0.4
All Other	142.0	133.0	130.3	(11.7) (2.7)
<b>Total Receipts and Other Financing Sources</b>	<b>37,836.0</b>	<b>37,788.0</b>	<b>37,748.5</b>	<b>(87.5) (39.5)</b>
<b>DISBURSEMENTS:</b>				
Local Assistance Grants	24,414.0	23,830.0	23,827.9	(586.1) (2.1)
Departmental Operations	4,680.0	4,824.0	4,824.3	144.3 0.3
General State Charges	4,304.0	4,398.0	4,396.8	92.8 (1.2)
Transfers To:				
Debt Service	713.0	710.0	712.3	(0.7) 2.3
Capital Projects	1,556.0	1,076.0	1,074.5	(481.5) (1.5)
State Share Medicaid	755.0	709.0	911.5	156.5 202.5
SUNY Operations	835.0	835.0	834.0	(1.0) (1.0)
Other Purposes	2,756.0	2,751.0	2,552.8	(203.2) (198.2)
<b>Total Disbursements and Other Financing Uses</b>	<b>40,013.0</b>	<b>39,133.0</b>	<b>39,134.1</b>	<b>(878.9) 1.1</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>(2,177.0)</b>	<b>(1,345.0)</b>	<b>(1,385.6)</b>	<b>791.4 (40.6)</b>
<b>Fund Balances (Deficits) at April 1</b>	<b>7,749.0</b>	<b>7,749.0</b>	<b>7,748.6</b>	<b>(0.4) (0.4)</b>
<b>Fund Balances (Deficits) at October 31, 2017</b>	<b>\$ 5,572.0</b>	<b>\$ 6,404.0</b>	<b>\$ 6,363.0</b>	<b>\$ 791.0 (41.0)</b>

(\*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.

(\*\*) Source: 2017-18 Mid-Year Update dated November 10, 2017.

(\*\*\*) Includes transfers to the Department of Health Income Fund, the State University Income Fund and the Mental Hygiene Program Account representing payments for patients residing in State-Operated Health, Mental Hygiene and State University facilities.

## EXHIBIT D

STATE OF NEW YORK  
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL  
FISCAL YEAR 2017-2018  
FOR SEVEN MONTHS ENDED OCTOBER 31, 2017  
(Amounts in millions)

	SPECIAL REVENUE FUNDS					
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
<b>RECEIPTS:</b>						
Taxes:						
Personal Income	\$ 172.0	\$ 63.0	\$ 62.6	\$ -	\$ 62.6	\$ (0.4)
Consumption/Use	1,228.0	1,215.0	1,214.5	-	1,214.5	(0.5)
Business	761.0	846.0	853.4	-	853.4	7.4
Other	756.0	755.0	754.5	-	754.5	(0.5)
Miscellaneous Receipts	9,975.0	10,086.0	10,152.2	-	10,152.2	66.2
Federal Receipts	30,562.0	31,107.0	31,107.2	-	31,107.2	0.2
Transfers from Other Funds(***)	5,520.0	5,536.0	5,506.6	(326.0)	5,180.6	(355.4)
<b>Total Receipts and Other Financing Sources</b>	<b>48,974.0</b>	<b>49,608.0</b>	<b>49,651.0</b>	<b>(326.0)</b>	<b>49,325.0</b>	<b>(283.0)</b>
<b>DISBURSEMENTS:</b>						
Local Assistance Grants	39,085.0	39,734.0	39,856.3	-	39,856.3	122.3
Departmental Operations	7,015.0	7,179.0	7,179.0	-	7,179.0	-
General State Charges	1,322.0	1,335.0	1,336.8	-	1,336.8	1.8
Capital Projects	-	-	-	-	-	-
Transfers to Other Funds(***)	1,523.0	1,618.0	1,502.3	(326.0)	1,176.3	(441.7)
<b>Total Disbursements and Other Financing Uses</b>	<b>48,945.0</b>	<b>49,866.0</b>	<b>49,874.4</b>	<b>(326.0)</b>	<b>49,548.4</b>	<b>(317.6)</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>29.0</b>	<b>(258.0)</b>	<b>(223.4)</b>	<b>-</b>	<b>(223.4)</b>	<b>34.6</b>
<b>Fund Balances (Deficits) at April 1</b>	<b>4,272.0</b>	<b>4,272.0</b>	<b>4,272.2</b>	<b>-</b>	<b>4,272.2</b>	<b>0.2</b>
<b>Fund Balances (Deficits) at October 31, 2017</b>	<b>\$ 4,301.0</b>	<b>\$ 4,014.0</b>	<b>\$ 4,048.8</b>	<b>\$ -</b>	<b>\$ 4,048.8</b>	<b>\$ 34.8</b>

(\*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.

(\*\*) Source: 2017-18 Mid-Year Update dated November 10, 2017.

(\*\*\*) Actual reported transfer amounts include eliminations between Special Revenue - State and Federal Funds.

## STATE OF NEW YORK

BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL  
FISCAL YEAR 2017-2018FOR SEVEN MONTHS ENDED OCTOBER 31, 2017  
(Amounts in millions)

## EXHIBIT D

	STATE SPECIAL REVENUE FUNDS				FEDERAL SPECIAL REVENUE FUNDS					
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Personal Income	\$ 172.0	\$ 63.0	\$ 62.6	\$ (109.4)	\$ (0.4)	\$ -	\$ -	\$ -	\$ -	\$ -
Consumption/Use	1,228.0	1,215.0	1,214.5	(13.5)	(0.5)	-	-	-	-	-
Business	761.0	848.0	853.4	92.4	7.4	-	-	-	-	-
Other	756.0	755.0	754.5	(1.5)	(0.5)	-	-	-	-	-
Miscellaneous Receipts	9,872.0	9,964.0	10,019.1	147.1	55.1	103.0	122.0	133.1	30.1	11.1
Federal Receipts	-	-	0.4	0.4	0.4	30,562.0	31,107.0	31,106.8	544.8	(0.2)
Transfers from Other Funds	5,514.0	5,536.0	5,506.6	(7.4)	(29.4)	6.0	-	-	(6.0)	-
Total Receipts and Other Financing Sources	18,303.0	18,379.0	18,411.1	108.1	32.1	30,671.0	31,229.0	31,239.9	568.9	10.9
DISBURSEMENTS:										
Local Assistance Grants	10,353.0	10,190.0	10,195.4	(157.6)	5.4	28,732.0	29,544.0	29,660.9	928.9	116.9
Departmental Operations	5,972.0	6,034.0	6,033.9	61.9	(0.1)	1,043.0	1,145.0	1,145.1	102.1	0.1
General State Charges	1,160.0	1,158.0	1,158.4	(1.6)	0.4	162.0	177.0	178.4	16.4	1.4
Capital Projects	-	-	-	-	-	-	-	-	-	-
Transfers to Other Funds	241.0	319.0	319.0	78.0	-	1,282.0	1,299.0	1,183.3	(98.7)	(115.7)
Total Disbursements and Other Financing Uses	17,726.0	17,701.0	17,706.7	(19.3)	5.7	31,219.0	32,165.0	32,167.7	948.7	2.7
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	577.0	678.0	704.4	127.4	26.4	(548.0)	(936.0)	(927.8)	(379.8)	8.2
Fund Balances (Deficits) at April 1	3,732.0	3,732.0	3,732.3	0.3	0.3	540.0	540.0	539.9	(0.1)	(0.1)
Fund Balances (Deficits) at October 31, 2017	\$ 4,309.0	\$ 4,410.0	\$ 4,436.7	\$ 127.7	\$ 26.7	\$ (8.0)	\$ (396.0)	\$ (387.9)	\$ (379.9)	\$ 8.1

(\*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.

(\*\*) Source: 2017-18 Mid-Year Update dated November 10, 2017.

**STATE OF NEW YORK**  
**BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL**  
**FISCAL YEAR 2017-2018**  
**FOR SEVEN MONTHS ENDED OCTOBER 31, 2017**  
**(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
<b>RECEIPTS:</b>				
Taxes:				
Personal Income	\$ 6,502.0	\$ 6,228.0	\$ 6,217.2	\$ (284.8) \$ (10.8)
Consumption/Use	3,952.0	3,874.0	3,879.9	(72.1) 5.9
Other	661.0	630.0	629.5	(31.5) (0.5)
Miscellaneous Receipts	282.0	283.0	280.6	(1.4) (2.4)
Federal Receipts	37.0	39.0	36.7	(0.3) (2.3)
Transfers from Other Funds	1,986.0	2,047.0	1,965.8	(20.2) (81.2)
<b>Total Receipts and Other Financing Sources</b>	<b>13,420.0</b>	<b>13,101.0</b>	<b>13,009.7</b>	<b>(410.3) (91.3)</b>
<b>DISBURSEMENTS:</b>				
Departmental Operations	27.0	20.0	20.4	(6.6) 0.4
Debt Service	1,625.0	1,581.0	1,581.9	(43.1) 0.9
Transfers to Other Funds	10,983.0	10,769.0	10,764.4	(218.6) (4.6)
<b>Total Disbursements and Other Financing Uses</b>	<b>12,635.0</b>	<b>12,370.0</b>	<b>12,366.7</b>	<b>(268.3) (3.3)</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>785.0</b>	<b>731.0</b>	<b>643.0</b>	<b>(142.0) (88.0)</b>
<b>Fund Balances (Deficits) at April 1</b>	<b>144.0</b>	<b>144.0</b>	<b>144.4</b>	<b>0.4 0.4</b>
<b>Fund Balances (Deficits) at October 31, 2017</b>	<b>\$ 929.0</b>	<b>\$ 875.0</b>	<b>\$ 787.4</b>	<b>\$ (141.6) (87.6)</b>

(\*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.

(\*\*) Source: 2017-18 Mid-Year Update dated November 10, 2017.



STATE OF NEW YORK  
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL  
FISCAL YEAR 2017-2018  
FOR SEVEN MONTHS ENDED OCTOBER 31, 2017  
(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
<b>RECEIPTS:</b>						
Taxes:						
Consumption/Use	\$ 337.0	\$ 331.0	\$ 327.4	\$ -	\$ 327.4	\$ (9.6) \$ (3.6)
Business	358.0	359.0	362.2	-	362.2	4.2 3.2
Other	60.0	60.0	59.5	-	59.5	(0.5) (0.5)
Miscellaneous Receipts	3,113.0	2,863.0	2,863.8	-	2,863.8	(249.2) 0.8
Federal Receipts	1,111.0	1,106.0	1,106.3	-	1,106.3	(4.7) 0.3
Bond and Note Proceeds, net	-	-	-	-	-	- -
Transfers from Other Funds	1,695.0	1,271.0	1,271.1	-	1,271.1	(423.9) 0.1
<b>Total Receipts and Other Financing Sources</b>	<b>6,674.0</b>	<b>5,990.0</b>	<b>5,990.3</b>	<b>-</b>	<b>5,990.3</b>	<b>(683.7) 0.3</b>
<b>DISBURSEMENTS:</b>						
Local Assistance Grants	2,415.0	2,016.0	2,017.6	-	2,017.6	(397.4) 1.6
Capital Projects	4,935.0	3,794.0	3,794.5	-	3,794.5	(1,140.5) 0.5
Transfers to Other Funds	447.0	444.0	443.3	-	443.3	(3.7) (0.7)
<b>Total Disbursements and Other Financing Uses</b>	<b>7,797.0</b>	<b>6,254.0</b>	<b>6,255.4</b>	<b>-</b>	<b>6,255.4</b>	<b>(1,541.6) 1.4</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>(1,123.0)</b>	<b>(264.0)</b>	<b>(265.1)</b>	<b>-</b>	<b>(265.1)</b>	<b>857.9 (1.1)</b>
<b>Fund Balances (Deficits) at April 1</b>	<b>(1,060.0)</b>	<b>(1,060.0)</b>	<b>(1,060.5)</b>	<b>-</b>	<b>(1,060.5)</b>	<b>(0.5) (0.5)</b>
<b>Fund Balances (Deficits) at October 31, 2017</b>	<b>\$ (2,183.0)</b>	<b>\$ (1,324.0)</b>	<b>\$ (1,325.6)</b>	<b>\$ -</b>	<b>\$ (1,325.6)</b>	<b>\$ 857.4 \$ (1.6)</b>

(\*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.

(\*\*) Source: 2017-18 Mid-Year Update dated November 10, 2017.

STATE OF NEW YORK  
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL  
FISCAL YEAR 2017-2018  
FOR SEVEN MONTHS ENDED OCTOBER 31, 2017  
(Amounts in millions)

EXHIBIT D

	STATE CAPITAL PROJECTS FUNDS				FEDERAL CAPITAL PROJECTS FUNDS			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan
<b>RECEIPTS:</b>								
Taxes:								
Consumption/Use	\$ 337.0	\$ 331.0	\$ 327.4	\$ (9.6)	\$ -	\$ -	\$ -	\$ -
Business	358.0	359.0	362.2	4.2	-	-	-	-
Other	60.0	60.0	59.5	(0.5)	-	-	-	-
Miscellaneous Receipts	3,112.0	2,862.0	2,862.5	(249.5)	1.0	1.0	1.3	0.3
Federal Receipts	2.0	3.0	2.5	0.5	1,109.0	1,103.0	1,103.8	(5.2)
Bond and Note Proceeds, net	-	-	-	-	-	-	-	-
Transfers from Other Funds	1,685.0	1,271.0	1,271.1	(423.9)	-	-	-	-
Total Receipts and Other Financing Sources	<u>5,564.0</u>	<u>4,866.0</u>	<u>4,865.2</u>	<u>(678.8)</u>	<u>1,110.0</u>	<u>1,104.0</u>	<u>1,105.1</u>	<u>(4.9)</u>
<b>DISBURSEMENTS:</b>								
Local Assistance Grants	2,142.0	1,733.0	1,734.1	(407.9)	273.0	283.0	283.5	10.5
Capital Projects	4,170.0	3,010.0	3,009.8	(1,160.2)	765.0	784.0	784.7	19.7
Transfers to Other Funds	441.0	439.0	438.6	(2.4)	6.0	5.0	4.7	(1.3)
Total Disbursements and Other Financing Uses	<u>6,753.0</u>	<u>5,182.0</u>	<u>5,182.5</u>	<u>(1,570.5)</u>	<u>1,044.0</u>	<u>1,072.0</u>	<u>1,072.9</u>	<u>28.9</u>
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,189.0)	(296.0)	(297.3)	891.7	66.0	32.0	32.2	(33.8)
Fund Balances (Deficits) at April 1	(491.0)	(491.0)	(490.9)	0.1	(569.0)	(569.0)	(569.6)	(0.6)
Fund Balances (Deficits) at October 31, 2017	<u>\$ (1,680.0)</u>	<u>\$ (787.0)</u>	<u>\$ (788.2)</u>	<u>\$ 891.8</u>	<u>\$ (503.0)</u>	<u>\$ (537.0)</u>	<u>\$ (537.4)</u>	<u>\$ (34.4)</u>

(\*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.

(\*\*) Source: 2017-18 Mid-Year Update dated November 10, 2017.

STATE OF NEW YORK  
GOVERNMENTAL FUNDS  
COMPARATIVE SCHEDULE OF TAX RECEIPTS  
(Amounts in millions)

	GENERAL				SPECIAL REVENUE				DEBT SERVICE				CAPITAL PROJECTS				TOTAL GOVERNMENTAL FUNDS				YEAR OVER YEAR	
	MONTH OF		7 MOS. ENDED		MONTH OF		7 MOS. ENDED		MONTH OF		7 MOS. ENDED		MONTH OF		7 MOS. ENDED		MONTH OF		7 MOS. ENDED		\$ Increase/ (Decrease)	% Increase/ Decrease
	OCT. 2017	OCT. 31, 2017	OCT. 2017	OCT. 31, 2017	OCT. 2017	OCT. 31, 2017	OCT. 2017	OCT. 31, 2017	OCT. 2017	OCT. 31, 2017	OCT. 2017	OCT. 31, 2017	OCT. 2017	OCT. 31, 2017	OCT. 2017	OCT. 31, 2017	OCT. 2016	OCT. 31, 2016				
PERSONAL INCOME TAX																						
Withholding	\$ 2,789.7	\$ 19,582.1	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,789.7	\$ 19,582.1	\$ 18,592.7	\$ 989.4	5.3%	
Estimated Payments	145.3	8,849.1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	145.3	8,849.1	9,591.7	(732.6)	-7.6%	
Returns	391.7	2,195.3	-	-	-	-	-	-	-	-	-	-	-	-	-	-	391.7	2,195.3	2,345.7	(150.4)	-6.4%	
State/City Offsets	(321.7)	(627.4)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	(321.7)	(627.4)	(614.1)	13.3	2.2%	
Other (Assessments/LLC)	100.1	734.1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	100.1	734.1	764.7	(30.6)	-4.0%	
Gross Receipts	3,105.1	30,733.2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,105.1	30,733.2	30,670.7	62.5	0.2%	
Transfers to School Tax Relief Fund	(5.0)	(62.6)	5.0	62.6	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Transfers to Revenue Bond Tax Fund	(673.5)	(6,217.2)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Less: Refunds Issued	(410.9)	(5,894.3)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Total	2,015.7	18,589.1	5.0	62.6	673.5	6,217.2	-	-	-	-	-	-	-	-	-	-	2,015.7	18,589.1	26,032.0	1,225.6	28.4%	
																				(1,183.1)	-4.5%	
CONSUMPTION/USE TAXES																						
Sales and Use	520.0	3,886.5	73.1	593.0	519.8	3,879.9	-	-	-	-	-	-	-	-	-	-	520.0	3,886.5	8,062.7	236.7	2.9%	
Auto Rental	-	-	3.5	29.7	-	-	5.8	51.5	-	-	-	-	-	-	-	-	-	-	74.7	6.5	8.7%	
Cigarette/Tobacco Products	31.1	209.5	74.9	515.4	-	-	-	-	-	-	-	-	-	-	-	-	31.1	209.5	756.4	(31.5)	-4.2%	
Medical Marijuana	-	-	0.2	0.9	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.3	0.6	200.0%	
Motor Fuel	-	-	9.1	64.4	-	-	33.5	238.5	-	-	-	-	-	-	-	-	-	-	306.8	(3.9)	-1.3%	
Alcoholic Beverage	19.4	152.5	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	152.5	0.1	0.1%	
Highway Use	-	-	0.1	1.2	-	-	14.2	37.4	-	-	-	-	-	-	-	-	-	-	85.1	(46.5)	-54.6%	
Metropolitan Commuter Trans. Taxicab Trip	-	-	11.4	39.9	-	-	-	-	-	-	-	-	-	-	-	-	-	-	48.2	(8.3)	-17.2%	
Total	570.5	4,248.5	117.3	1,214.5	519.8	3,879.9	53.5	327.4	-	-	-	-	-	-	-	-	570.5	4,248.5	9,516.6	153.7	1.6%	
BUSINESS TAXES																						
Corporation Franchise	(57.3)	1,306.5	24.9	394.8	-	-	-	-	-	-	-	-	-	-	-	-	(57.3)	1,306.5	1,968.7	(287.4)	-13.6%	
Corporation and Utilities	0.8	258.4	0.3	72.1	-	-	0.2	6.0	-	-	-	-	-	-	-	-	0.8	258.4	289.0	47.5	18.4%	
Insurance	10.3	692.6	(1.8)	70.3	-	-	-	-	-	-	-	-	-	-	-	-	10.3	692.6	703.3	59.6	8.5%	
Bank	0.6	237.2	0.4	31.4	-	-	-	-	-	-	-	-	-	-	-	-	0.6	237.2	333.4	(64.8)	-19.4%	
Petroleum Business	-	-	40.5	284.8	-	-	50.8	356.2	-	-	-	-	-	-	-	-	-	-	688.5	(27.5)	-4.1%	
Total	(45.6)	2,494.7	64.3	853.4	-	-	51.0	362.2	-	-	-	-	-	-	-	-	(45.6)	2,494.7	3,962.9	(252.6)	-6.4%	
OTHER TAXES																						
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Estate and Gift	75.6	739.3	-	-	-	-	-	-	-	-	-	-	-	-	-	-	75.6	739.3	637.6	101.7	16.0%	
Part-Mutuel	1.2	10.6	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1.2	10.6	10.8	(0.2)	-1.9%	
Real Estate Transfer	-	-	-	-	-	-	11.9	59.5	-	-	-	-	-	-	-	-	-	-	96.5	8.1	1.2%	
Racing and Exhibitions	0.3	1.5	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.3	1.5	0.9	0.6	66.7%	
Metropolitan Commuter Trans. Mobility	-	-	118.0	754.5	-	-	-	-	-	-	-	-	-	-	-	-	118.0	754.5	720.6	33.9	4.7%	
Total	77.1	751.4	118.0	754.5	70.0	629.5	11.9	59.5	-	-	-	-	-	-	-	-	77.1	751.4	2,050.8	144.1	7.0%	
Total Tax Receipts	\$ 2,617.7	\$ 26,083.7	\$ 359.6	\$ 2,885.0	\$ 1,263.3	\$ 10,726.6	\$ 116.4	\$ 749.1	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,617.7	\$ 26,083.7	\$ 41,562.3	\$ (1,117.9)	-2.7%	

**STATE OF NEW YORK  
GOVERNMENTAL FUNDS (\*)  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)**

	7 Months Ended October 31												% Increase/ Decrease
	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
<b>Beginning Fund Balance</b>	\$ 11,104.7	\$ 11,516.4	\$ 6,483.9	\$ 7,678.9	\$ 9,316.8	\$ 9,494.5	\$ 9,850.6						
<b>RECEIPTS:</b>													
<b>Taxes:</b>													
Personal Income Tax:													
Withholdings	2,755.8	2,855.0	2,899.4	2,862.4	3,032.7	2,583.1	2,789.7						989.4
Refundable payments	1,572.8	74.6	44.2	31.7	33.0	2,472.3	391.7						9,582.1
State/Chy Offsets	(201.5)	(15.9)	(19.4)	(19.0)	(21.2)	(28.0)	(321.7)						(150.4)
Other (Assessments)/LLC	154.0	105.2	87.5	97.2	110.7	79.4	100.1						(30.8)
<b>Gross Receipts</b>	<b>8,449.3</b>	<b>3,131.3</b>	<b>4,924.6</b>	<b>2,882.0</b>	<b>3,244.8</b>	<b>4,996.1</b>	<b>3,105.1</b>						<b>62.5</b>
Transfers to School Tax Relief Fund													0.2%
Transfers to Revenue Bond Tax Fund													0.0%
<b>Total Personal Income Tax</b>	<b>(3,447.5)</b>	<b>(1,030.0)</b>	<b>(273.8)</b>	<b>(232.0)</b>	<b>(189.9)</b>	<b>(280.3)</b>	<b>(410.9)</b>						<b>1,225.6</b>
Refunds issued	500.18	2,101.3	4,550.8	2,550.0	3,055.0	4,715.8	2,694.2						<b>(1,103.1)</b>
<b>Consumption Use Taxes:</b>													<b>26,032.0</b>
Sales Tax	1,042.9	1,044.1	1,471.1	1,125.1	1,101.2	1,458.2	1,112.9						236.7
Auto Rental	8.8	12.3	13.5	9.3	12.6	8.3	8.3						6.5
Cigarette/Tobacco Products	87.7	107.8	105.8	97.8	101.7	106.0	724.9						756.4
Medical Marijuana	0.1	0.1	0.1	0.1	0.2	0.1	0.2						(31.5)
Motor Fuel	41.4	39.6	44.2	44.1	44.7	46.3	42.6						0.6
Alcoholic Beverage	21.0	19.0	23.6	28.9	16.5	24.1	19.4						306.8
Highway Use	11.6	(32.5)	10.9	12.2	12.1	10.0	14.3						(3.9)
Metropolitan Commuter Trans.	13.4	0.4	0.4	13.1	0.5	10.4	39.9						152.4
Metropolitan Commuter Trans. Taxicab Trip	1,228.8	1,187.5	1,844.6	1,334.8	1,306.3	1,651.4	1,11.4						85.1
<b>Total Consumption Use Taxes</b>	<b>1,228.8</b>	<b>1,187.5</b>	<b>1,844.6</b>	<b>1,334.8</b>	<b>1,306.3</b>	<b>1,651.4</b>	<b>1,11.4</b>						<b>(46.5)</b>
Business Taxes:													48.2
Corporation Franchise	430.1	118.0	495.6	60.6	130.6	498.8	(32.4)						153.7
Corporation and Utilities	40.6	36.2	119.9	10.6	3.8	124.1	1.3						1,968.7
Insurance	45.5	15.5	321.3	7.2	24.4	340.5	8.5						(267.4)
Bank	4.3	(7.4)	(0.9)	6.9	275.1	(10.4)	1.0						280.0
Petroleum Business Taxes	603.2	244.6	1,031.2	184.8	524.4	1,052.4	69.3						703.3
<b>Total Business Taxes</b>	<b>603.2</b>	<b>244.6</b>	<b>1,031.2</b>	<b>184.8</b>	<b>524.4</b>	<b>1,052.4</b>	<b>69.3</b>						59.6
Other Taxes:													333.4
Real Property Gains	89.7	112.7	102.0	64.4	83.2	211.7	75.6						668.5
Estate and Gift	0.8	1.5	1.5	1.4	2.3	1.2	1.2						(252.6)
Real Estate Transfer	94.8	94.7	101.5	96.3	109.5	110.3	81.9						1,968.7
Racing and Exhibitions	0.4	0.1	-	0.2	0.5	-	1.5						280.0
Metropolitan Commuter Trans. Mobility	120.2	106.9	106.2	98.2	105.7	99.3	118.0						703.3
<b>Total Other Taxes</b>	<b>305.9</b>	<b>315.6</b>	<b>311.2</b>	<b>266.5</b>	<b>301.2</b>	<b>423.5</b>	<b>277.0</b>						668.5
<b>Total Taxes</b>	<b>7,140.7</b>	<b>3,849.0</b>	<b>7,637.6</b>	<b>4,436.1</b>	<b>5,186.9</b>	<b>7,843.1</b>	<b>4,357.0</b>						<b>3,962.9</b>
<b>Miscellaneous Receipts:</b>													<b>(252.6)</b>
Abandoned Property	0.7	0.9	1.2	1.1	1.7	65.3	6.3						1,968.7
Unclaimed Property	0.3	0.5	32.7	0.6	0.2	38.2	1.2						(267.4)
Boiler Bill													280.0
Assessments:													703.3
Business	33.6	72.8	94.2	25.9	70.9	118.9	19.7						59.6
Medical Care	462.2	460.4	457.4	541.8	503.9	475.5	509.5						703.3
Public Utilities	1.4	-	0.7	0.1	0.4	45.9	(6.6)						280.0
Other	0.9	(0.1)	1.3	5.7	-	0.3	(5.5)						668.5
Fees, Licenses and Permits:													1,968.7
Alcohol Beverage Control Licensing	6.1	6.4	5.9	5.4	6.1	5.7	6.5						280.0
Adult Fees	49.4	59.3	108.1	53.4	50.5	108.9	73.2						1,968.7
Business/Professional	22.3	17.5	18.7	43.0	12.6	28.7	33.5						(267.4)
Civil	0.2	1.6	0.5	0.2	0.7	1.8	1.0						280.0
Criminal	147.9	137.2	143.6	108.0	123.6	116.8	117.7						703.3
Motor Vehicle	43.7	50.5	39.9	53.2	76.3	115.0	71.1						59.6
Recreational/Consumer	15.8	411.5	46.8	26.0	74.1	288.4	30.1						703.3
Fines, Penalties and Forfeitures													280.0
Gaming:													1,968.7
Casino	22.7	10.4	12.5	24.4	10.9	14.0	25.6						118.6
Lottery	190.4	234.2	193.7	182.6	288.1	184.5	191.6						1,414.9
Amusement	12.5	7.9	10.4	8.6	11.3	13.3	12.4						20.2
Intergovernmental	16.1	7.7	9.7	8.6	11.1	12.8	12.8						27.8
Receipts from Public Authorities:													453.2
Bond Proceeds	-	2.6	76.1	1,120.5	40.1	38.5	876.3						684.1
Cost Recovery Assessments	-	-	-	-	22.6	8.6	-						8.6
Insurance Fees	3.0	13.9	1.2	28.1	1.3	0.3	14.7						(6.0)
Non Bond Related	8.6	1.8	-	6.0	23.1	25.1	23.5						57.5
Receipts from Municipalities	22.2	20.2	24.6	22.6	24.4	58.0	20.3						228.0
Rentals	46.2	30.1	16.0	27.8	6.0	7.8	2.1						198.9
Revenues of State Departments:													(62.9)
<b>Total Receipts</b>	<b>11,104.7</b>	<b>11,516.4</b>	<b>6,483.9</b>	<b>7,678.9</b>	<b>9,316.8</b>	<b>9,494.5</b>	<b>9,850.6</b>						<b>(705.4)</b>
<b>Total Fund Balance</b>	<b>11,104.7</b>	<b>11,516.4</b>	<b>6,483.9</b>	<b>7,678.9</b>	<b>9,316.8</b>	<b>9,494.5</b>	<b>9,850.6</b>						<b>(705.4)</b>
<b>Total Fund Balance</b>	<b>11,104.7</b>	<b>11,516.4</b>	<b>6,483.9</b>	<b>7,678.9</b>	<b>9,316.8</b>	<b>9,494.5</b>	<b>9,850.6</b>						<b>(705.4)</b>
<b>Total Fund Balance</b>	<b>11,104.7</b>	<b>11,516.4</b>	<b>6,483.9</b>	<b>7,678.9</b>	<b>9,316.8</b>	<b>9,494.5</b>	<b>9,850.6</b>						<b>(705.4)</b>

STATE OF NEW YORK  
GOVERNMENTAL FUNDS (\*)  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	2017	2018	7 Months Ended October 31												% Increase/ Decrease	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2017	2016	\$ Increase/ (Decrease)	% Increase/ Decrease
Administrative Recoveries	12.4	9.3	33.1	23.7	9.8	26.1	23.0						137.4	131.6	5.8	4.4%
Commissions	-	1.1	0.1	0.4	0.3	0.3	0.4						2.6	3.8	(1.2)	-31.6%
Gifts, Grants and Donations	1.7	1.3	11.5	0.7	3.6	1.8	1.3						21.9	17.9	4.0	22.3%
Indirect Cost Recoveries	0.9	13.4	11.5	7.2	20.8	4.6	8.1						66.5	60.0	6.5	10.8%
Patient/Cient Care Reimbursement	195.7	138.5	300.3	173.6	21.4	376.1	158.7						1,374.8	1,374.8	(0.0)	-0.0%
Rentals	11.7	11.9	15.7	17.1	13.1	11.8	11.8						100.7	92.5	8.2	8.9%
Retention and Settlements	8.1	9.3	13.3	11.7	10.5	11.8	11.8						95.4	95.4	(0.0)	-0.0%
Student Loans	51.9	38.4	40.2	27.0	55.9	41.4	50.0						38.5	48.4	(9.9)	-20.5%
All Other	1.2	1.5	1.3	1.3	10.0	3.6	1.9						20.8	32.5	(11.7)	-36.0%
Sales	43.8	42.4	77.3	37.8	193.3	415.2	167.1						976.9	970.5	6.4	0.7%
Tuition	1,483.1	1,886.7	1,833.8	2,671.1	1,762.4	2,741.2	2,541.1						14,979.4	14,092.5	886.9	6.3%
Total Miscellaneous Receipts																
Federal Receipts	3,473.2	4,695.3	5,680.9	3,774.4	5,262.4	5,149.4	4,214.7						32,250.3	29,473.0	2,777.3	9.4%
Total Receipts	12,107.0	10,431.0	15,202.3	10,875.6	12,211.7	15,733.7	11,112.8						87,674.1	85,127.8	2,546.3	3.0%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	1,247.7	4,268.0	3,739.9	681.8	995.1	4,325.3	1,277.4						16,535.2	16,406.0	129.2	0.8%
Environment and Recreation	2.7	32.7	3.8	7.2	8.9	9.2	8.8						73.3	57.6	15.7	27.3%
General Government	24.1	49.4	651.9	61.1	92.3	245.0	75.2						1,199.0	1,102.2	96.8	8.8%
Public Health:																
Medicaid	4,459.9	5,499.9	4,344.4	4,124.1	5,618.5	4,606.7	4,498.1						33,149.6	28,318.8	4,830.8	13.1%
Other Public Health	537.5	988.1	938.7	914.1	565.4	1,378.4	916.8						5,620.0	4,964.0	656.0	13.2%
Police	1,035.3	1,035.3	1,035.3	1,035.3	1,035.3	1,035.3	1,035.3						10,353.0	10,353.0	(0.0)	-0.0%
Public Welfare	448.6	547.5	708.4	379.9	378.8	514.3	865.8						3,827.3	4,202.1	(374.8)	-8.9%
Support and Regulate Business	165.9	78.4	102.2	119.4	244.1	88.9	82.1						979.0	553.0	426.0	77.0%
Transportation	285.6	560.2	522.6	402.4	635.1	511.6	435.9						3,553.4	3,441.0	112.4	3.3%
Total Local Assistance Grants	7,304.0	11,955.9	11,138.9	6,776.6	8,718.4	11,753.6	8,024.4						65,701.8	61,092.6	4,609.2	7.5%
Departmental Operations:																
Personal Service	1,100.0	1,450.0	1,064.9	1,044.2	1,227.8	1,047.8	1,111.9						8,046.6	7,957.8	88.8	1.1%
Non-Personal Service	368.9	620.2	611.2	428.6	656.4	645.6	844.2						3,877.1	3,860.4	16.7	0.4%
General State Charges	2,459.3	785.1	477.9	403.2	487.2	563.1	557.8						5,733.6	5,485.2	248.4	4.5%
Debt Service, Including Payments on																
Financial Agreements	67.2	148.2	198.1	28.0	348.6	757.1	26.7						1,681.9	1,495.5	186.4	12.5%
Capital Projects	350.0	472.2	526.0	555.8	575.7	599.6	718.2						3,794.5	3,753.6	40.9	1.1%
Total Disbursements	11,669.4	15,461.6	14,005.0	9,236.4	12,016.1	15,363.8	11,083.2						88,835.5	83,645.1	5,190.4	6.2%
Excess (Deficiency) of Receipts over Disbursements	437.6	(5,030.6)	1,197.3	1,639.2	195.6	369.9	28.6						(1,161.4)	1,482.7	(2,644.1)	-178.3%
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net of Premiums)	3,449.1	2,289.2	3,498.5	1,494.0	2,367.8	3,227.7	2,075.1						19,390.4	19,300.4	90.0	0.5%
Transfers from Other Funds	(3,475.0)	(2,291.1)	(3,497.8)	(1,495.3)	(2,385.7)	(3,241.5)	(2,081.7)						(18,668.1)	(18,327.7)	(340.4)	-1.9%
Transfers to Other Funds																
Total Other Financing Sources (Uses)	(25.9)	(1.9)	(1.3)	(2.3)	(17.9)	(13.8)	(6.6)						(68.7)	(27.3)	(41.4)	-155.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	411.7	(5,032.5)	1,196.0	1,636.9	177.7	356.1	22.0						(1,231.1)	1,455.4	(2,686.5)	-184.6%
Ending Fund Balance	\$ 11,516.4	\$ 6,483.9	\$ 7,979.9	\$ 9,516.8	\$ 9,494.5	\$ 9,850.6	\$ 9,872.6	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 9,872.6	\$ 13,265.5	\$ (3,391.9)	-25.6%

(\*) Governmental Funds includes General, Special Revenue, Debt Service and Capital Projects Funds combined.



STATE OF NEW YORK  
GOVERNMENTAL FUNDS  
STATEMENT OF CASH FLOW - STATE OPERATING (\*)  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	2017 \$	2016 \$	7 Months Ended October 31 2017 \$	% Increase/ Decrease
<b>Beginning Fund Balance</b>	\$ 11,823.3	\$ 12,536.4	\$ 8,247.2	\$ 8,315.4	\$ 10,086.0	\$ 10,518.7	\$ 10,984.5						\$ 11,823.3	\$ 12,641.2	\$ (1,015.9)	-8.0%
<b>RECEIPTS:</b>																
Personal Income Tax:																
Withholdings	2,755.6	2,855.0	2,889.4	2,862.4	3,026.7	2,583.1	2,788.7						18,582.7	18,582.7	989.4	5.3%
Refunds	1,347.1	1,347.1	1,347.1	1,347.1	1,347.1	1,347.1	1,347.1						1,347.1	1,347.1	1,347.1	2.0%
State/City Offsets	1,572.8	74.6	144.2	31.7	33.0	47.3	391.7						2,345.7	2,345.7	(150.4)	-6.4%
Other (Assessments/LLC)	154.0	105.2	87.5	97.2	110.7	78.4	100.1						734.1	764.7	(30.6)	-4.0%
<b>Gross Receipts</b>	<b>8,448.3</b>	<b>3,191.3</b>	<b>4,924.6</b>	<b>2,862.0</b>	<b>3,244.8</b>	<b>4,981.4</b>	<b>3,105.1</b>						<b>30,733.2</b>	<b>30,670.7</b>	<b>62.5</b>	<b>0.2%</b>
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-						-	-	-	0.0%
Transfers to State Revenue Bond Tax Fund	-	-	-	-	-	-	-						-	-	-	0.0%
<b>Refunds Issued</b>	<b>(3,447.5)</b>	<b>(1,030.0)</b>	<b>(273.8)</b>	<b>(232.0)</b>	<b>(189.8)</b>	<b>(280.3)</b>	<b>(410.9)</b>						<b>(4,638.7)</b>	<b>(4,638.7)</b>	<b>1,225.6</b>	<b>-26.4%</b>
<b>Total Personal Income Tax</b>	<b>5,000.8</b>	<b>2,161.3</b>	<b>4,650.8</b>	<b>2,630.0</b>	<b>3,055.0</b>	<b>4,701.1</b>	<b>2,694.2</b>						<b>24,888.9</b>	<b>26,032.0</b>	<b>(1,143.1)</b>	<b>-4.5%</b>
<b>Consumption/Use Taxes:</b>																
Sales and Use	1,042.9	1,044.0	1,447.1	1,125.1	1,101.2	1,456.2	1,112.9						8,092.7	8,092.7	236.7	2.9%
Auto Rental	3.7	3.3	1.6	5.1	1.9	4.6	3.5						32.1	32.1	(2.4)	-7.5%
Motor Vehicle	87.7	105.6	105.6	118.9	118.9	100.1	103.0						735.4	735.4	(3.0)	-0.4%
Medical Marijuana	0.1	0.1	0.1	0.1	0.2	0.1	0.2						0.3	0.3	0.6	200.0%
Motor Fuel	8.6	8.7	9.3	9.5	9.3	9.9	9.1						64.4	64.4	(0.4)	-0.6%
Alcoholic Beverage	21.0	19.0	23.6	28.9	16.5	24.1	18.4						152.4	152.4	0.1	0.1%
Highway Use	0.1	0.2	0.2	0.2	0.2	0.2	0.1						1.7	1.7	(0.5)	-28.4%
Metropolitan Commuter Trans. Taxicab Trip	13.4	13.4	13.4	13.4	13.4	13.4	13.4						13.4	13.4	13.4	100.0%
<b>Total Consumption/Use Taxes</b>	<b>117.5</b>	<b>118.3</b>	<b>1,591.4</b>	<b>1,278.3</b>	<b>1,280.9</b>	<b>1,591.2</b>	<b>1,262.6</b>						<b>5,342.9</b>	<b>5,148.6</b>	<b>194.3</b>	<b>-3.7%</b>
<b>Business Taxes:</b>																
Corporation Franchise	430.1	118.0	495.6	60.6	130.6	498.8	(32.4)						1,701.3	1,988.7	(287.4)	-13.6%
Corporation and Utilities	38.7	35.6	117.9	10.6	3.7	121.9	1.1						330.5	283.5	47.0	16.6%
Insurance	45.5	15.5	321.3	7.2	24.4	340.5	8.5						762.9	703.3	59.6	8.5%
Bank	3.3	3.3	3.3	3.3	3.3	3.3	3.3						33.3	33.3	(0.0)	0.0%
Professional Business	38.8	36.6	42.1	44.3	40.3	44.2	40.5						284.8	237.4	147.4	62.1%
<b>Total Business Taxes</b>	<b>556.4</b>	<b>188.3</b>	<b>976.0</b>	<b>129.6</b>	<b>474.1</b>	<b>955.0</b>	<b>18.7</b>						<b>3,348.1</b>	<b>3,586.2</b>	<b>(238.1)</b>	<b>-6.6%</b>
<b>Other Taxes:</b>																
Real Property Gains	-	-	-	-	-	-	-						-	-	-	0.0%
Estate and Gift	88.7	112.7	102.0	64.4	83.2	211.7	75.6						739.3	637.6	101.7	16.0%
Real Estate Transfer	1.6	1.6	1.6	1.6	1.6	1.6	1.6						1.6	1.6	(0.0)	0.0%
Racing and Exhibitions	94.8	94.7	89.6	84.4	97.6	98.4	70.0						639.5	639.5	0.0	0.0%
Metropolitan Commuter Trans. Mobility	0.4	0.1	-	0.2	0.5	-	0.3						1.5	0.9	0.6	66.7%
<b>Total Other Taxes</b>	<b>120.2</b>	<b>106.9</b>	<b>106.2</b>	<b>98.2</b>	<b>105.7</b>	<b>98.3</b>	<b>118.0</b>						<b>754.5</b>	<b>720.6</b>	<b>33.9</b>	<b>4.7%</b>
<b>Total Taxes</b>	<b>7,041.6</b>	<b>3,798.0</b>	<b>7,517.2</b>	<b>4,388.0</b>	<b>5,089.3</b>	<b>7,718.6</b>	<b>4,280.6</b>						<b>38,695.3</b>	<b>40,758.1</b>	<b>(1,062.8)</b>	<b>-2.6%</b>
<b>Miscellaneous Receipts:</b>																
Abandoned Property	0.7	0.9	1.2	1.1	1.7	65.3	6.3						77.2	73.5	3.7	5.0%
Bottle Bill	0.3	0.5	9.7	0.6	0.2	38.2	1.2						48.7	45.4	3.3	7.3%
Assessments:																
Medical Care	14.4	28.7	84.4	11.1	52.4	108.5	8.5						3,410.7	3,238.8	171.9	5.3%
Public Utilities	1.4	-	0.7	0.1	0.4	45.9	(6.5)						106.5	106.5	(67.6)	-63.5%
Other	0.9	(0.1)	1.3	5.7	-	0.3	(5.5)						2.6	136.5	(133.9)	-98.1%
Fees, Licenses and Permits:																
Alcoholic Beverage Control Licensing	6.1	6.4	5.9	5.4	6.1	5.7	6.5						35.2	35.2	6.9	19.6%
Business/Professional	47.8	48.4	105.7	49.9	48.8	103.9	71.4						42.1	2.1	(0.1)	-4.8%
Civil	22.3	17.5	16.7	43.0	12.6	28.7	33.5						475.9	473.9	2.0	0.4%
Criminal	70.2	1.6	0.5	0.2	0.7	1.8	1.0						172.3	158.3	14.0	8.8%
Motor Vehicle	78.6	11.1	80.2	37.4	64.9	55.0	9.3						6.0	5.4	0.6	11.1%
Consumer	13.0	50.3	50.3	50.3	50.3	50.3	50.3						328.9	328.9	119.0	36.1%
Fines, Penalties and Forfeitures	13.1	408.1	43.8	23.0	88.9	289.2	27.2						865.3	400.9	464.4	115.6%
Gaming:																
Casino	22.7	10.4	12.5	24.4	10.9	14.0	25.6						120.5	118.6	1.9	1.6%
Lottery	19.4	234.2	193.7	182.6	288.1	184.5	181.6						1,414.9	1,414.9	20.2	1.4%
Video Lottery	72.5	73.5	94.2	75.3	50.8	75.3	75.3						562.2	562.2	(2.4)	-0.4%
Intergovernmental	2.3	6.7	6.7	7.8	10.9	10.9	11.3						46.7	46.7	23.1	50.6%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-	-	-						-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	22.6	8.6	-						31.2	22.6	8.6	38.1%

STATE OF NEW YORK  
GOVERNMENTAL FUNDS  
STATEMENT OF CASH FLOW - STATE OPERATING (\*)  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	2017	2018	% Increase (Decrease)	% Increase (Decrease)
Insurance Fees	7.7	13.9	1.2	29.1	1.3	0.3	14.7			63.5			63.5		(6.0)	-8.6%
Non Bond Related	3.0	1.2	-	6.0	0.3	24.5	5.5			45.2			25.1		20.1	80.1%
Receipts from Municipalities	22.0	20.2	24.6	22.3	24.2	59.0	30.9			202.2			226.6		(24.4)	-10.8%
Rentals	45.4	29.4	15.4	27.2	4.7	5.9	1.6			129.6			194.2		(64.6)	-33.3%
Revenues of State Departments:																
Administrative Recoveries	12.4	9.3	33.1	23.7	9.8	28.1	20.0			137.4			131.5		5.9	4.5%
Commodities	1.1	1.1	0.4	0.4	0.4	1.7	0.9			2.6			(1.2)		(0.9)	-31.6%
Gifts, Grants and Donations	1.2	1.3	1.1	0.5	1.0	1.0	0.8			8.6			8.6		(0.9)	-10.5%
Indirect Cost Recoveries	0.9	13.4	11.5	7.2	20.8	4.8	8.1			66.5			60.0		6.5	10.8%
Patient/Care Reimbursement	195.7	138.5	300.3	173.6	21.4	378.1	158.7			1,384.3			1,374.6		(10.3)	-0.7%
Rebates	3.4	8.7	7.5	17.3	4.2	3.0	10.0			37.1			31.5		5.6	17.8%
State Pension and Settlements	84.4	10.3	13.3	13.3	10.3	13.3	13.3			248.6			248.6		(23.2)	-9.3%
Student Loans	51.3	35.3	36.3	26.6	46.7	40.3	49.1			317.4			318.1		(31.8)	-10.0%
All Other	0.4	1.3	0.9	1.3	1.1	1.2	1.2			7.4			16.1		(8.7)	-54.0%
Sales	43.9	42.4	77.3	37.8	163.3	415.2	167.1			976.9			970.5		6.4	0.7%
Tuition	1,367.2	1,744.9	1,681.0	1,486.1	1,582.0	2,583.7	1,557.8			11,982.5			11,889.8		112.7	0.9%
Total Miscellaneous Receipts	-	-	-	2.0	35.1	-	0.1			37.2			36.4		0.8	2.2%
Federal Receipts	-	-	-	-	-	-	-			-			-		-	-
Total Receipts	8,428.8	5,543.9	9,188.2	5,756.1	6,686.4	10,303.3	5,798.3			51,715.0			52,664.3		(949.3)	-1.8%
DISBURSEMENTS:																
Local Assistance Grants:																
Assistance Grants	984.1	3,902.6	3,293.4	411.2	759.4	4,173.6	1,077.7			14,571.0			14,705.0		(134.0)	-0.9%
Environment and Recreation	0.3	1.1	0.7	0.6	0.5	0.3	0.2			4.7			4.7		(1.0)	-21.3%
General Government	17.0	29.1	568.8	25.1	56.1	112.0	18.7			826.8			849.3		(22.5)	-2.6%
Public Health:																
Medicaid	1,755.6	1,911.7	1,723.3	1,485.5	1,895.6	1,879.7	1,613.8			12,264.2			11,485.2		779.0	6.8%
Medicaid Managed Care	13.5	3.6	46.3	35.4	15.3	15.3	15.3			145.1			145.1		(2.1)	-1.4%
Public Health	172.2	16.3	21.0	37.9	20.6	31.5	25.9			159.9			181.1		(21.2)	-11.7%
Public Welfare	131.9	215.3	331.9	165.1	119.6	194.4	135.7			1,293.9			1,492.3		(198.4)	-13.3%
Support and Regulate Business	10.2	6.8	25.9	9.5	32.6	10.6	38.8			134.4			106.3		28.1	26.4%
Transportation	244.6	503.8	434.3	371.6	496.6	413.5	362.0			2,789.7			2,789.7		26.7	1.0%
Total Local Assistance Grants	3,314.2	6,935.6	6,888.9	2,853.8	3,526.4	7,693.1	3,453.3			34,023.3			33,760.7		262.6	0.8%
Debt and Capital Projects:																
Capital Projects	1,049.8	1,371.1	1,013.1	997.7	1,180.9	998.7	1,064.3			7,600.7			7,600.7		74.9	1.0%
Non-Personal Service	321.6	500.0	527.0	364.4	525.7	458.7	505.6			3,082.3			3,082.3		110.7	3.6%
General State Charges	2,452.3	738.8	466.7	393.1	429.1	541.9	533.3			5,350.2			5,350.2		205.0	3.8%
Debt Service, Including Payments on																
Financing Agreements	87.2	148.2	186.1	28.0	348.6	757.1	26.7			1,581.9			1,495.5		86.4	5.8%
Capital Projects	-	-	-	-	-	-	-			-			-		(2.6)	-100.0%
Total Disbursements	7,225.1	9,693.7	9,061.8	4,647.0	6,010.7	9,855.5	5,545.2			52,038.0			51,301.8		737.2	1.4%
Excess (Deficiency) of Receipts over Disbursements	1,203.7	(4,149.8)	136.4	1,109.1	675.7	447.8	253.1			(324.0)			1,362.5		(1,686.5)	-123.8%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds (*)	3,168.6	1,935.1	3,152.2	2,089.5	1,945.6	2,890.0	2,382.3			17,454.3			17,043.9		410.4	2.4%
Transfers to Other Funds (*)	(3,361.2)	(2,173.5)	(3,230.4)	(1,416.0)	(2,187.0)	(2,789.0)	(2,072.8)			(17,168.5)			(17,168.5)		481.1	0.3%
Total Other Financing Sources (Uses)	(192.6)	(238.4)	(88.2)	673.5	(252.0)	17.0	349.5			285.8			(75.5)		361.3	476.5%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,011.1	(4,388.2)	68.2	1,780.6	423.7	464.8	602.6			(38.2)			1,287.0		(1,325.2)	-103.0%
Ending Fund Balance	12,638.4	8,247.2	8,315.4	10,096.0	10,519.7	10,984.5	11,587.1			11,587.1			\$ 13,928.2		\$ (2,341.1)	-16.8%

(\*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal funds) and Debt Service Funds.  
(\*\*) Eliminations between State and Federal Special Revenue Funds are not included.

STATE OF NEW YORK  
GENERAL FUND  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

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EXHIBIT F

	7 Months Ended October 31												% Increase/ Decrease
	2017 \$ 7,748.6	2016 \$ 8,034.1	2017 \$ 7,748.6	2016 \$ 8,034.1	2017 \$ 7,748.6	2016 \$ 8,034.1	2017 \$ 7,748.6	2016 \$ 8,034.1	2017 \$ 7,748.6	2016 \$ 8,034.1	2017 \$ 7,748.6	2016 \$ 8,034.1	
<b>RECEIPTS:</b>													
Beginning Fund Balance													
<b>Taxes:</b>													
Personal Income Tax:													
Withholdings	2,755.8	2,855.0	2,699.4	2,899.4	2,699.4	2,899.4	2,699.4	2,899.4	2,699.4	2,899.4	2,699.4	2,899.4	5.9%
Refundable Payments	1,189.2	1,189.2	1,189.2	1,189.2	1,189.2	1,189.2	1,189.2	1,189.2	1,189.2	1,189.2	1,189.2	1,189.2	7.8%
Returns	1,572.8	74.6	44.2	31.7	33.0	47.3	391.7	145.3	2,945.7	2,945.7	150.4	150.4	-6.4%
State/City Offsets	(201.5)	(15.6)	(19.0)	(21.2)	(21.2)	(29.0)	(321.7)	(62.4)	(614.1)	(614.1)	13.3	13.3	2.2%
Other (Assessments/LLC)	154.0	105.2	87.5	97.2	110.7	79.4	100.1	3,105.1	784.7	784.7	(30.6)	(30.6)	-4.0%
<b>Gross Receipts</b>	<b>8,443.3</b>	<b>3,131.3</b>	<b>4,924.6</b>	<b>2,852.0</b>	<b>3,244.8</b>	<b>4,996.1</b>	<b>3,105.1</b>	<b>6,501.3</b>	<b>30,670.7</b>	<b>30,670.7</b>	<b>62.5</b>	<b>62.5</b>	<b>0.2%</b>
Transfers to School Tax Relief Fund	(1,250.5)	(625.3)	(1,165.7)	(662.5)	(763.7)	(1,179.0)	(673.5)	(6,501.3)	(6,501.3)	(6,501.3)	(471.9)	(471.9)	-88.3%
Transfers to Revenue Bond Tax Fund	(3,441.5)	(1,030.0)	(279.9)	(232.0)	(188.9)	(280.3)	(410.9)	(1,250.5)	(1,250.5)	(1,250.5)	(290.8)	(290.8)	-4.5%
Refunds Issued	3,731.3	1,576.0	1,987.5	1,987.5	2,291.3	3,358.3	2,015.7	18,985.5	18,985.5	18,985.5	(600.4)	(600.4)	-21.1%
<b>Consumption Use Taxes:</b>													
Sales and Use	477.4	488.3	676.8	526.8	515.7	681.5	520.0	3,775.7	3,775.7	3,775.7	110.8	110.8	2.9%
Cigarette/Tobacco Products	23.6	31.3	31.0	26.4	34.5	31.8	31.1	220.7	220.7	220.7	(11.2)	(11.2)	-5.1%
Motor Fuel	21.0	19.0	23.6	28.9	16.5	24.1	19.4	152.5	152.5	152.5	0.1	0.1	0.1%
Alcoholic Beverage	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Highway Use	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
<b>Total Consumption Use Taxes</b>	<b>522.0</b>	<b>538.6</b>	<b>731.4</b>	<b>582.1</b>	<b>566.7</b>	<b>737.2</b>	<b>570.5</b>	<b>4,448.5</b>	<b>4,448.5</b>	<b>4,448.5</b>	<b>99.7</b>	<b>99.7</b>	<b>2.4%</b>
<b>Business Taxes:</b>													
Corporation Franchise	345.4	90.0	393.9	36.1	105.1	392.3	(57.3)	1,306.5	1,306.5	1,306.5	(288.6)	(288.6)	-18.1%
Corporation and Utilities	30.4	29.0	7.4	3.1	96.5	96.5	0.8	238.4	238.4	238.4	42.5	42.5	19.7%
Insurance	40.3	12.6	284.7	7.0	30.6	307.1	10.3	692.9	692.9	692.9	68.7	68.7	11.2%
Bank	4.2	5.4	(0.9)	3.9	237.3	(13.3)	0.6	237.2	237.2	237.2	(42.2)	(42.2)	-16.1%
<b>Petroleum Business</b>	<b>421.3</b>	<b>137.0</b>	<b>768.9</b>	<b>54.3</b>	<b>376.1</b>	<b>781.6</b>	<b>(45.6)</b>	<b>2,194.7</b>	<b>2,194.7</b>	<b>2,194.7</b>	<b>(216.9)</b>	<b>(216.9)</b>	<b>-8.1%</b>
Other Tax Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Estate and Gift	89.7	112.7	102.0	64.4	83.2	211.7	75.6	739.3	739.3	739.3	101.7	101.7	16.0%
Pan-Mutual	0.8	1.2	1.5	1.4	2.3	2.2	1.2	10.6	10.6	10.6	(0.2)	(0.2)	-1.9%
Real Estate Transfer	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Racing and Exhibitions	0.4	0.1	-	0.2	0.5	-	0.3	1.5	1.5	1.5	0.9	0.9	66.7%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
<b>Total Other Taxes</b>	<b>90.9</b>	<b>114.0</b>	<b>103.5</b>	<b>66.0</b>	<b>86.0</b>	<b>213.9</b>	<b>77.1</b>	<b>751.4</b>	<b>751.4</b>	<b>751.4</b>	<b>102.1</b>	<b>102.1</b>	<b>15.7%</b>
<b>Total Taxes</b>	<b>4,785.5</b>	<b>2,365.6</b>	<b>5,035.3</b>	<b>2,690.0</b>	<b>3,320.1</b>	<b>5,269.5</b>	<b>2,617.7</b>	<b>26,901.9</b>	<b>26,901.9</b>	<b>26,901.9</b>	<b>(418.2)</b>	<b>(418.2)</b>	<b>-1.6%</b>
<b>Miscellaneous Receipts:</b>													
Abandoned Property	-	(0.4)	0.4	0.2	0.9	84.5	5.4	71.0	71.0	71.0	3.5	3.5	5.2%
Unclaimed Property	0.3	0.5	9.7	0.6	0.2	36.2	1.2	48.7	48.7	48.7	3.3	3.3	7.3%
Bottle Bill	-	-	-	-	-	-	-	-	-	-	-	-	-
Assessments:													
Business	-	-	-	-	-	-	-	-	-	-	-	-	-
Medical Care	1.8	2.5	4.3	3.6	3.1	-	8.6	23.9	23.9	23.9	(8.5)	(8.5)	-100.0%
Public Utilities	-	-	-	-	-	-	-	-	-	-	55.7	55.7	-26.2%
Other	-	0.1	0.1	-	-	0.2	0.1	0.5	0.5	0.5	0.3	0.3	150.0%
<b>Fees, Licenses and Permits:</b>													
Alcohol Beverage Control Licensing	6.1	6.4	5.9	5.4	6.1	5.7	6.5	42.1	42.1	42.1	6.9	6.9	16.8%
Business/Professional	1.5	15.6	21.9	8.8	5.4	28.8	20.1	102.1	102.1	102.1	1.7	1.7	1.7%
Civil	17.4	13.3	11.6	38.9	7.1	21.2	28.6	136.1	136.1	136.1	13.5	13.5	10.8%
Criminal	0.2	0.1	0.1	0.2	0.1	0.2	0.2	1.1	1.1	1.1	0.4	0.4	175.0%
Motor Vehicle	35.7	29.5	30.9	(5.2)	34.4	7.2	17.9	150.4	150.4	150.4	108.1	108.1	284.2%
Recreational/Consumer	1.1	1.1	0.7	1.6	2.0	1.1	1.2	9.1	9.1	9.1	8.8	8.8	3.4%
Fines, Penalties and Forfeitures	6.6	383.0	22.2	1.6	21.7	276.8	15.5	737.4	737.4	737.4	411.6	411.6	126.3%
Interest Earnings	3.8	1.1	2.0	0.9	1.7	2.4	3.6	15.5	15.5	15.5	12.1	12.1	26.1%
Rents from Public Authorities:													
Card Rec. Assessments	-	-	-	-	2.2	8.6	-	10.8	10.8	10.8	2.2	2.2	380.9%
Insurance Fees	-	9.7	1.2	29.1	1.3	0.3	14.7	56.3	56.3	56.3	62.3	62.3	-9.6%
Non Bond Related	-	0.1	-	-	-	24.1	-	24.2	24.2	24.2	23.3	23.3	3.9%
Receipts from Municipalities	16.7	16.7	16.7	16.7	16.7	16.7	16.6	116.7	116.7	116.7	100.0	100.0	16.7%
Rents	0.8	0.8	0.1	0.4	0.1	-	0.3	2.5	2.5	2.5	1.9	1.9	31.6%
Revenues of State Departments:													
Administrative Recoveries	-	0.2	24.7	0.7	1.1	17.0	1.4	45.1	45.1	45.1	(0.5)	(0.5)	-1.1%
Gambling	-	0.1	0.1	-	-	-	-	0.1	0.1	0.1	0.1	0.1	100.0%
Grants and Donations	0.1	-	-	-	-	-	-	0.1	0.1	0.1	0.1	0.1	100.0%
Indirect Cost Recoveries	0.9	13.4	11.4	7.2	20.8	4.7	8.1	66.5	66.5	66.5	54.9	54.9	21.1%
Rebates	(0.9)	(0.2)	(0.7)	-	(1.6)	2.7	0.4	(0.7)	(0.7)	(0.7)	0.4	0.4	(1.1)
Restitution and Settlements	0.1	7.9	-	1.1	-	0.5	0.2	9.8	9.8	9.8	(124.8)	(124.8)	-92.7%
Student Loans	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other	1.9	1.6	1.1	0.2	3.5	1.6	1.5	11.4	11.4	11.4	18.2	18.2	(6.8)
Sales	-	-	-	-	-	-	-	-	-	-	0.1	0.1	-100.0%
<b>Total Miscellaneous Receipts</b>	<b>94.1</b>	<b>513.4</b>	<b>164.3</b>	<b>112.0</b>	<b>126.8</b>	<b>520.5</b>	<b>151.7</b>	<b>1,482.8</b>	<b>1,482.8</b>	<b>1,482.8</b>	<b>136.4</b>	<b>136.4</b>	<b>9.0%</b>

STATE OF NEW YORK  
GENERAL FUND  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018			7 Months Ended October 31	2016	\$ Increase/ (Decrease)	% Increase/ Decrease	EXHIBIT F
										2018 JANUARY	FEBRUARY	MARCH					
Federal Receipts	-	-	-	-	-	-	0.1	-	-	-	-	-	-	0.1	-	-	
Total Receipts	4,878.6	2,879.0	5,199.6	2,802.0	3,446.9	5,790.0	2,765.3	-	-	-	-	-	-	27,766.6	28,045.6	(279.0)	-0.9%
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	894.1	3,902.4	2,879.7	409.6	755.8	1,983.7	931.4	-	-	-	-	-	-	11,845.7	11,572.7	273.0	2.4%
Environment and Recreation	-	1.1	0.5	0.2	0.3	0.1	0.2	-	-	-	-	-	-	3.5	3.5	(0.0)	0.0%
General Government	1.4	12.8	560.2	4.4	33.7	104.2	8.1	-	-	-	-	-	-	724.8	728.3	(3.5)	-0.5%
Public Health:																	
Medicaid	1,368.9	1,380.9	1,378.4	1,164.8	1,228.3	1,360.8	1,222.9	-	-	-	-	-	-	8,264.3	8,264.3	0.0	0.0%
Other Public Health	73.6	181.6	143.3	89.3	61.7	45.1	42.4	-	-	-	-	-	-	848.5	848.5	0.0	0.0%
Public Safety	3.7	9.5	33.5	16.7	19.2	121.1	130.4	-	-	-	-	-	-	1,865.0	1,865.0	0.0	0.0%
Public Works	13.6	21.4	33.5	16.7	19.2	121.1	130.4	-	-	-	-	-	-	1,865.0	1,865.0	0.0	0.0%
Support and Regulate Business	84	25.1	13.9	-	25.3	8.4	14.4	-	-	-	-	-	-	82.1	82.1	0.0	0.0%
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-	59.2	59.2	0.0	0.0%
Total Local Assistance Grants	2,565.7	5,732.6	5,338.4	1,399.3	2,763.1	3,718.9	2,364.8	-	-	-	-	-	-	23,443.3	23,443.3	0.0	0.0%
Departmental Operations:																	
Personal Service	484.8	641.7	475.5	465.6	564.9	477.4	498.2	-	-	-	-	-	-	3,578.3	3,578.3	0.0	0.0%
Non-Personal Service	90.8	226.6	185.0	142.3	211.2	179.3	181.0	-	-	-	-	-	-	1,110.4	1,110.4	0.0	0.0%
General State Charges	2,395.1	281.5	409.5	547.2	40.8	513.5	386.2	-	-	-	-	-	-	4,292.5	4,292.5	0.0	0.0%
Total Disbursements	5,543.4	6,892.4	6,409.4	2,794.5	3,080.0	4,889.1	3,440.2	-	-	-	-	-	-	32,124.5	32,124.5	0.0	0.0%
Excess (Deficiency) of Receipts over Disbursements	(664.8)	(4,013.4)	(1,209.8)	7.5	366.9	900.9	(674.9)	-	-	-	-	-	-	(4,357.9)	(4,357.9)	0.0	0.0%
OTHER FINANCING SOURCES (USES):																	
Transfers from Revenue Bond Tax Fund	1,248.9	509.1	1,162.4	455.3	356.0	1,400.1	673.5	-	-	-	-	-	-	6,108.9	6,108.9	0.0	0.0%
Transfers from LGAC / STRBTF	412.7	240.2	788.3	488.4	436.2	651.3	455.8	-	-	-	-	-	-	3,375.0	3,375.0	0.0	0.0%
Transfers from CWICA Fund	81.0	84.6	88.1	84.3	86.3	93.2	64.9	-	-	-	-	-	-	591.6	591.6	0.0	0.0%
Transfers from Other Funds	10.3	2.1	2.5	4.8	4.7	92.8	13.1	-	-	-	-	-	-	138.0	138.0	0.0	0.0%
Transfers to State Capital Projects	(259.7)	(188.1)	(265.0)	677.2	(419.6)	(270.6)	352.0	-	-	-	-	-	-	(889.5)	(889.5)	0.0	0.0%
Transfers to All Other Capital Projects	(50.0)	(100.0)	(171.5)	(75.0)	(75.0)	(168.5)	(81.7)	-	-	-	-	-	-	(507.4)	(507.4)	0.0	0.0%
Transfers to General Debt Service	(274.4)	(1.8)	(1.8)	(147.9)	(14.1)	86.6	(361.9)	-	-	-	-	-	-	(412.8)	(412.8)	0.0	0.0%
Transfers to All Other State Funds	(848.8)	(830.6)	(518.8)	(715.2)	(632.5)	(147.2)	(905.2)	-	-	-	-	-	-	(4,315.4)	(4,315.4)	0.0	0.0%
Total Other Financing Sources (Uses)	320.0	(251.9)	1,084.2	751.9	(258.0)	1,739.7	510.5	-	-	-	-	-	-	4,068.4	4,068.4	0.0	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(344.8)	(4,264.9)	(125.6)	799.4	108.9	2,640.6	(160.2)	-	-	-	-	-	-	(135.9)	(135.9)	0.0	0.0%
Ending Fund Balance	\$ 7,404.8	\$ 3,139.9	\$ 3,014.3	\$ 3,773.7	\$ 3,882.6	\$ 6,523.2	\$ 6,363.0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 8,023.6	\$ 8,023.6	\$ -	-28.7%

EXHIBIT G

STATE OF NEW YORK  
SPECIAL REVENUE FUNDS - COMBINED  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	7 Months Ended October 31												Intra-Fund Transfer Eliminations (*)	% Increase/ Decrease
	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH		
Beginning Fund Balance	\$ 4,272.2	\$ 4,731.9	\$ 3,896.2	\$ 5,153.7	\$ 5,591.9	\$ 5,523.2	\$ 4,212.7						\$ -	\$ 665.1 18.4%
RECEIPTS:														
Taxes:														
Personal Income Tax	-	-	57.6	-	-	-	5.0							(471.9) -88.3%
Consumption/Use Taxes:														
Sales and Use	92.5	67.9	93.9	71.8	70.2	93.6	73.1							534.5 3.6%
Auto Rental	3.7	3.3	4.6	4.6	4.9	4.6	3.5							543.3 19.7
Cigarette/Tobacco Products	64.1	76.5	74.8	71.4	83.6	70.1	74.9							32.1 (2.4) -7.5%
Medical Marijuana	0.1	0.1	0.1	0.1	0.2	0.1	0.2							535.7 (20.3) -3.8%
Motor Fuel	8.6	8.7	9.3	9.3	9.3	9.3	9.1							0.3 0.6 200.0%
Alcoholic Beverage	0.1	0.2	0.2	0.2	0.2	0.2	0.1							64.8 (0.4) -0.6%
State Lottery	13.4	0.7	0.4	13.1	0.5	0.4	11.4							1.7 (8.3) 0.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-							48.2 (0.5) -0.1%
Total Consumption/Use Taxes	182.5	157.4	183.3	171.2	168.9	176.9	172.3							1,226.1 (11.6) -4.9%
Business Taxes:														
Corporation Franchise	83.7	28.0	101.7	24.5	25.5	106.5	24.9							372.6 22.2 6.0%
Corporation and Utilities	9.3	6.6	25.7	3.2	0.6	26.4	0.3							72.1 4.5 6.7%
Insurance	6.2	2.9	36.6	0.2	0.2	33.4	(1.9)							70.3 80.4 -12.8%
Bank	0.1	(16.9)	0.1	0.1	0.1	0.1	0.1							12.0 (10.1) -4.8%
Parking Business	36.8	35.6	42.1	44.3	40.3	44.2	40.5							294.8 4.2% 12.5%
Total Business Taxes	135.1	61.3	206.1	73.2	66.2	213.4	64.3							871.9 (18.5) -2.1%
Other Taxes:														
Metropolitan Commuter Trans. Mobility	120.2	106.9	106.2	98.2	105.7	99.3	118.0							720.6 33.9 4.7%
Total Other Taxes	120.2	106.9	106.2	98.2	105.7	99.3	118.0							720.6 33.9 4.7%
Total Taxes	437.8	325.6	553.2	344.6	372.6	489.6	396.6							3,353.1 (466.1) -14.0%
Miscellaneous Receipts:														
Abandoned Property	0.7	1.3	0.8	0.9	0.8	0.8	0.9							6.0 0.2 3.3%
Assessments:														
Business	18.1	64.4	84.6	12.9	62.7	108.6	8.3							375.8 (16.2) -4.3%
Medical Care	460.4	457.9	453.1	538.2	500.8	475.5	500.9							3,206.4 180.4 5.6%
Public Utilities	0.4	0.7	0.7	0.4	0.4	0.5	0.4							35.9 0.3% 0.3%
Other	0.9	(0.2)	1.2	5.7	-	6.1	(3.6)							2.1 (134.2) -98.5%
Fees, Licenses and Permits:														
Audit Fees	-	0.8	1.1	-	0.1	-	-							2.0 2.1 -4.8%
Business/Professional	46.3	32.8	83.8	41.1	43.4	75.1	51.3							373.8 0.3 0.1%
Civil	4.9	4.2	5.1	4.1	5.5	5.5	4.9							33.7 0.5 1.5%
Criminal	-	1.5	0.4	-	0.6	1.6	0.8							34.2 0.5 1.5%
Motor Vehicle	42.5	40.0	39.3	42.5	36.5	41.6	40.8							4.9 5.0 (0.1) -2.0%
Real Estate/Consumer	42.5	46.8	39.3	51.5	74.0	39.8	63.7							298.5 3.1% 298.5
Fines, Penalties and Forfeitures	7.3	13.8	22.4	22.0	49.9	7.6	12.4							398.6 5.3% 398.6
Gaming:														
Casino	22.7	10.4	12.5	24.4	10.9	14.0	25.6							89.3 46.1 51.6%
Lottery	190.4	234.2	193.7	182.6	268.1	184.5	181.6							118.6 1.9 1.6%
Video Lottery	72.5	73.6	94.2	76.5	93.8	75.3	73.9							562.2 (2.4) -0.4%
Interest Earnings	5.9	6.1	7.1	7.2	8.8	8.0	8.5							23.8 21.8 73.2%
Revenues of Public Authorities:														
Bond Proceeds	-	-	-	-	-	-	-							- 0.0%
Cost Recovery Assessments	-	-	-	-	20.4	-	-							20.4 - 0.0%
Insurance Fees	3.0	4.2	-	-	-	-	-							7.2 7.2 - 0.0%
Non Bond Related	7.7	1.1	-	6.0	0.3	0.4	5.5							21.0 1.8 1,066.7%
Receipts from Municipalities	6.3	3.1	7.9	4.7	6.5	41.3	14.3							83.1 123.0 (39.9) -32.4%
Rentals	44.6	28.6	15.3	26.8	44.6	5.9	1.3							127.1 192.3 (65.2) -33.9%
Revenues of State Departments:														
Administrative Recoveries	12.4	9.1	8.4	23.0	8.7	9.1	21.6							92.3 6.3 7.3%
Commissions	-	1.0	-	0.4	0.3	0.3	0.4							2.4 3.7 (1.3) -35.1%
Gifts, Grants and Donations	1.1	1.3	1.5	0.5	1.1	1.7	0.8							8.0 8.6 (0.6) -7.0%
Indirect Cost Recoveries	-	-	-	-	-	(0.1)	-							5.1 (5.1) -100.0%
Patient/Client Care Reimbursement	145.5	96.6	245.3	133.1	52.9	281.5	131.8							1,086.7 (27.6) -2.5%
Rentals	12.6	11.9	16.4	17.1	14.7	9.1	19.4							101.2 9.3 10.1%
Restoration and Settlements	8.3	9.3	13.0	8.3	10.5	13.0	13.0							83.6 13.0 77.1%
State Loans	9.1	13.3	13.3	8.2	10.5	31.8	7.1							48.1 39.4 79.1%
All Other	45.5	34.4	36.7	25.5	44.6	38.8	47.7							278.2 (15.3) -5.2%
Sales	0.4	1.3	1.1	1.3	1.0	1.2	1.4							16.1 (8.4) -52.2%



EXHIBIT G

STATE OF NEW YORK  
SPECIAL REVENUE FUNDS - COMBINED  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	7 Months Ended October 31												
	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)
Tuition	43.8	42.4	77.3	37.8	193.3	415.2	167.1	-	-	-	-	-	-
Total Miscellaneous Receipts	1,256.2	1,236.8	1,473.3	1,305.5	1,510.0	1,978.7	1,391.7	-	-	-	-	-	-
Federal Receipts	3,337.1	4,592.4	5,598.6	3,633.4	5,066.9	5,002.3	4,086.5	-	-	-	-	-	-
Total Receipts	5,081.1	6,144.8	7,425.1	5,235.5	6,849.5	7,472.6	5,837.8	-	-	-	-	-	-
DISBURSEMENTS:													
Local Assistance Grants:													
Education	263.6	365.4	839.3	249.0	234.9	2,335.9	325.7	-	-	-	-	-	-
Environment and Recreation	0.3	-	0.3	0.6	0.2	0.5	-	-	-	-	-	-	-
General Government	16.3	26.5	10.5	22.7	24.3	12.3	11.3	-	-	-	-	-	-
Public Health:													
Medicaid	3,090.0	4,119.0	2,968.0	2,959.3	4,389.2	3,245.9	3,276.2	-	-	-	-	-	-
Other Public Health	459.3	664.5	781.5	628.1	489.4	1,312.5	547.9	-	-	-	-	-	-
Public Safety	133.3	58.1	119.5	71.9	169.5	50.7	162.9	-	-	-	-	-	-
Public Welfare	266.9	326.9	360.1	206.7	244.4	291.0	695.9	-	-	-	-	-	-
Support and Regulate Business	252.1	2.8	0.8	0.2	6.1	11.2	24.5	-	-	-	-	-	-
Transportation	252.1	462.3	437.1	374.5	473.4	414.4	535.0	-	-	-	-	-	-
Total Local Assistance Grants	4,492.1	6,045.3	5,597.1	4,715.8	6,035.4	7,689.4	5,493.0	-	-	-	-	-	-
Departmental Operations:													
Personal Service	615.2	808.3	589.4	578.6	662.9	570.4	613.7	-	-	-	-	-	-
Non-Personal Service	277.2	392.0	421.5	278.4	445.8	463.2	462.4	-	-	-	-	-	-
General State Charges	61.2	493.6	68.4	56.0	446.4	49.6	161.6	-	-	-	-	-	-
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Disbursements	5,435.7	7,799.2	6,586.4	5,825.6	7,588.5	8,748.6	6,547.1	-	-	-	-	-	-
Excess (Deficiency) of Receipts over Disbursements	(404.6)	(1,594.4)	(838.7)	(342.1)	(639.0)	(1,277.0)	(809.3)	-	-	-	-	-	-
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	1,026.0	977.1	834.3	865.5	866.1	234.0	723.6	-	-	-	-	-	-
Transfers to Other Funds	(161.7)	(218.4)	(415.9)	(75.2)	(285.0)	(267.5)	(78.2)	-	-	-	-	-	-
Total Other Financing Sources (Uses)	864.3	758.7	418.8	789.3	570.3	(33.5)	645.4	-	-	-	-	-	-
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	459.7	(835.7)	1,257.5	438.2	(68.7)	(1,310.5)	(163.9)	-	-	-	-	-	-
Ending Fund Balance	\$ 4,731.9	\$ 3,896.2	\$ 5,153.7	\$ 5,591.9	\$ 5,523.2	\$ 4,212.7	\$ 4,048.8	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

(\*) Intra-Fund transfer eliminations represent transfers between Special Revenue-State and Federal Funds.

STATE OF NEW YORK  
SPECIAL REVENUE FUNDS - STATE  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

EXHIBIT G

	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	2017	
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STATE OF NEW YORK  
SPECIAL REVENUE FUNDS - STATE  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

EXHIBIT G

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	7 Months Ended October 31	2016	2017	2018 JANUARY	FEBRUARY	MARCH	7 Months Ended October 31	2016	2017	2018 JANUARY	FEBRUARY	MARCH	% Increase/ Decrease
Tuition	13.9	42.4	37.3	37.8	63.3	415.2	137.1	137.0	-	-	-	-	1,070.5	970.5	970.5	1,070.5	-	-	1,070.5	970.5	970.5	-	-	-	8.4
Total Miscellaneous Receipts	1,242.9	1,188.1	1,461.5	1,382.7	1,485.3	1,988.9	1,378.0	-	-	-	-	-	10,062.2	10,062.2	10,062.2	10,062.2	-	-	10,062.2	10,062.2	10,062.2	-	-	-	-0.4%
Federal Receipts	-	-	-	0.4	-	-	-	-	-	-	-	-	-	(0.6)	0.4	-	-	-	-	(0.6)	0.4	-	-	-	1.0
Total Receipts	1,680.7	1,514.7	2,014.7	1,637.7	1,857.9	2,460.2	1,738.6	-	-	-	-	-	13,414.7	13,414.7	12,804.5	-	-	-	13,414.7	13,414.7	12,804.5	-	-	-	-3.8%
DISBURSEMENTS:																									
Local Assistance Grants:																									
Education	-	0.2	384.7	1.6	2.6	2,188.9	146.3	-	-	-	-	-	3,132.3	3,132.3	2,725.3	-	-	-	3,132.3	3,132.3	2,725.3	-	-	-	-13.0%
Environment and Recreation	15.6	16.3	8.6	20.7	22.4	7.8	10.6	-	-	-	-	-	121.0	121.0	102.0	-	-	-	121.0	121.0	102.0	-	-	-	8.3%
General Government	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-15.7%
Public Health:																									
Medicaid	388.7	530.8	346.9	320.7	666.3	517.9	380.9	-	-	-	-	-	3,220.9	3,220.9	3,162.2	-	-	-	3,220.9	3,220.9	3,162.2	-	-	-	-1.8%
Other Public Health	79.7	167.3	356.3	288.5	84.7	238.4	100.1	-	-	-	-	-	1,308.8	1,308.8	1,326.0	-	-	-	1,308.8	1,308.8	1,326.0	-	-	-	1.3%
Public Safety	13.5	6.8	11.5	10.7	10.4	10.4	15.5	-	-	-	-	-	74.5	74.5	78.8	-	-	-	74.5	74.5	78.8	-	-	-	5.8%
Police	1.3	1.1	1.2	1.3	1.1	1.1	1.2	-	-	-	-	-	4.2	4.2	4.2	-	-	-	4.2	4.2	4.2	-	-	-	0.1%
Fire	1.8	1.8	0.7	0.1	4.4	1.2	24.4	-	-	-	-	-	34.4	34.4	34.4	-	-	-	34.4	34.4	34.4	-	-	-	14.2%
Support and Regulate Business	244.6	478.7	420.4	371.6	471.3	413.5	362.0	-	-	-	-	-	2,762.1	2,762.1	2,762.1	-	-	-	2,762.1	2,762.1	2,762.1	-	-	-	142.3%
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.8%
Total Local Assistance Grants	744.3	1,203.0	1,529.5	1,024.4	1,833.3	3,380.2	1,050.5	-	-	-	-	-	10,817.4	10,817.4	10,955.4	-	-	-	10,817.4	10,817.4	10,955.4	-	-	-	-4.0%
Departmental Operations:																									
Personal Service	565.0	729.4	537.6	532.1	616.0	521.3	566.1	-	-	-	-	-	4,022.4	4,022.4	4,067.5	-	-	-	4,022.4	4,022.4	4,067.5	-	-	-	1.1%
Non-Personal Service	229.9	271.8	337.3	214.2	313.1	278.3	323.8	-	-	-	-	-	1,956.9	1,956.9	1,966.4	-	-	-	1,956.9	1,956.9	1,966.4	-	-	-	0.5%
General State Charges	54.2	447.3	57.2	45.9	388.3	28.4	137.1	-	-	-	-	-	1,057.7	1,057.7	1,158.4	-	-	-	1,057.7	1,057.7	1,158.4	-	-	-	8.5%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-100.0%
Total Disbursements	1,593.6	2,651.5	2,461.6	1,816.6	2,580.7	4,206.2	2,077.5	-	-	-	-	-	17,656.8	17,656.8	17,387.7	-	-	-	17,656.8	17,656.8	17,387.7	-	-	-	-1.5%
Excess (Deficiency) of Receipts over Disbursements	87.1	(1,136.8)	(446.9)	(178.9)	(722.8)	(1,746.0)	(338.9)	-	-	-	-	-	(4,242.1)	(4,242.1)	(4,483.2)	-	-	-	(4,242.1)	(4,242.1)	(4,483.2)	-	-	-	-5.7%
OTHER FINANCING SOURCES (USES):																									
Transfers from Other Funds	1,026.0	977.1	834.3	855.5	855.1	234.0	723.6	-	-	-	-	-	5,281.4	5,281.4	5,506.6	-	-	-	5,281.4	5,281.4	5,506.6	-	-	-	4.3%
Transfers to Other Funds	(40.5)	(108.9)	(40.7)	(18.1)	(40.4)	(37.2)	(13.2)	-	-	-	-	-	(155.9)	(155.9)	(319.0)	-	-	-	(155.9)	(155.9)	(319.0)	-	-	-	105.8%
Total Other Financing Sources (Uses)	985.5	868.2	793.6	837.4	815.7	176.8	710.4	-	-	-	-	-	5,126.4	5,126.4	5,187.6	-	-	-	5,126.4	5,126.4	5,187.6	-	-	-	1.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,072.6	(268.6)	346.7	658.5	92.9	(1,569.2)	371.5	-	-	-	-	-	884.3	884.3	704.4	-	-	-	884.3	884.3	704.4	-	-	-	-20.3%
Ending Fund Balance	\$ 4,804.9	\$ 4,536.3	\$ 4,883.0	\$ 5,541.5	\$ 5,634.4	\$ 4,065.2	\$ 4,436.7	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,431.7	\$ 4,431.7	\$ 4,436.7	\$ -	\$ -	\$ -	\$ 4,431.7	\$ 4,431.7	\$ 4,436.7	\$ -	\$ -	\$ -	0.1%

EXHIBIT G

STATE OF NEW YORK  
SPECIAL REVENUE FUNDS - FEDERAL  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	2017												7 Months Ended October 31		% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2016	2017	
	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	
Beginning Fund Balance	538.9	(73.0)	(640.1)	270.7	50.4	(111.2)	147.5	-	-	-	-	-	59.7	538.9	804.4%
RECEIPTS:															
Miscellaneous Receipts:															
Abandoned Property:															
Abandoned Property	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Assessments:															
Business	3.7	35.7	0.2	1.8	10.3	0.1	1.8	-	-	-	-	-	51.2	53.6	4.7%
Motor Vehicle	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fees, Licenses and Permits:															
Business/Professional	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Criminal	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Motor Vehicle	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Recreational/Consumer	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Fines, Penalties and Forfeitures	0.8	0.7	0.8	0.6	2.7	1.2	0.7	-	-	-	-	-	14.2	7.5	0.0%
Interest Earnings	0.4	0.6	0.5	0.5	0.8	0.4	0.6	-	-	-	-	-	1.4	3.8	-47.2%
Receipts from Public Authorities:															
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	171.4%
Interest	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Recovery Assessments	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Insurance	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Receipts from Municipalities	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rentals	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Revenues of State Departments:															
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	0.1	-	-100.0%
Commissions	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Gifts, Grants and Donations	-	-	0.4	-	0.1	-	(0.1)	-	-	-	-	-	-	0.4	100.0%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Patient/Cost Reimbursement	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Rebates	8.3	10.0	8.2	9.8	8.9	8.6	9.4	-	-	-	-	-	60.8	63.4	4.3%
Resolution and Settlements	-	-	-	-	-	(0.5)	-	-	-	-	-	-	-	-	0.0%
State Loans	-	-	-	-	0.5	-	-	-	-	-	-	-	-	-	0.0%
State Grants	0.1	0.7	1.5	0.1	1.4	0.1	0.1	-	-	-	-	-	(5.7)	4.0	170.2%
All Other	-	-	0.2	-	-	-	0.2	-	-	-	-	-	0.2	0.4	100.0%
Sales	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Tuition	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Miscellaneous Receipts	13.3	47.7	11.8	12.8	24.7	10.1	12.7	-	-	-	-	-	122.2	133.1	8.9%
Federal Receipts	3,337.1	4,582.4	5,398.6	3,633.0	5,066.9	5,002.3	4,086.5	-	-	-	-	-	28,017.3	31,106.8	11.0%
Total Receipts	3,350.4	4,630.1	5,410.4	3,645.8	5,091.6	5,012.4	4,099.2	-	-	-	-	-	28,139.5	31,239.9	11.0%

EXHIBIT G

STATE OF NEW YORK  
SPECIAL REVENUE FUNDS - FEDERAL  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	2017		2018										7 Months Ended October 31			
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2017	2016	\$ Increase/ (Decrease)	% Increase/ Decrease
<b>DISBURSEMENTS:</b>																
Local Assistance Grants:																
Education	263.6	365.2	454.6	247.4	232.3	146.0	179.4						1,889.5	1,692.0	206.5	12.3%
Environment and Recreation	-	-	0.1	0.2	-	0.3	-						0.6	2.1	(1.5)	-75.0%
General Government	0.7	10.2	1.9	2.0	1.9	4.5	0.7						21.9	27.7	(5.8)	-20.9%
Public Health:																
Medicaid	2,701.3	3,588.2	2,621.1	2,638.6	3,722.9	2,728.0	2,885.3						20,895.4	17,833.6	3,051.8	17.1%
Other Public Health	378.6	457.2	425.2	529.6	404.7	1,073.1	447.8						3,756.2	2,749.6	1,006.6	36.6%
Public Safety	119.8	51.3	108.0	61.2	159.1	40.3	147.4						687.1	765.5	(78.4)	-10.2%
Public Welfare	266.6	325.8	359.9	206.6	243.4	291.1	685.2						2,388.6	2,718.1	(329.5)	-12.1%
Support and Regulate Business	-	1.0	0.1	0.1	1.7	-	0.1						3.0	1.7	1.3	76.5%
Transportation	7.0	3.4	6.7	2.5	4.1	2.9	3.0						29.6	35.8	(6.2)	-17.3%
Total Local Assistance Grants	3,737.6	4,842.3	3,977.6	3,882.2	4,770.1	4,286.2	4,338.9	-	-	-	-	-	29,660.9	25,816.4	3,844.5	14.9%
Departmental Operations:																
Personal Service	50.2	78.9	51.8	46.5	46.9	49.1	47.6						371.0	357.1	13.9	3.9%
Non-Personal Service	47.3	120.2	84.2	132.7	186.9	186.9	136.6						774.1	768.1	6.0	0.8%
General State Charges	7.0	46.3	11.2	10.1	58.1	21.2	24.5						178.4	135.0	43.4	32.1%
Capital Projects	-	-	-	-	-	-	-						-	-	-	0.0%
Total Disbursements	3,842.1	5,087.7	4,124.8	3,899.0	5,007.8	4,543.4	4,569.6	-	-	-	-	-	30,984.4	27,076.6	3,907.8	14.4%
Excess (Deficiency) of Receipts over Disbursements	(491.7)	(457.6)	1,285.6	(163.2)	83.8	469.0	(470.4)	-	-	-	-	-	255.5	1,062.9	(807.4)	-76.0%
<b>OTHER FINANCING SOURCES (USES):</b>																
Transfers from Other Funds	-	-	-	-	-	-	-						-	-	-	0.0%
Transfers to Other Funds	(121.2)	(109.5)	(374.8)	(57.1)	(245.4)	(210.3)	(65.0)						(1,183.3)	(992.1)	191.2	19.3%
Total Other Financing Sources (Uses)	(121.2)	(109.5)	(374.8)	(57.1)	(245.4)	(210.3)	(65.0)	-	-	-	-	-	(1,183.3)	(992.1)	191.2	19.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(612.9)	(567.1)	910.8	(220.3)	(161.6)	258.7	(535.4)	-	-	-	-	-	(927.8)	70.8	(998.6)	-1,410.5%
Ending Fund Balance	\$ (73.0)	\$ (640.1)	\$ 270.7	\$ 50.4	\$ (111.2)	\$ 147.5	\$ (387.9)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (387.9)	\$ 130.5	\$ (518.4)	-397.2%



**STATE OF NEW YORK  
DEBT SERVICE FUNDS  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)**

EXHIBIT H

	7 Months Ended October 31												% Increase/ Decrease
	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
	\$ 144.4	\$ 426.7	\$ 571.0	\$ 418.1	\$ 780.8	\$ 1,002.7	\$ 396.1			2018 JANUARY			
<b>Beginning Fund Balance</b>													
<b>RECEIPTS:</b>													
Taxes:													
Personal Income Tax	1,250.5	525.3	1,162.7	662.5	763.7	1,179.0	673.5						
Consumption/Use Taxes:													
Sales and Use	473.0	487.8	676.4	526.5	515.3	681.1	519.8						
<b>Total Consumption/Use Taxes</b>	<b>473.0</b>	<b>487.8</b>	<b>676.4</b>	<b>526.5</b>	<b>515.3</b>	<b>681.1</b>	<b>519.8</b>						
Other Taxes:													
Real Estate Transfer	94.8	94.7	89.6	84.4	97.6	98.4	70.0						
<b>Total Other Taxes</b>	<b>94.8</b>	<b>94.7</b>	<b>89.6</b>	<b>84.4</b>	<b>97.6</b>	<b>98.4</b>	<b>70.0</b>						
<b>Total Taxes</b>	<b>1,818.3</b>	<b>1,107.8</b>	<b>1,928.7</b>	<b>1,273.4</b>	<b>1,376.6</b>	<b>1,958.5</b>	<b>1,263.3</b>						
<b>Miscellaneous Receipts:</b>													
Assessments:													
Medical Care	-	-	-	-	-	-	-						
Fees, Licenses and Permits:													
Alcohol Beverage Control Licensing	-	-	-	-	-	-	-						
Business/Professional	-	-	-	-	-	-	-						
Civil	-	-	-	-	-	-	-						
Criminal	-	-	-	-	-	-	-						
Motor Vehicle	-	-	-	-	-	-	-						
Recreational/Consumer	-	-	-	-	-	-	-						
Interest Earnings	-	0.1	0.1	-	0.3	-	-						
Receipts from Municipalities	-	0.4	0.1	0.9	1.0	-	-						
Rentals	-	-	-	-	-	-	-						
Revenues of State Departments:													
Patient/Client Care Reimbursement	50.2	41.9	55.0	40.5	(31.5)	94.6	26.9						
Sales	-	-	-	-	0.1	-	-						
<b>Total Miscellaneous Receipts</b>	<b>50.2</b>	<b>42.4</b>	<b>55.2</b>	<b>41.4</b>	<b>(30.1)</b>	<b>94.6</b>	<b>26.9</b>						
<b>Total Receipts</b>	<b>1,868.5</b>	<b>1,150.2</b>	<b>1,983.9</b>	<b>1,316.4</b>	<b>1,381.6</b>	<b>2,053.1</b>	<b>1,290.2</b>						
<b>Disbursements:</b>													
Departmental Operations:													
Debt Service, Including Payments On Financing Agreements	87.2	148.2	186.1	28.0	348.6	757.1	26.7						
<b>Total Disbursements</b>	<b>88.1</b>	<b>149.8</b>	<b>190.8</b>	<b>35.9</b>	<b>350.0</b>	<b>760.2</b>	<b>27.5</b>						
<b>Excess (Deficiency) of Receipts over Disbursements</b>	<b>1,780.4</b>	<b>1,000.4</b>	<b>1,793.1</b>	<b>1,280.5</b>	<b>1,031.6</b>	<b>1,292.9</b>	<b>1,262.7</b>						
<b>OTHER FINANCING SOURCES (USES):</b>													
Transfers from Other Funds	389.7	113.0	275.6	221.2	206.3	328.6	431.4						
Transfers to Other Funds	(1,887.8)	(969.1)	(2,221.6)	(1,139.0)	(1,016.0)	(2,228.1)	(1,302.8)						
<b>Total Other Financing Sources (Uses)</b>	<b>(1,498.1)</b>	<b>(856.1)</b>	<b>(1,946.0)</b>	<b>(917.8)</b>	<b>(809.7)</b>	<b>(1,899.5)</b>	<b>(871.4)</b>						
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>282.3</b>	<b>144.3</b>	<b>(152.9)</b>	<b>362.7</b>	<b>221.9</b>	<b>(606.6)</b>	<b>391.3</b>						
<b>Ending Fund Balance</b>	<b>\$ 426.7</b>	<b>\$ 571.0</b>	<b>\$ 418.1</b>	<b>\$ 780.8</b>	<b>\$ 1,002.7</b>	<b>\$ 396.1</b>	<b>\$ 787.4</b>						

STATE OF NEW YORK  
CAPITAL PROJECTS FUNDS - COMBINED  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

EXHIBIT I

7 Months Ended October 31																	
																	% Increase/ Decrease
2017	Intra-Fund																\$ Increase/ (Decrease)
APRIL	Transfer																
\$ (1,060.5)	Eliminations (*)																\$ (169.7)
\$ (1,047.0)																	\$ (890.8)
JUNE																	
\$ (1,123.2)																	
JULY																	
\$ (906.2)																	
AUGUST																	
\$ (829.6)																	
SEPTEMBER																	
\$ (914.0)																	
OCTOBER																	
\$ (1,281.4)																	
NOVEMBER																	
DECEMBER																	
JANUARY																	
FEBRUARY																	
MARCH																	
																	\$ -
Beginning Fund Balance																	
RECEIPTS:																	
Taxes:																	
Consumption/Use Taxes:																	
	8.0	5.5	7.7	8.4	8.1	8.0	5.8							51.5	42.6	8.9	20.9%
	32.8	30.9	34.9	34.6	35.4	36.4	33.5							238.5	242.0	(3.5)	-1.4%
	11.5	(3.7)	10.7	11.9	11.9	9.8	14.2							37.4	83.4	(46.0)	-55.2%
	52.3	32.7	53.3	55.0	55.4	54.2	53.5							327.4	388.0	(60.6)	-11.0%
Total Consumption/Use Taxes																	
Business Taxes:																	
	-	-	-	-	-	-	-							-	-	-	0.0%
	0.9	0.6	2.0	5.2	0.1	2.2	0.2							6.0	5.5	0.5	9.1%
	45.9	45.7	53.2	55.2	50.3	55.2	50.8							356.2	371.2	(15.0)	-4.0%
	48.8	48.3	55.2	55.2	50.3	57.4	51.0							382.2	376.7	(4.5)	-3.8%
Total Business Taxes																	
Other Taxes:																	
	-	-	11.9	11.9	11.9	11.9	11.9							59.5	59.5	-	0.0%
	-	-	11.9	11.9	11.9	11.9	11.9							59.5	59.5	-	0.0%
	-	-	11.9	11.9	11.9	11.9	11.9							59.5	59.5	-	0.0%
Total Other Taxes																	
	99.1	50.0	120.1	122.1	117.6	123.5	116.1							748.1	804.2	(55.1)	-6.9%
Total Taxes																	
Miscellaneous Receipts:																	
Abandoned Property:																	
	-	-	23.0	-	-	-	-							23.0	23.0	-	0.0%
	-	-	-	-	-	-	-							-	-	-	0.0%
	-	-	-	-	-	-	-							-	-	-	0.0%
Assessments:																	
	15.5	8.4	9.6	13.0	8.2	10.3	11.4							76.4	68.3	8.1	11.9%
	1.6	7.9	2.7	3.5	1.7	5.0	1.8							24.2	21.0	3.2	15.2%
	-	-	-	-	-	-	-							-	-	-	0.0%
	69.3	65.7	63.4	70.6	58.7	61.8	56.4							445.9	425.4	20.5	4.8%
	0.1	0.2	0.2	0.1	0.3	23.0	0.2							24.1	26.9	(2.8)	-10.4%
	1.9	4.7	2.2	2.4	2.5	2.0	2.2							17.9	22.4	(4.5)	-20.1%
	0.4	0.4	0.5	0.5	0.5	0.7	0.5							3.5	1.2	2.3	191.7%
Receipts from State Authorities:																	
	-	2.6	76.1	1,120.5	40.1	38.5	876.3							2,154.1	1,470.0	684.1	46.5%
	-	-	-	-	-	-	-							-	-	-	0.0%
	-	-	-	-	-	-	-							-	-	-	0.0%
	0.9	0.6	-	-	22.8	0.6	18.0							42.9	5.5	37.4	680.0%
	0.2	-	-	0.3	0.2	-	0.4							1.1	1.4	(0.3)	-21.4%
	0.8	0.7	0.6	0.6	1.3	1.9	0.5							6.4	4.7	1.7	36.2%
Revenues of State Departments:																	
	-	-	-	-	-	-	-							-	-	-	0.0%
	0.5	-	10.0	0.2	2.5	0.1	0.5							13.8	9.3	4.5	48.4%
	-	-	-	-	-	-	-							-	-	-	0.0%
	-	0.2	-	-	-	-	-							0.2	0.2	-	0.0%
	0.1	0.1	0.1	0.2	0.2	0.1	1.3							2.1	7.8	(5.7)	-73.1%
	0.5	2.4	2.4	0.3	7.8	1.0	0.8							15.2	11.8	3.4	28.8%
	0.8	0.2	0.2	-	8.9	2.4	0.5							13.0	1.6	11.4	712.5%
	92.6	94.1	191.0	1,212.2	155.7	147.4	970.8							2,863.8	2,100.5	763.3	36.3%
Total Miscellaneous Receipts																	
	136.1	112.9	282.3	139.4	160.4	147.1	128.1							1,065.3	1,419.3	(313.0)	-22.1%
Federal Receipts																	
	327.8	257.0	593.7	1,473.7	433.7	418.0	1,216.3							4,719.2	4,324.0	395.2	9.1%
Total Receipts																	

STATE OF NEW YORK  
CAPITAL PROJECTS FUNDS - COMBINED  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

EXHIBIT I

	7 Months Ended October 31												% Increase/ Decrease				
	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH		Intra-Fund Transfer Eliminations (*)	2017	2016	\$ Increase/ (Decrease)
<b>DISBURSEMENTS:</b>																	
Local Assistance Grants:																	
Education	-	0.2	21.9	23.2	4.4	5.7	20.3	-	-	-	-	-	-	75.7	19.0	56.7	298.4%
Environment and Recreation	2.4	31.6	3.0	6.4	8.4	8.6	8.6	-	-	-	-	-	-	69.0	50.5	18.5	36.6%
General Government	6.4	10.1	81.2	34.0	34.3	128.5	55.8	-	-	-	-	-	-	350.3	225.2	125.1	55.6%
Public Health:																	
Health	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	5.6	23.0	13.9	16.7	14.3	20.8	26.5	-	-	-	-	-	-	120.8	57.3	63.5	110.8%
Public Safety	-	13.1	-	-	0.5	4.4	-	-	-	-	-	-	-	18.0	31.3	(13.3)	-42.5%
Public Welfare	48.1	6.4	14.6	6.2	15.8	28.8	24.9	-	-	-	-	-	-	144.8	81.7	63.1	77.2%
Support and Regulate Business	155.7	70.6	76.2	109.8	209.8	76.3	43.2	-	-	-	-	-	-	741.6	445.0	296.6	66.7%
Transportation	34.0	53.0	81.6	28.3	134.4	95.2	70.9	-	-	-	-	-	-	487.4	605.5	(108.1)	-17.6%
Total Local Assistance Grants	252.2	208.0	292.4	224.6	421.9	385.3	250.2	-	-	-	-	-	-	2,017.6	1,515.5	502.1	33.1%
Departmental Operations:																	
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	350.0	472.2	526.0	555.8	575.7	596.6	718.2	-	-	-	-	-	-	3,794.5	3,751.2	43.3	1.2%
Total Disbursements	602.2	680.2	818.4	780.4	997.6	964.9	968.4	-	-	-	-	-	-	5,812.1	5,266.7	545.4	10.4%
Excess (Deficiency) of Receipts over Disbursements	(274.4)	(423.2)	(224.7)	693.3	(583.9)	(546.9)	246.9	-	-	-	-	-	-	(1,092.9)	(942.7)	(150.2)	-15.9%
<b>OTHER FINANCING SOURCES (USES):</b>																	
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	316.5	377.0	476.4	(584.1)	512.0	439.3	(266.0)	-	-	-	-	-	-	1,271.1	1,486.1	(215.0)	-14.5%
Transfers to Other Funds	(28.6)	(30.0)	(34.7)	(32.6)	(32.5)	(259.8)	(25.1)	-	-	-	-	-	-	(443.3)	(445.8)	(2.5)	-0.6%
Total Other Financing Sources (Uses)	287.9	347.0	441.7	(616.7)	479.5	179.5	(291.1)	-	-	-	-	-	-	827.8	1,040.3	(212.5)	-20.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	13.5	(76.2)	217.0	76.6	(84.4)	(367.4)	(44.2)	-	-	-	-	-	-	(265.1)	97.6	(362.7)	-371.6%
Ending Fund Balance	\$ (1,047.0)	\$ (1,123.2)	\$ (906.2)	\$ (829.6)	\$ (914.0)	\$ (1,281.4)	\$ (1,325.6)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (1,325.6)	\$ (793.2)	\$ (532.4)	-67.1%
Intra-Fund transfer eliminations represent transfers from Capital Projects-State and Federal Funds.																	

(\*) Intra-Fund transfer eliminations represent transfers from Capital Projects-State and Federal Funds.

## EXHIBIT I

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EXHIBIT I

STATE OF NEW YORK  
CAPITAL PROJECTS FUNDS - STATE  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

	7 Months Ended October 31												% Increase/ Decrease
	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	
<b>DISBURSEMENTS:</b>													
Local Assistance Grants:													
Education	-	0.2	21.9	23.2	4.4	5.7	20.3	-	-	-	-	-	56.7
Environment and Recreation	2.4	31.6	3.0	6.4	8.4	8.6	8.6	-	-	-	-	-	18.5
General Government	6.4	10.1	81.2	34.0	34.3	128.5	55.8	-	-	-	-	-	125.1
Public Health:													
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-
Other Public Health	5.6	23.0	13.9	16.7	14.3	15.9	26.5	-	-	-	-	-	62.5
Public Safety	-	13.1	-	-	0.5	1.1	-	-	-	-	-	-	(14.6)
Public Welfare	48.1	6.4	14.6	6.2	15.8	28.8	24.9	-	-	-	-	-	29.3
Support and Regulate Business	155.7	70.6	76.2	109.8	209.8	76.3	43.2	-	-	-	-	-	81.7
Transportation	3.3	9.7	50.7	3.2	73.1	70.5	11.6	-	-	-	-	-	296.6
Total Local Assistance Grants	221.5	164.7	281.5	199.5	360.6	335.4	190.9	-	-	-	-	-	8.8
Departmental Operations:													
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	616.7
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	55.2%
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	-
Capital Projects	267.9	381.4	409.3	454.3	457.5	461.5	577.9	-	-	-	-	-	193.0
Total Disbursements	489.4	546.1	670.8	653.8	818.1	796.9	768.8	-	-	-	-	-	809.7
Excess (Deficiency) of Receipts over Disbursements	(288.4)	(402.2)	(359.5)	680.5	(544.9)	(523.6)	318.3	-	-	-	-	-	(101.4)
<b>OTHER FINANCING SOURCES (USES):</b>													
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds	316.5	377.0	476.4	(584.1)	512.0	438.3	(266.0)	-	-	-	-	-	(245.4)
Transfers to Other Funds	(28.6)	(30.0)	(30.0)	(32.6)	(32.5)	(258.8)	(25.1)	-	-	-	-	-	1.1
Total Other Financing Sources (Uses)	287.9	347.0	446.4	(616.7)	479.5	179.5	(291.1)	-	-	-	-	-	(246.5)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(10.5)	(55.2)	86.9	63.8	(65.4)	(344.1)	27.2	-	-	-	-	-	(347.9)
Ending Fund Balance	\$ (501.4)	\$ (556.6)	\$ (469.7)	\$ (405.9)	\$ (471.3)	\$ (815.4)	\$ (788.2)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (507.3)
													\$ (480.6%)

**STATE OF NEW YORK**  
**CAPITAL PROJECTS FUNDS - FEDERAL**  
**STATEMENT OF CASH FLOW**  
**FISCAL YEAR 2017-2018**  
 (Amounts in millions)

EXHIBIT I

	7 Months Ended October 31											
	2017	2017	2016									
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH
	\$ (569.6)	\$ (545.6)	\$ (566.6)	\$ (436.5)	\$ (423.7)	\$ (442.7)	\$ (465.0)					
<b>Beginning Fund Balance</b>												
<b>RECEIPTS:</b>												
Miscellaneous Receipts:												
Abandoned Property:												
Bottle Bill	-	-	-	-	-	-	-	-	-	-	-	-
Assessments:												
Business	-	-	-	-	-	-	-	-	-	-	-	-
Fees, Licenses and Permits:												
Business/Professional	-	-	-	-	-	-	-	-	-	-	-	-
Civil	-	-	-	-	-	-	-	-	-	-	-	-
Motor Vehicle	-	-	-	-	-	-	-	-	-	-	-	-
Rational/Consumer	-	-	-	-	-	-	-	-	-	-	-	-
Fines, Penalties and Forfeitures	-	-	-	-	-	-	-	-	-	-	-	-
Interest Earnings	-	-	-	-	-	-	-	-	-	-	-	-
Receipts from Public Authorities:												
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-
Issuance Fees	-	-	-	-	-	-	-	-	-	-	-	-
Non Bond Related	-	-	-	-	-	-	-	-	-	-	-	-
Receipts from Municipalities	-	-	-	-	-	-	-	-	-	-	-	-
Rentals	-	0.1	0.1	-	0.1	0.1	-	-	-	-	-	-
Revenues of State Departments:												
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	-
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-	-
All Other	-	-	-	-	-	-	-	-	-	-	-	-
Sales	0.7	0.1	0.1	-	0.1	0.1	0.1	-	-	-	-	-
<b>Total Miscellaneous Receipts</b>	<b>0.7</b>	<b>0.2</b>	<b>0.1</b>	<b>-</b>	<b>0.1</b>	<b>0.1</b>	<b>0.1</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Federal Receipts</b>	<b>136.1</b>	<b>112.9</b>	<b>282.3</b>	<b>139.4</b>	<b>180.4</b>	<b>144.6</b>	<b>128.1</b>					
<b>Total Receipts</b>	<b>136.8</b>	<b>113.1</b>	<b>282.4</b>	<b>139.4</b>	<b>180.5</b>	<b>144.7</b>	<b>128.2</b>					
<b>DISBURSEMENTS:</b>												
Local Assistance Grants:												
Education	-	-	-	-	-	-	-	-	-	-	-	-
Environment and Recreation	-	-	-	-	-	-	-	-	-	-	-	-
General Government	-	-	-	-	-	-	-	-	-	-	-	-
Public Health:												
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-
Other Public Health	-	-	-	-	-	4.9	-	-	-	-	-	-
Public Safety	-	-	-	-	-	3.3	-	-	-	-	-	-
Public Welfare	-	-	-	-	-	-	-	-	-	-	-	-
Support and Regulate Business	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to Other Funds	30.7	43.3	30.9	25.1	61.3	24.7	59.3	-	-	-	-	-
<b>Total Local Assistance Grants</b>	<b>30.7</b>	<b>43.3</b>	<b>30.9</b>	<b>25.1</b>	<b>61.3</b>	<b>32.9</b>	<b>59.3</b>					
Departmental Operations:												
Personal Services	-	-	-	-	-	-	-	-	-	-	-	-
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-
General State Charges	82.1	90.8	116.7	101.5	118.2	135.1	140.3	-	-	-	-	-
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total Disbursements</b>	<b>112.8</b>	<b>134.1</b>	<b>147.6</b>	<b>126.6</b>	<b>179.5</b>	<b>168.0</b>	<b>199.6</b>					
<b>Excess (Deficiency) of Receipts over Disbursements</b>	<b>24.0</b>	<b>(21.0)</b>	<b>134.8</b>	<b>12.8</b>	<b>(19.0)</b>	<b>(23.3)</b>	<b>(71.4)</b>					
<b>OTHER FINANCING SOURCES (USES):</b>												
Transfers from Other Funds	-	-	(4.7)	-	-	-	-	-	-	-	-	-
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total Other Financing Sources (Uses)</b>	<b>-</b>	<b>-</b>	<b>(4.7)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>					
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>24.0</b>	<b>(21.0)</b>	<b>130.1</b>	<b>12.8</b>	<b>(19.0)</b>	<b>(23.3)</b>	<b>(71.4)</b>					
<b>Ending Fund Balance</b>	<b>\$ (545.6)</b>	<b>\$ (566.6)</b>	<b>\$ (436.5)</b>	<b>\$ (423.7)</b>	<b>\$ (442.7)</b>	<b>\$ (466.0)</b>	<b>\$ (537.4)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>



STATE OF NEW YORK  
ENTERPRISE FUNDS  
STATEMENT OF CASH FLOW  
FISCAL YEAR 2017-2018  
(Amounts in millions)

EXHIBIT J

	2017 APRIL	2018											7 Months Ended October 31		% Increase/ Decrease	Increase/ Decrease
		MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH				
		\$ 25.3	\$ 24.2	\$ 25.1	\$ 25.3	\$ 24.9	\$ 25.4						\$ 23.6	\$ 66.1	\$ (42.5)	\$ (42.5)
Beginning Fund Balance	\$ 23.6															
RECEIPTS:																
Miscellaneous Receipts	4.5	4.8	4.7	4.1	7.1	5.9	6.3						37.4	37.6	(0.2)	-0.5%
Federal Receipts	1.2	1.3	1.1	2.1	1.3	1.1	1.5						9.6	10.1	(0.5)	-5.0%
Unemployment Taxes	180.2	180.1	156.5	188.1	186.0	150.0	164.8						1,205.7	1,156.9	48.8	4.2%
Total Receipts	185.9	186.2	162.3	194.3	194.4	157.0	172.6	-	-	-	-	-	1,252.7	1,204.6	48.1	4.0%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	0.3	0.7	0.3	0.4	0.4	0.6	2.2						4.9	3.4	1.5	44.1%
Non-Personal Service	2.4	4.5	3.8	3.7	6.6	4.9	5.5						31.4	30.8	0.6	1.9%
General State Charges		0.3	0.2		0.1		0.2						0.8	0.4	0.4	100.0%
Unemployment Benefits	181.5	181.8	157.1	190.0	187.7	151.0	166.2						1,215.3	1,210.7	4.6	0.4%
Total Disbursements	184.2	187.3	161.4	194.1	194.8	156.5	174.1	-	-	-	-	-	1,252.4	1,245.3	7.1	0.6%
Excess (Deficiency) of Receipts over Disbursements	1.7	(1.1)	0.9	0.2	(0.4)	0.5	(1.5)	-	-	-	-	-	0.3	(40.7)	41.0	100.7%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-						-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-						-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-						-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	1.7	(1.1)	0.9	0.2	(0.4)	0.5	(1.5)	-	-	-	-	-	0.3	(40.7)	41.0	100.7%
Ending Fund Balance	\$ 25.3	\$ 24.2	\$ 25.1	\$ 25.3	\$ 24.9	\$ 25.4	\$ 23.9	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 23.9	\$ 25.4	\$ (1.5)	-5.9%

## EXHIBIT K

	2017	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018	JANUARY	FEBRUARY	MARCH	2017	2016	\$ Increase/ Decrease \$ (73.2)	% Increase/ Decrease -57.5%
	APRIL													\$ (200.4)	\$ (127.2)		
Beginning Fund Balance																	
RECEIPTS:																	
Miscellaneous Receipts	28.1	51.7	59.0	31.8	49.1	38.4	36.8	-	-	-	-	-	-	294.9	216.7	78.2	36.1%
Total Receipts	28.1	51.7	59.0	31.8	49.1	38.4	36.8	-	-	-	-	-	-	294.9	216.7	78.2	36.1%
DISBURSEMENTS:																	
Departmental Operations:																	
Personal Service	7.6	11.9	9.0	7.4	8.1	7.6	8.7	-	-	-	-	-	-	60.3	55.5	4.8	8.6%
Non-Personal Service	83.2	27.5	39.0	27.5	46.2	34.6	30.2	-	-	-	-	-	-	238.2	231.7	56.5	24.4%
General State Charges	--	7.8	5.6	2.2	9.3	4.9	5.2	-	-	-	-	-	-	35.0	21.2	13.8	65.1%
Total Disbursements	90.8	47.2	53.6	37.1	63.6	47.1	44.1	-	-	-	-	-	-	383.5	308.4	75.1	24.4%
Excess (Deficiency) of Receipts over Disbursements	(62.7)	4.5	5.4	(5.3)	(14.5)	(8.7)	(7.3)	-	-	-	-	-	-	(88.6)	(91.7)	3.1	3.4%
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	1.8	2.2	1.3	2.4	2.7	5.0	6.6	-	-	-	-	-	-	22.0	24.8	(2.8)	-11.3%
Transfers to Other Funds	-	-	-	-	(0.2)	(7.1)	-	-	-	-	-	-	-	(7.3)	(7.7)	0.4	5.2%
Total Other Financing Sources (Uses)	1.8	2.2	1.3	2.4	2.5	(2.1)	6.6	-	-	-	-	-	-	14.7	17.1	(2.4)	-14.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(60.9)	6.7	6.7	(2.9)	(12.0)	(10.8)	(0.7)	-	-	-	-	-	-	(73.9)	(74.6)	0.7	0.9%
Ending Fund Balance	\$ (261.3)	\$ (254.6)	\$ (247.9)	\$ (250.8)	\$ (262.8)	\$ (273.6)	\$ (274.3)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (274.3)	\$ (201.8)	\$ (72.5)	-35.9%

**EXHIBIT L**

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## EXHIBIT M

	2017		JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018		2016		\$ Increase/ (Decrease)	% Increase/ Decrease
	APRIL	MAY										2017	2016	\$	(0.9)
	\$ 10.7	\$ 11.0	\$ 11.0	\$ 11.1	\$ 11.2	\$ 11.3	\$ 11.3					\$ 10.7	\$ 11.6		-7.8%
<b>Beginning Fund Balance</b>															
<b>RECEIPTS:</b>															
Miscellaneous Receipts	0.3	0.1	0.1	0.1	0.1	0.1	0.2					1.0	(1.1)	2.1	190.9%
<b>Total Receipts</b>	<b>0.3</b>	<b>0.1</b>	<b>0.1</b>	<b>0.1</b>	<b>0.1</b>	<b>0.1</b>	<b>0.2</b>	-	-	-	-	<b>1.0</b>	<b>(1.1)</b>	<b>2.1</b>	<b>190.9%</b>
<b>DISBURSEMENTS:</b>															
Departmental Operations:															
Personal Service	-	0.1	-	-	-	-	0.1					0.2	0.1	0.1	100.0%
Non-Personal Service	-	-	-	-	-	-	-					-	-	-	0.0%
General State Charges	-	-	-	-	-	0.1	-					0.1	0.1	-	0.0%
<b>Total Disbursements</b>	<b>-</b>	<b>0.1</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>0.1</b>	<b>0.1</b>	-	-	-	-	<b>0.3</b>	<b>0.2</b>	<b>0.1</b>	<b>50.0%</b>
<b>Excess (Deficiency) of Receipts over Disbursements</b>	<b>0.3</b>	<b>-</b>	<b>0.1</b>	<b>0.1</b>	<b>0.1</b>	<b>-</b>	<b>0.1</b>	-	-	-	-	<b>0.7</b>	<b>(1.3)</b>	<b>2.0</b>	<b>153.8%</b>
<b>OTHER FINANCING SOURCES (USES):</b>															
Transfers from Other Funds	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-					-	-	-	0.0%
<b>Total Other Financing Sources (Uses)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	-	-	-	-	<b>-</b>	<b>-</b>	<b>-</b>	<b>0.0%</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses</b>	<b>0.3</b>	<b>-</b>	<b>0.1</b>	<b>0.1</b>	<b>0.1</b>	<b>-</b>	<b>0.1</b>	-	-	-	-	<b>0.7</b>	<b>(1.3)</b>	<b>2.0</b>	<b>153.8%</b>
<b>Ending Fund Balance</b>	<b>\$ 11.0</b>	<b>\$ 11.0</b>	<b>\$ 11.1</b>	<b>\$ 11.2</b>	<b>\$ 11.3</b>	<b>\$ 11.3</b>	<b>\$ 11.4</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 11.4</b>	<b>\$ 10.3</b>	<b>\$ 1.1</b>	<b>10.7%</b>

## SCHEDULE 1

STATE OF NEW YORK  
GOVERNMENTAL FUNDS  
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND  
CHANGES IN FUND BALANCES  
FISCAL YEAR 2017-2018  
FOR THE MONTH OF OCTOBER 2017  
(Amounts in millions)

	BALANCE OCTOBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2017
<b>GENERAL FUND</b>					
10000-10049-Local Assistance Account	\$ -	\$ 0.006	\$ 2,364.306	\$ 2,364.300	\$ -
10050-10099-State Operations Account	6,472.338	2,561.683	867.480	(1,853.817)	6,312.724
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	50.842	-	0.530	-	50.312
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	207.809	207.809	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
<b>TOTAL GENERAL FUND</b>	<b>6,523.180</b>	<b>2,769.498</b>	<b>3,440.125</b>	<b>510.483</b>	<b>6,363.036</b>
<b>SPECIAL REVENUE FUNDS-STATE</b>					
20000-20099-Mental Health Gifts and Donations	2,332	0.006	0.005	-	2,333
20100-20299-Combined Expendable Trust	61,758	0.525	0.839	-	61,444
20300-20349-New York Interest on Lawyer Account	40,027	2,093	5,972	-	36,148
20350-20399-NYS Archives Partnership Trust	0.124	-	0.024	-	0.100
20400-20449-Child Performer's Protection	0.276	0.009	0.027	-	0.258
20450-20499-Tuition Reimbursement	7,104	0.194	0.143	-	7,155
20500-20549-New York State Local Government Records Management Improvement	4,207	0.767	0.532	-	4,442
20550-20599-School Tax Relief	0.154	4,970	0.868	-	4,256
20600-20649-Charter Schools Stimulus	0.849	-	0.050	4,837	5,636
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	124,006	510,771	445,544	(0.420)	188,813
20850-20899-Dedicated Mass Transportation Trust	82,257	50,266	61,000	-	71,523
20900-20949-State Lottery	(650,076)	255,885	157,742	-	(551,933)
20950-20999-Combined Student Loan	9,416	2,257	2,315	-	9,358
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3,850)	-	0.088	-	(3,938)
21050-21149-Encon Special Revenue	(14,531)	16,558	10,568	1,794	(6,747)
21150-21199-Conservation	78,686	10,799	7,353	(1,794)	80,338
21200-21249-Environmental Protection and Oil Spill Compensation	41,300	6,342	2,712	(3,328)	41,602
21250-21299-Training and Education Program on OSHA	20,610	0.107	3,157	-	17,560
21300-21349-Lawyers' Fund for Client Protection	8,087	0.496	0.270	-	8,313
21350-21399-Equipment Loan for the Disabled	0.531	0.003	0.006	-	0.528
21400-21449-Mass Transportation Operating Assistance	92,026	107,489	198,636	0.033	0,922
21450-21499-Clean Air	(23,054)	7,731	4,748	-	(20,071)
21500-21549-New York State Infrastructure Trust	0.068	-	-	-	0.068
21550-21599-Legislative Computer Services	10,739	0.080	0.050	-	10,769
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.459	-	-	-	0.459
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	0.001	-	-	-	-
21850-21899-Arts Capital Revolving	0.903	0.003	-	-	0.906
21900-22499-Miscellaneous State Special Revenue	1,644.957	164.091	495.864	636.372	1,949.556

## SCHEDULE 1

STATE OF NEW YORK  
GOVERNMENTAL FUNDS  
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND  
CHANGES IN FUND BALANCES  
FISCAL YEAR 2017-2018  
FOR THE MONTH OF OCTOBER 2017  
(Amounts in millions)

	BALANCE OCTOBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2017
<b><u>SPECIAL REVENUE FUNDS-STATE (CONTINUED)</u></b>					
22500-22549-Court Facilities Incentive Aid	16,025	0,017	3,031	-	13,011
22550-22599-Employment Training	0,050	-	-	-	0,050
22650-22699-State University Income	1,674,228	408,363	548,188	40,634	1,575,057
22700-22749-Chemical Dependence Service	42,409	1,030	0,713	-	42,726
22750-22799-Lake George Park Trust	0,282	-	0,069	-	0,213
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	79,314	13,455	1,075	-	91,694
22850-22899-New York Great Lakes Protection	0,597	-	0,017	-	0,580
22900-22949-Federal Revenue Maximization	0,023	-	-	-	0,023
22950-22999-Housing Development	9,411	0,012	0,344	-	9,079
23000-23049-NYS/DOT Highway Safety Program	(9,883)	0,137	0,276	-	(10,022)
23050-23099-Vocational Rehabilitation	0,108	0,014	0,098	-	0,024
23100-23149-Drinking Water Program Management and Administration	(5,351)	-	-	-	(5,351)
23150-23199-NYC County Clerks' Operations Offset	(40,086)	-	2,556	-	(42,642)
23200-23249-Judiciary Data Processing Offset	17,090	3,645	2,365	-	18,370
23250-23449-IFR/CUTRA	160,817	15,975	6,577	-	170,215
23500-23549-USOC Lake Placid Training	0,164	0,003	-	-	0,167
23550-23599-Indigent Legal Services	248,611	10,213	3,882	-	254,942
23600-23649-Unemployment Insurance Interest and Penalty	32,226	1,366	0,179	(3,211)	30,202
23650-23699-MTA Financial Assistance Fund	87,417	148,876	103,000	50,666	183,959
23700-23749-New York State Commercial Gaming Fund	31,306	9,552	6,284	-	34,574
23750-23799-Medical Marihuana Trust Fund	8,484	0,170	0,339	-	8,315
23800-23899-Dedicated Miscellaneous State Special Revenue	3,429	0,146	0,070	-	3,505
24950-24999-Interactive Fantasy Sports	4,981	0,393	-	-	5,374
40350-40399-State University Dormitory Income	164,165	(16,186)	-	(15,204)	132,775
<b>TOTAL SPECIAL REVENUE FUNDS-STATE</b>	<b>4,065,183</b>	<b>1,738,663</b>	<b>2,077,576</b>	<b>710,379</b>	<b>4,436,639</b>
<b><u>SPECIAL REVENUE FUNDS-FEDERAL</u></b>					
25000-25099-Federal USDA/Food and Consumer Services	16,532	150,695	149,245	-	17,982
25100-25199-Federal Health and Human Services	370,273	3,556,876	4,016,298	(64,174)	(153,323)
25200-25249-Federal Education	(34,540)	208,743	202,496	(0,648)	(27,941)
25300-25399-Federal Miscellaneous Operating Grants	(338,775)	161,932	174,983	(0,085)	(351,911)
25900-25949-Unemployment Insurance Administration	135,555	13,562	17,172	-	131,945
25950-25999-Unemployment Insurance Occupational Training	(0,548)	0,784	0,602	-	(0,366)
26000-26049-Federal Employment and Training Grants	(0,975)	5,479	8,752	-	(4,248)
<b>TOTAL SPECIAL REVENUE FUNDS-FEDERAL</b>	<b>147,522</b>	<b>4,099,071</b>	<b>4,569,548</b>	<b>(64,907)</b>	<b>(387,862)</b>
<b>TOTAL SPECIAL REVENUE FUNDS</b>	<b>4,212,705</b>	<b>5,837,724</b>	<b>6,647,124</b>	<b>645,472</b>	<b>4,048,777</b>
<b><u>DEBT SERVICE FUNDS</u></b>					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	163,874	10,905	0,182	(55,116)	119,481
40150-40199-General Debt Service	186,435	933,439	25,926	(484,540)	609,408
40250-40299-State Housing Debt Service	-	-	1,235	1,235	-
40300-40349-Department of Health Income	33,390	15,952	-	(6,173)	43,169
40400-40449-Clean Water/Clean Air	10,229	70,071	-	(66,989)	13,311
40450-40499-Local Government Assistance Tax	2,180	259,912	0,165	(259,883)	2,044
<b>TOTAL DEBT SERVICE FUNDS</b>	<b>396,108</b>	<b>1,290,279</b>	<b>27,508</b>	<b>(871,466)</b>	<b>787,413</b>



## SCHEDULE 1

STATE OF NEW YORK  
GOVERNMENTAL FUNDS  
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND  
CHANGES IN FUND BALANCES  
FISCAL YEAR 2017-2018  
FOR THE MONTH OF OCTOBER 2017  
(Amounts in millions)

	BALANCE OCTOBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2017
<b>CAPITAL PROJECTS FUNDS</b>					
30000-30049-State Capital Projects	-	661,037	310,687	(350,350)	-
30050-30099-Dedicated Highway and Bridge Trust	(302,002)	383,318	269,890	(20,927)	(209,501)
30100-30299-SUNY Residence Halls Rehabilitation and Repair	144,408	0.132	1,685	1,007	143,862
30300-30349-New York State Canal System Development	7,345	0.007	-	-	7,352
30350-30399-Parks Infrastructure	(33,203)	-	11,963	-	(45,166)
30400-30449-Passenger Facility Charge	0.014	-	0.014	-	0.014
30450-30499-Environmental Protection	165,355	12,810	12,098	-	166,067
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	1,451	-	-	-	1,451
30650-30659-Rebuild and Renew New York Transportation Bond	21,606	-	-	(1,668)	19,938
30660-30669-Transportation Infrastructure Renewal Bond	4,255	-	-	-	4,255
30670-30679-1986 Environmental Quality Bond Act	5,552	-	-	-	5,552
30680-30689-Accelerated Capacity and Transportation Improvement Bond	2,778	-	-	-	2,778
30690-30699-Clean Water/Clean Air Bond	1,428	-	-	-	1,428
30700-30709-State Housing Bond	-	-	-	-	-
30710-30719-Smart Schools Bond	-	-	-	-	-
30750-30799-Outdoor Recreation Development Bond	-	-	-	-	-
30800-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(466,014)	128,279	199,659	-	(537,394)
31450-31499-Forest Preserve Expansion	0.912	-	-	-	0.912
31500-31549-Hazardous Waste Remedial	(89,265)	2,173	14,363	(1,399)	(102,854)
31650-31699-Suburban Transportation	0.513	-	-	-	0.513
31700-31749-Division for Youth Facilities Improvement	(24,830)	-	3,327	-	(28,157)
31800-31849-Housing Assistance	(13,631)	-	-	-	(13,631)
31850-31899-Housing Program	(168,606)	-	2,462	-	(171,068)
31900-31949-Natural Resource Damage	18,424	0.017	0.078	-	18,363
31950-31999-DOT Engineering Services	(12,533)	-	(0.054)	-	(12,479)
32200-32249-Miscellaneous Capital Projects	38,049	19,019	3,610	0.500	53,958
32250-32299-CUNY Capital Projects	(0.025)	-	-	-	(0.025)
32300-32349-Mental Hygiene Facilities Capital Improvement	(543,150)	8,364	15,329	-	(550,115)
32350-32399-Correction Facilities Capital Improvement	(318,977)	-	21,670	-	(340,647)
32400-32999-State University Capital Projects	196,395	0.186	5,696	-	190,885
33000-33049-NYS Storm Recovery Fund	(64,821)	-	(2,265)	-	(62,556)
33050-33089-Dedicated Infrastructure Investment Fund	143,042	-	98,251	81,700	126,491
<b>TOTAL CAPITAL PROJECTS FUNDS</b>	<b>(1,281,370)</b>	<b>1,215,342</b>	<b>968,449</b>	<b>(291,137)</b>	<b>(1,325,614)</b>
<b>TOTAL GOVERNMENTAL FUNDS</b>	<b>\$ 9,850,623</b>	<b>\$ 11,112,843</b>	<b>\$ 11,083,206</b>	<b>\$ (6,648)</b>	<b>\$ 9,873,612</b>

## SCHEDULE 2

STATE OF NEW YORK  
 PROPRIETARY FUNDS  
 SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND  
 CHANGES IN FUND BALANCES  
 FISCAL YEAR 2017-2018  
 FOR THE MONTH OF OCTOBER 2017  
 (Amounts in millions)

FUND TYPE	BALANCE OCTOBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2017
<b>ENTERPRISE FUNDS</b>					
50000-50049-Youth Commissary	\$ 0.131	\$ (0.003)	\$ 0.003	\$ -	\$ 0.125
50050-50099-State Exposition Special	4.153	2.008	4.125	-	2.036
50100-50299-Correctional Services Commissary	2.516	3.507	3.151	-	2.872
50300-50399-Agencies Enterprise	2.665	0.335	0.375	-	2.625
50400-50449-Sheltered Workshop	2.201	0.028	0.038	-	2.191
50450-50499-Patient Workshop	1.674	0.230	0.049	-	1.855
50500-50599-Mental Hygiene Community Stores	4.185	0.108	0.088	-	4.205
50650-50699-Unemployment Insurance Benefit	7.916	166.331	166.245	-	8.002
<b>TOTAL ENTERPRISE FUNDS</b>	<b>25.441</b>	<b>172.544</b>	<b>174.074</b>	<b>-</b>	<b>23.911</b>
<b>INTERNAL SERVICE FUNDS</b>					
55000-55049-Centralized Services	(65.629)	24.960	26.352	3.203	(63.818)
55050-55099-Agency Internal Service	(139.449)	6.650	9.686	3.446	(139.039)
55100-55149-Mental Hygiene Revolving	0.143	0.056	0.104	-	0.095
55150-55199-Youth Vocational Education	0.064	0.002	0.002	-	0.064
55200-55249-Joint Labor and Management Administration	1.150	0.001	0.077	-	1.074
55250-55299-Audit and Control Revolving	(27.812)	-	1.546	-	(29.358)
55300-55349-Health Insurance Revolving	(14.025)	0.499	0.987	(0.001)	(14.514)
55350-55399-Correctional Industries Revolving	(28.019)	4.668	5.405	-	(28.756)
<b>TOTAL INTERNAL SERVICE FUNDS</b>	<b>(273.577)</b>	<b>36.836</b>	<b>44.159</b>	<b>6.648</b>	<b>(274.252)</b>
<b>TOTAL PROPRIETARY FUNDS</b>	<b>\$ (248.136)</b>	<b>\$ 209.380</b>	<b>\$ 218.233</b>	<b>\$ 6.648</b>	<b>\$ (250.341)</b>

## SCHEDULE 3

STATE OF NEW YORK  
FIDUCIARY FUNDS  
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES  
FISCAL YEAR 2017-2018  
FOR THE MONTH OF OCTOBER 2017  
(Amounts in millions)

FUND TYPE	BALANCE OCTOBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE OCTOBER 31, 2017
<b>PENSION TRUST FUNDS</b>					
65000-65049-Common Retirement Administration	\$ (21.355)	\$ 5.777	\$ 7.134	\$ -	\$ (22.712)
<b>TOTAL PENSION TRUST FUNDS</b>	<b>(21.355)</b>	<b>5.777</b>	<b>7.134</b>	<b>-</b>	<b>(22.712)</b>
<b>PRIVATE PURPOSE TRUST FUNDS</b>					
66000-66049-Agriculture Producers' Security	2.623	0.002	0.019	-	2.606
66050-66099-Milk Producers' Security	8.725	0.110	0.040	-	8.795
<b>TOTAL PRIVATE PURPOSE TRUST FUNDS</b>	<b>11.348</b>	<b>0.112</b>	<b>0.059</b>	<b>-</b>	<b>11.401</b>
<b>AGENCY FUNDS</b>					
60050-60149-School Capital Facilities Financing Reserve	21.903	0.254	-	-	22.157
60150-60199-Child Performer's Holding	0.487	-	0.001	-	0.486
60200-60249-Employees Health Insurance	638.769	870.330	806.153	-	702.946
60250-60299-Social Security Contribution	15.160	96.976	98.089	-	14.047
60300-60399-Employee Payroll Withholding	39.154	389.704	421.577	-	7.281
60400-60449-Employees Dental Insurance	19.842	5.003	6.563	-	18.282
60450-60499-Management Confidential Group Insurance	0.670	0.730	0.836	-	0.564
60500-60549-Lottery Prize	535.772	133.017	112.811	-	555.978
60550-60599-Health Insurance Reserve Receipts	0.137	-	-	-	0.137
60600-60799-Miscellaneous New York State Agency	1,243.934	82.912	73.156	-	1,253.690
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	24.136	9.171	9.550	-	23.757
60850-60899-CUNY Senior College Operating	66.589	116.002	170.154	-	12.437
60900-60949-Medicaid Management Information System (MMIS) Escrow	479.219	5,653.747	5,789.317	-	343.649
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	267.832	(130.180)	-	-	137.652
61100-61999-State University Federal Direct Lending Program	(7.698)	46.769	40.445	-	(1.374)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
<b>TOTAL AGENCY FUNDS</b>	<b>3,345.906</b>	<b>7,274.435</b>	<b>7,528.652</b>	<b>-</b>	<b>3,091.689</b>
<b>TOTAL FIDUCIARY FUNDS</b>	<b>\$ 3,335.899</b>	<b>\$ 7,280.324</b>	<b>\$ 7,535.845</b>	<b>\$ -</b>	<b>\$ 3,080.378</b>

STATE OF NEW YORK  
SOLE CUSTODY AND INVESTMENT ACCOUNTS  
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS  
FISCAL YEAR 2017-2018  
FOR THE MONTH OF OCTOBER 2017  
(Amounts in millions)

<u>FUND TYPE</u>	<u>BALANCE</u> <u>OCTOBER 1, 2017</u>	<u>RECEIPTS</u>	<u>DISBURSEMENTS</u>	<u>BALANCE</u> <u>OCTOBER 31, 2017</u>
<b>ACCOUNTS</b>				
70000-70049-Tobacco Settlement	\$ 2,744	\$ 0,002	\$ -	\$ 2,746
70050-70149-Sole Custody Investment (*)	2,389,399	6,802,754	7,063,181	2,128,972
70200-Comptroller's Refund	-	281,395	281,395	-
<b>TOTAL ACCOUNTS</b>	<b>\$ 2,392,143</b>	<b>\$ 7,084,151</b>	<b>\$ 7,344,576</b>	<b>\$ 2,131,718</b>

**(\*) 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 October 31, 2017, \$9,074,717.37 (representing the remaining balance of the State's 95 percent share of the fair market value of the not-for-profit corporation plus interest) is on deposit in the sole custody account titled Public Asset Fund. In accordance with Section 4301(j)(4)(F) and (O) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

## SCHEDULE 5

STATE OF NEW YORK  
DEBT SERVICE FUNDS  
STATEMENT OF DIRECT STATE DEBT ACTIVITY  
FISCAL YEAR 2017-2018

PURPOSE	DEBT OUTSTANDING APR. 1, 2017	DEBT ISSUED		DEBT MATURED		INTEREST DISBURSED	
		MONTH OF OCTOBER	7 MONTHS ENDED OCTOBER 31, 2017	MONTH OF OCTOBER	7 MONTHS ENDED OCTOBER 31, 2017	MONTH OF OCTOBER	7 MONTHS ENDED OCTOBER 31, 2017
<b>GENERAL OBLIGATION BONDED DEBT:</b>							
Accelerated Capacity and Transportation Improvements	\$ 62,739,963.00	\$ -	\$ -	\$ -	\$ 25,836,799.53	\$ 390,353.72	\$ 1,902,141.10
Clean Water/Clean Air:							
Air Quality	1,815,678.01	-	-	-	147,455.24	7,965.69	45,814.01
Safe Drinking Water	374,031,345.51	-	-	-	9,587,060.42	1,857,754.30	9,214,931.40
Clean Water	31,471,106.94	-	-	-	1,629,409.54	176,694.11	641,395.46
Solid Waste	67,095,926.60	-	-	-	130,000.00	24,453.27	1,407,386.41
Environmental Restoration							
Energy Conservation Through Improved Transportation:							
Rapid Transit and Rail Freight	1,847,350.21	-	-	-	229,317.70	32,787.45	72,486.25
Environmental Quality (1972):							
Air	332,071.89	-	-	-	160,000.00	4,000.00	12,224.81
Land and Wetlands	3,713,411.44	-	-	-	146,339.85	12,395.76	102,363.99
Water	21,539,219.61	-	-	-	5,698,859.88	126,668.86	545,497.87
Environmental Quality (1986):							
Land Acquisition/Development/Restoration/Forests	11,764,623.38	-	-	-	1,733,712.34	67,853.98	292,259.55
Solid Waste Management	141,551,354.46	-	-	-	6,337,481.63	1,211,297.97	4,292,639.41
Housing:							
Low Income	13,240,000.00	-	-	-	2,880,000.00	175,300.00	382,800.00
Middle Income	10,520,000.00	-	-	-	2,110,000.00	-	186,238.75
Park and Recreation Land Acquisition	3,238.00	-	-	-	-	-	64.76
Pure Waters	25,549,130.92	-	-	-	4,014,024.54	185,447.78	719,341.48
Rail Preservation Development	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation:							
Highway Facilities	746,780,633.12	-	-	-	746,780,633.12	-	16,755,538.01
Canals and Waterways	12,439,751.76	-	-	-	12,439,751.76	-	295,577.65
Aviation	45,968,154.45	-	-	-	45,968,154.45	-	991,435.12
Rail and Port	76,394,073.31	-	-	-	76,394,073.31	-	1,742,970.83
Mass Transit - Dept. of Transportation	4,454,664.26	-	-	-	4,454,664.26	-	102,567.66
Mass Transit - Metropolitan Transportation Authority	799,411,214.87	-	-	-	799,411,214.87	-	17,671,557.87
Rebuild New York Transportation Infrastructure Renewal:							
Highways, Parkways, and Bridges	1,089,490.04	-	-	-	-	-	26,396.32
Rapid Transit, Rail and Aviation	4,471,947.27	-	-	-	781,006.41	75,608.40	175,013.83
Smart Schools Bond Act	-	-	-	-	-	-	-
Transportation Capital Facilities:							
Aviation	4,390,650.41	-	-	-	628,532.92	60,438.94	151,430.65
Mass Transportation	-	-	-	-	-	-	-
<b>Total General Obligation Bonded Debt</b>	<b>\$ 2,462,614,999.46</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,060,000.00</b>	<b>\$ 62,070,000.00</b>	<b>\$ 4,409,020.23</b>	<b>\$ 57,730,063.19</b>

SCHEDULE 5a

STATE OF NEW YORK  
DEBT SERVICE FUNDS  
FINANCING AGREEMENTS  
FOR THE SEVEN MONTHS ENDED OCTOBER 31, 2017

	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40100-40149)	REVENUE BOND TAX (40152)	SALES TAX REVENUE BOND TAX (40154)	COMBINED TOTALS		\$ INCREASE/ (DECREASE)
								7 MONTHS ENDED OCTOBER 31 2017	2016	
<b>Special Contractual Financing Obligations:</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
Payments to Public Authorities:	-	-	-	-	-	-	-	106,676,912	124,068,975	(17,422,063)
City University Construction	-	106,676,912	-	-	-	-	-	-	-	-
Dormitory Authority:	-	73,976,300	-	-	-	-	-	73,976,300	469,969,923	73,976,300
Consolidated Service Contract Refunding	-	-	-	-	-	-	-	520,712,769	14,206,759	50,712,846
DASNY Revenue Bond	-	-	13,470,076	-	-	397,783,572	122,929,197	13,470,076	69,156,250	(736,683)
Department of Health Facilities	-	-	-	-	64,015,090	-	-	64,015,090	1,616,684	(5,141,160)
Mental Health Facilities	-	-	-	-	-	-	-	-	-	(1,616,684)
Secured Hospital Program	-	2,904,962	-	-	-	-	-	2,904,962	-	2,904,962
SUNY Community Colleges	-	-	-	-	-	-	-	-	-	-
SUNY Educational Facilities	-	-	-	-	-	-	-	-	-	-
Environmental Facilities Corporation	-	-	-	-	-	-	-	-	-	-
Housing Finance Agency	-	26,212,325	-	-	-	2,303,044	-	2,303,044	7,949,487	(5,646,443)
Local Government Assistance Corporation	-	-	-	-	-	7,126,211	-	33,338,536	29,301,511	4,037,025
Metropolitan Transportation Authority:	-	-	-	49,997,782	-	-	-	49,997,782	38,470,761	11,527,021
Transit and Commuter Rail Projects	-	42,043,163	-	-	-	-	-	42,043,163	42,043,433	(270)
Thruway Authority:	-	178,163,517	-	-	-	-	-	178,163,517	164,355,672	13,807,845
Dedicated Highway and Bridge	-	53,845,175	-	-	-	-	-	53,845,175	64,808,460	(11,063,275)
Local Highway and Bridge	-	-	-	-	-	33,752,675	-	33,752,675	46,208,075	(12,455,400)
Transportation	-	-	-	-	-	-	-	-	-	-
Urban Development Corporation:	-	-	-	-	-	-	-	-	-	-
Clarkson University	-	-	-	-	-	-	-	-	-	-
Columbia Univer. Telecommunications Center	-	1,695,175	-	-	-	-	-	1,695,175	-	1,695,175
Consolidated Service Contract Refunding	-	-	-	-	-	-	-	-	-	-
Cornell Univer. Supercomputer Center	-	1,578,900	-	-	-	-	-	1,578,900	-	1,578,900
Correctional Facilities	-	-	-	-	-	-	-	-	-	-
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
Syracuse University Science and Technology Center	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	283,606,001	-	283,606,001	271,586,217	12,019,784
University Facilities Grant 95 Refunding	-	-	-	-	-	-	-	-	-	-
<b>Total Disbursements for Special Contractual Financing Obligations</b>	<b>\$</b>	<b>\$ 487,096,429</b>	<b>\$ 13,470,076</b>	<b>\$ 49,997,782</b>	<b>\$ 64,015,090</b>	<b>\$ 724,571,503</b>	<b>\$ 122,929,197</b>	<b>\$ 1,462,080,077</b>	<b>\$ 1,343,902,197</b>	<b>\$ 118,177,880</b>



**STATE OF NEW YORK**  
**SUMMARY OF THE OPERATING FUND INVESTMENTS**  
**FOR THE MONTH OF OCTOBER 2017**  
**AS REQUIRED OF THE STATE COMPTROLLER**  
(Amounts in millions)

SCHEDULE 6

	OCTOBER 2017	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE OCTOBER 2016
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**SHORT TERM INVESTMENT POOL (\*)**

AVERAGE DAILY INVESTMENT BALANCE (**)	\$ 13,796.9	\$ 10,904.7	\$ 13,276.0
AVERAGE YIELD (**)	1.224%	1.132%	0.491%
TOTAL INVESTMENT EARNINGS	\$ 12.776	\$ 71.763	\$ 35.903

**Month-End Portfolio Balances**

DESCRIPTION	OCTOBER 2017 PAR AMOUNT	OCTOBER 2016 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	-	-
REPURCHASE AGREEMENTS	21.9	33.1
COMMERCIAL PAPER	10,904.7	11,283.4
CERTIFICATES OF DEPOSIT/SAVINGS	3,154.3	1,843.1
0% COMPENSATING BALANCE CDs	1,480.0	5,090.0
	<b>\$ 15,560.9</b>	<b>\$ 18,249.6</b>

(\*) Pursuant to §98 of the State Finance Law, the State Comptroller is authorized to invest and keep invested all moneys, in any fund, held by the State. The Short Term Investment Pool (STIP) represents an accounting mechanism that allows for the separate accounting of individual funds (on deposit in the State's General Checking account) for the purpose of making short term investments. Pursuant to State Finance Law §4(5) the STIP is authorized to temporarily loan to the General Fund-State Operations Account (10050) funds for a period of four months or the end of the fiscal year, whichever is shorter. However, it must be noted that certain funds are invested as part of STIP, but are held by the State Comptroller in a fiduciary capacity. Fiduciary fund balances are restricted and may not be used for any State purposes since moneys in such funds are held by the State in a trustee (or fiduciary) capacity or as an agent for individuals, private organizations, or non-State governmental units (e.g. local governments and public authorities). Therefore, Fiduciary fund balances are not available to be temporarily loaned to the General Fund-State Operations Account. Fiduciary fund balances are presented in Schedules 3 and 4 of this report.

(\*\*) Does not include 0% Compensating Balance CDs.

STATE OF NEW YORK HCRA RESOURCES FUND STATEMENT OF RECEIPTS AND DISBURSEMENTS BY ACCOUNT FISCAL YEAR 2017-2018														APPENDIX A
	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	7 Months Ended October 31, 2017	
OPENING CASH BALANCE	\$ 11,905,507	\$ 11,014,558	\$ 57,385,772	\$ 157,404,386	\$ 180,349,200	\$ 139,926,319	\$ 124,005,879						\$ 11,905,507	
RECEIPTS:														
Cigarette Tax	64,087,125	76,504,194	74,773,288	71,476,691	83,555,794	70,127,435	74,924,658						515,449,095	
State Share of NYC Cigarette Tax	2,421,000	2,432,000	3,097,000	2,871,000	3,288,000	2,592,000	2,263,000						18,984,000	
STIP Interest	141,791	156,153	241,049	269,270	279,692	421,154	257,781						1,766,890	
Public Asset Transfers	-	-	-	-	-	-	-						-	
Assessments	389,230,236	389,467,699	384,757,532	462,750,154	431,211,662	402,886,272	422,921,389						2,883,234,944	
Fees	684,635	866,000	2,352,000	415,000	415,000	890,001	410,999						5,790,134	
Referrals	4,162,737	1,621,381	7,601,278	7,136,952	5,367,985	160,687	9,883,455						36,044,082	
Restitution and Settlements	-	16,777	-	(2,150)	-	-	-						14,627	
Miscellaneous	460,727,524	471,064,269	472,852,447	544,916,457	523,814,632	477,003,881	510,771,279						3,461,150,189	
Total Receipts														
DISBURSEMENTS:														
Grants	360,903,249	505,202,281	369,248,231	510,303,626	564,635,841	481,412,502	441,195,241						3,233,100,971	
Interest - Late Payments	359	534	15	40	468	4	136						1,546	
Personal Service	(203,232)	946,322	925,949	1,008,665	276,616	541,042	1,149,161						4,645,113	
Non-Personal Service	625,977	1,982,212	1,230,145	45,004	3,891,340	481,636	2,705,943						10,951,967	
Employee Benefits/Indirect Costs	-	756,363	98,408	529,181	529,181	308,570	493,779						2,972,615	
Total Disbursements	361,326,353	508,897,612	372,180,354	511,456,733	569,533,436	482,723,754	445,543,960						3,251,672,202	
OPERATING TRANSFERS:														
Transfers to Capital Projects Fund	-	-	-	-	-	-	-						-	
Transfers to General Fund	-	-	21,041	-	-	-	-						21,041	
Transfers to Revenue Bond Tax Fund	-	-	-	-	3,562,200	5,830,080	-						9,412,280	
Transfers to Miscellaneous Special Revenue Fund:														
Administration Program Account	-	-	140,000	-	-	-	121,600						261,600	
Empire State Stem Cell Trust Account	-	15,148,000	-	-	-	3,750,000	-						18,898,000	
Transfers to SUNY Income Fund	292,120	637,443	492,128	514,920	1,121,877	620,487	299,046						3,978,021	
Total Operating Transfers	292,120	15,785,443	653,169	514,920	4,704,077	10,200,567	420,646						32,570,942	
Total Disbursements and Transfers	361,618,473	524,683,055	372,843,523	511,971,653	574,237,513	492,924,321	445,964,606						3,284,243,144	
CLOSING CASH BALANCE	\$ 11,014,558	\$ 57,385,772	\$ 157,404,386	\$ 180,349,200	\$ 138,926,319	\$ 124,005,879	\$ 108,812,552	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 108,812,552	

APPENDIX B

STATE OF NEW YORK  
HCRA RESOURCES FUND  
STATEMENT OF PROGRAM DISBURSEMENTS  
FISCAL YEAR 2017-18

Program/Purpose	Appropriation Amount (*)	April - June	July - September	October	7 Months Ended October 31, 2017 (**)
<b>CENTER FOR COMMUNITY HEALTH PROGRAM</b>	<b>\$ 8,053,000</b>				
ADEPHI UNIVRST CANC SPRT PRG		-	-	-	-
BRST CANCER HOTLINE - ADELPHI		810,378	725,553	189,943	1,725,874
CENTER FOR COMMUNITY HLTH		-	-	-	-
EVIDENCE BASED CANCER SVC		-	-	-	-
FAMILY PLANNING		-	-	-	-
HYPERTENSION PREVENTION TREATMENT		-	-	-	-
INDIAN HEALTH PROGRAM		-	-	-	-
LEAD POISONING PREVENTION		-	-	-	-
MATERNITY AND EARLY CHHOOD FOUNDATION		-	-	-	-
NUTRITION SERVICES/EDUC - PREG WOMEN, CHILDREN		-	-	-	-
PRENATAL CARE ASSISTANCE PROGRAM		-	-	-	-
PUBLIC HEALTH CAMPAIGN		-	-	-	-
RAPE CRISIS		-	-	-	-
SCHOOL BASED HEALTH PROGRAM		-	-	-	-
STATE AID PHYSICALLY HANICAPPED CHILDREN REHAB		-	-	-	-
TOBACCO ENFORCEMENT		-	-	-	-
TUBERCULOSIS		-	-	-	-
<b>CHILD HEALTH INSURANCE PROGRAM</b>	<b>983,547,000</b>	59,307,785	60,600,642	19,137,512	139,045,939
CHILD HEALTH INSURANCE		-	30,000	-	30,000
<b>COMMUNITY SUPPORT PROGRAM</b>	<b>120,000</b>				
COMMUNITY SUPPORT		-	-	-	-
<b>ELDERLY PHARMACEUTICAL INS COVERAGE PRG</b>	<b>290,310,000</b>	26,479,923	39,647,117	12,065,351	78,192,391
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE		-	20,000,000	-	20,000,000
<b>HEALTH CARE REFORM ACT PROGRAM</b>	<b>1,976,482,814</b>	2,555	212,100	-	214,655
AIDS DRUG ASSISTANCE		631,028	989,373	-	1,620,401
AMBULATORY CARE TRAINING		-	-	-	-
AREA HEALTH EDUCATION CENTER		-	-	-	-
COMMISSIONER EMERGENCY DISTRIBUTIONS		-	-	-	-
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE		-	-	-	-
DIVERSITY IN MEDICINE		276,449	218,094	-	494,543
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)		-	-	-	-
HCRA PAYOR/PROVIDER AUDITS		205,100	-	195,122	400,222
HEALTH FACILITY RESTRUCTURING DASNY		19,600,000	-	-	19,600,000
HEALTH WORKFORCE RETRAINING		482,070	702,624	159,859	1,344,353
INFERTILITY SERVICES GRANTS		397,218	102,854	181,090	681,162
MEDICAL INDEMNITY FUND		52,000,000	-	-	52,000,000
PART 405.4 HOSPITAL AUDITS		-	-	-	-
PART 405.4 HOSPITAL AUDITS NYCRR		251,903	62,976	157,440	472,319
PAY FOR PERFORMANCE		-	-	-	-
PHYSICIAN EXCESS MEDICAL MALPRACTICE		-	122,400,000	-	122,400,000
PHYSICIAN LOAN REPAYMENT		426,586	1,947,697	484,952	2,859,235
PHYSICIAN LOAN REPAYMENT AND PRACTICE SUPPORT		-	373,961	46,216	420,177
PHYSICIAN PRACTICE SUPPORT		527,726	2,700,836	250,000	3,478,562
PHYSICIAN WORKFORCE STUDIES		3,119	371,676	-	374,795
POISON CONTROL CENTERS		(1,088,626)	-	-	(1,088,626)
POOL ADMINISTRATION		-	-	1,797,852	1,797,852
ROSWELL PARK CANCER INSTITUTE		16,646,500	16,646,500	16,646,500	49,939,500

APPENDIX B

STATE OF NEW YORK  
HCRA RESOURCES FUND  
STATEMENT OF PROGRAM DISBURSEMENTS  
FISCAL YEAR 2017-18

Program/Purpose	Appropriation Amount (*)	April - June	July - September	October	7 Months Ended October 31, 2017 (**)
RPCI CANC RSRCH OPERATING COSTS	-	-	-	-	-
RURAL HEALTH CARE ACCESS	831,837	2,078,062	458,265	3,368,184	3,368,184
RURAL HEALTH NETWORK	1,465,076	1,197,017	309,088	2,971,181	2,971,181
SCHOOL BASED HEALTH CENTERS	-	-	-	-	-
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	-	-	-	-	-
TOBACCO USE PREVENTION/CONTROL	-	-	-	-	-
TRANSITION ACCT - PRIOR YEAR ALLOCATION	-	-	-	-	-
<b>MEDICAL ASSISTANCE PROGRAM</b>	<b>27,802,837,000</b>				
BREAST AND CERVICAL CANCER	-	-	-	-	-
DISABLED PERSONS	-	-	-	-	-
FAMILY HEALTH PLUS	-	-	-	-	-
FINANCIAL ASSISTANCE	-	-	-	-	-
HOME HEALTH RATE INCREASE	-	-	-	-	-
INPATIENT NURSING HOME PHARMACIES	-	-	-	-	-
MEDICAID INDIGENT CARE	184,685,496	296,292,019	37,826,545	518,804,060	518,804,060
MEDICAL ASSISTANCE	875,081,000	993,241,000	353,394,000	2,221,716,000	2,221,716,000
NYC MEDICAID	-	-	-	-	-
PHYSICIAN SERVICES	-	-	-	-	-
PRIMARY CARE CASE MANAGEMENT	-	-	-	-	-
PSNL CRE WRKR RECR & RETEN NYC (***)	-	-	-	-	-
PSNL CRE WRKR RECR & RETEN ROS (****)	-	-	-	-	-
SUPPLEMENTAL MEDICAL INSURANCE	-	-	-	-	-
<b>OFFICE OF HEALTH INSURANCE PROGRAM</b>	<b>3,834,000</b>				
OFFICE OF HEALTH INSURANCE	73,103	-	-	-	73,103
<b>OFFICE OF HEALTH SYSTEMS MANAGEMENT</b>	<b>58,343,000</b>				
OFFICE HEALTH SYSTEMS MANAGEMENT	4,368,816	4,931,892	1,948,507	11,249,215	11,249,215
<b>OFFICE OF LONG TERM CARE</b>	<b>2,477,800</b>				
ADULT HOME INITIATIVE	-	-	-	-	-
ENABLE AIR CONDITIONING	-	-	-	-	-
ENABLE QUALITY OF LIFE	-	-	-	-	-
QUALITY PROG ADULT CARE FACILITIES	-	-	-	-	-
<b>REVENUE, PROCESSING &amp; RECONCILIATION</b>	<b>8,190,000</b>				
REVENUE, PROCESSING & RECONCILIATION	370,824	499,444	596,780	1,467,048	1,467,048
<b>TOTAL</b>	<b>31,134,194,614</b>	<b>1,243,835,866</b>	<b>1,565,971,437</b>	<b>445,844,822</b>	<b>3,255,652,125</b>
Reclass of SUNY Hospital Disprop Share to Transfer	(1,421,691)	(2,257,283)	(299,047)	(3,978,021)	(3,978,021)
Reconciling Adjustment (P-Card and T-Card)	144	(231)	(1,815)	(1,902)	(1,902)
<b>TOTAL APPROPRIATED AMOUNT</b>	<b>\$ 31,134,194,614</b>	<b>\$ 1,242,414,319</b>	<b>\$ 1,563,713,923</b>	<b>\$ 445,543,960</b>	<b>\$ 3,251,672,202</b>

(\*) Includes amounts appropriated in SFY 2017-18, as well as prior year appropriations that were reappropriated.

(\*\*) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.

(\*\*\*) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.

(\*\*\*\*) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

## APPENDIX C

STATE OF NEW YORK  
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL  
FISCAL YEAR 2017-2018

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2017 OCTOBER	2017-18
<b>OPENING CASH BALANCE</b>	\$ 321,003,359.63	\$ 367,449,263.28	\$ 190,810,610.76	\$ 321,003,359.63
<b>RECEIPTS:</b>				
Patient Services	795,262,236.80	727,022,409.07	409,047,147.46	1,931,331,793.33
Covered Lives	276,359,323.53	228,410,765.93	139,769,760.54	644,539,850.00
Provider Assessments	30,238,811.64	23,167,304.51	13,550,672.37	66,956,788.52
1% Assessments	96,575,074.00	99,951,629.15	35,368,802.00	231,895,505.15
DASNY- MOE/Recast Receivables	-	-	-	-
Interest Income	85,204.82	106,043.51	46,006.48	237,254.81
Unassigned	3,954.00	30,113,997.24	(30,113,419.74)	4,531.50
<b>Total Receipts</b>	<b>1,198,524,604.79</b>	<b>1,108,772,149.41</b>	<b>567,668,969.11</b>	<b>2,874,965,723.31</b>
<b>PROGRAM DISBURSEMENTS:</b>				
Poison Control Centers	-	-	-	-
School Based Health Center Grants	-	-	-	-
ECRIP Distributions	-	-	-	-
<b>Total Program Disbursements</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Excess (Deficiency) of Receipts over Disbursements</b>	<b>1,198,524,604.79</b>	<b>1,108,772,149.41</b>	<b>567,668,969.11</b>	<b>2,874,965,723.31</b>
<b>OTHER FINANCING SOURCES (USES):</b>				
<b>Transfers From Other Pools:</b>				
Medicaid Disproportionate Share	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	11,370,463.00	11,445,834.74	3,654,022.00	26,470,319.74
<b>Transfers From State Funds:</b>				
HCRA Resources Fund	-	-	-	-
<b>Total Other Financing Sources</b>	<b>11,370,463.00</b>	<b>11,445,834.74</b>	<b>3,654,022.00</b>	<b>26,470,319.74</b>
<b>Transfers To Other Pools:</b>				
Medicaid Disproportionate Share	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
<b>Transfers To State Funds:</b>				
HCRA Resources Fund	(946,150,807.97)	(1,033,272,598.66)	(351,766,076.49)	(2,331,189,483.12)
Indigent Care Fund - Matched	(214,702,909.84)	(268,206,462.01)	(66,653,090.55)	(549,562,462.40)
Indigent Care Fund - Unmatched	(2,595,446.33)	4,622,424.00	(4,500,000.00)	(2,473,022.33)
<b>Total Other Financing Uses</b>	<b>(1,163,449,164.14)</b>	<b>(1,296,856,636.67)</b>	<b>(422,919,167.04)</b>	<b>(2,883,224,967.85)</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>46,445,903.65</b>	<b>(176,638,652.52)</b>	<b>148,403,824.07</b>	<b>18,211,075.20</b>
<b>CLOSING CASH BALANCE</b>	<b>\$ 367,449,263.28</b>	<b>\$ 190,810,610.76</b>	<b>\$ 339,214,434.83</b>	<b>\$ 339,214,434.83</b>

Source: HCRA - Office of Pool Administration

## APPENDIX D

STATE OF NEW YORK  
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE  
FISCAL YEAR 2017-2018

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2017 OCTOBER	2017-18
<b>OPENING CASH BALANCE</b>	\$ 12,872,408.47	\$ 426.75	\$ 2,221.29	\$ 12,872,408.47
<b>RECEIPTS:</b>				
Interest Income	4,703.90	3,245.73	575.98	8,525.61
<b>Total Receipts</b>	<b>4,703.90</b>	<b>3,245.73</b>	<b>575.98</b>	<b>8,525.61</b>
<b>PROGRAM DISBURSEMENTS:</b>				
Indigent Care	(218,578,479.58)	(253,513,970.51)	(4,500,000.00)	(476,592,450.09)
High Need Indigent Care	-	-	-	-
Other	1,253,689.14	-	-	1,253,689.14
<b>Total Program Disbursements</b>	<b>(217,324,790.44)</b>	<b>(253,513,970.51)</b>	<b>(4,500,000.00)</b>	<b>(475,338,760.95)</b>
<b>Excess (Deficiency) of Receipts over Disbursements</b>	<b>(217,320,086.54)</b>	<b>(253,510,724.78)</b>	<b>(4,498,424.02)</b>	<b>(475,330,235.34)</b>
<b>OTHER FINANCING SOURCES (USES):</b>				
<b>Transfers From Other Pools:</b>				
Public Goods Pool	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
<b>Transfers From State Funds:</b>				
HCRA Resources Indigent Care - Matched	107,351,454.93	134,103,231.01	33,326,545.28	274,781,231.22
HCRA Resources Indigent Care - Unmatched	3,875,569.74	(2,311,212.00)	4,500,000.00	6,064,357.74
HCRA Resources Indigent Care - ATB	-	-	-	-
Federal DHHS Fund	107,351,454.91	134,103,231.00	33,326,545.27	274,781,231.18
Other	-	-	-	-
<b>Total Other Financing Sources</b>	<b>218,578,479.58</b>	<b>265,895,250.01</b>	<b>71,153,090.55</b>	<b>555,626,820.14</b>
<b>Transfers To Other Pools:</b>				
Public Goods Pool	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
<b>Transfers To State Funds:</b>				
HCRA Resources Fund Indigent Care Acct	(14,130,374.76)	(12,382,730.69)	(2,221.29)	(26,515,326.74)
<b>Total Other Financing Uses</b>	<b>(14,130,374.76)</b>	<b>(12,382,730.69)</b>	<b>(2,221.29)</b>	<b>(26,515,326.74)</b>
<b>Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses</b>	<b>(12,871,981.72)</b>	<b>1,794.54</b>	<b>66,651,445.24</b>	<b>53,781,258.06</b>
<b>CLOSING CASH BALANCE</b>	\$ 426.75	\$ 2,221.29	\$ 66,653,666.53	\$ 66,653,666.53

Source: HCRA - Office of Pool Administration



## APPENDIX E

STATE OF NEW YORK  
SUMMARY OF OFF-BUDGET SPENDING REPORT  
FISCAL YEAR 2017-2018  
(Amounts in thousands)

	2017 APRIL	2017 MAY	2017 JUNE	2017 JULY	2017 AUGUST	2017 SEPTEMBER	2017 OCTOBER	2017 NOVEMBER	2017 DECEMBER	2018 JANUARY	2018 FEBRUARY	2018 MARCH	2017-2018 TOTAL
<b>DORMITORY AUTHORITY:</b>													
Education - All Other	\$ 1,891	\$ 3,913	\$ 53	\$ 197	\$ -	\$ -	-	-	-	-	-	\$ -	-
Education - EXCEL	(1)	-	-	-	4	-	-	-	-	-	-	-	6,054
Department of Health - All Other	-	-	-	1	-	-	-	-	-	-	-	-	4
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	388	-	-	-	-	-	-	388
Regional Development	61	470	949	340	700	468	-	-	-	-	-	-	2,988
Community Capital Assistance Program (CCAP)/RESTORE	-	-	-	-	-	-	-	-	-	-	-	-	-
Multi-modal	-	-	-	-	-	-	-	-	-	-	-	-	-
GenYsis	-	-	-	-	-	-	-	-	-	-	-	-	-
CUNY Senior Colleges	16,538	30,372	25,883	13,661	35,743	11,261	-	-	-	-	-	-	133,458
CUNY Community Colleges	4,984	8,266	6,734	5,738	4,474	3,259	-	-	-	-	-	-	33,465
SUNY Dormitories	-	-	-	-	-	442	-	-	-	-	-	-	442
Upstate Community Colleges	526	11,310	6,108	3,342	7,448	2,923	-	-	-	-	-	-	31,657
Mental Health	3,862	18,208	10,662	9,111	17,678	2,156	-	-	-	-	-	-	61,677
Developmental Disabilities	1,063	1,187	1,251	759	1,042	421	-	-	-	-	-	-	5,723
Alcoholism and Substance Abuse	35	384	130	229	275	258	-	-	-	-	-	-	1,311
Brooklyn Court Officer Training Academy	161	2,554	659	1,323	1,036	-	-	-	-	-	-	-	5,733
<b>TOTAL DORMITORY AUTHORITY</b>	<b>29,120</b>	<b>76,664</b>	<b>52,429</b>	<b>34,701</b>	<b>68,400</b>	<b>21,576</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>282,690</b>
<b>EMPIRE STATE DEVELOPMENT CORP:</b>													
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Centers of Excellence	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)	-	150	1	-	-	-	-	-	-	-	-	-	151
Empire Opportunity	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Enhancement Facilities Assistance Program (CEFAP)	500	-	-	-	-	-	-	-	-	-	-	-	500
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>TOTAL EMPIRE STATE DEVELOPMENT CORP</b>	<b>500</b>	<b>150</b>	<b>1</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>651</b>
<b>TOTAL OFF-BUDGET</b>	<b>\$ 29,620</b>	<b>\$ 76,814</b>	<b>\$ 52,430</b>	<b>\$ 34,701</b>	<b>\$ 68,400</b>	<b>\$ 21,576</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 283,341</b>

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	July 31, 2017	August 31, 2017	September 30, 2017	Change	October 31, 2017
10050	GENERAL FUND					
	STATE OPERATIONS AND LOCAL ASSISTANCE					
	TOTAL GENERAL FUND	\$ -	\$ -	\$ -	\$ -	\$ -
<b>CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS</b>						
30051	HIGHWAY AND BRIDGE CAPITAL	101,483,892.80	90,971,313.47	346,497,257.37	(95,531,659.22)	250,965,598.15
30053	AVIATION PURPOSE ACCOUNT	564,659.53	1,643,897.61	2,185,801.59	263,800.99	2,449,602.58
30101	REHAB/REPAIR MARITIME	-	-	-	-	-
30102	D21RVE - MARITIME	-	-	-	-	-
30103	D26RVE - 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	D09RVE - 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	D25RVE - PURCHASE	-	-	-	-	-
30141	REHAB/REPAIR FOR UTCAROME	-	722,161.85	722,676.17	(722,676.17)	-
30142	D27RVE - CAMPUS RESERVE	-	-	-	-	-
30143	REHAB/REPAIR ALFRED	-	-	-	-	-
30144	D22RVE - ALFRED	-	-	-	-	-
30145	REHAB/REPAIR CANTON	-	-	-	-	-
30146	D23RVE - CANTON	-	-	-	-	-
30147	REHAB/REPAIR COBLESKILL	-	-	-	-	-
30148	D24RVE - COBLESKILL	-	-	-	-	-
30149	REHAB/REPAIR DELHI	-	-	-	-	-
30150	D25RVE - DELHI	-	-	-	-	-
30151	REHAB/REPAIR FARMINGDALE	-	-	-	-	-
30152	D26RVE - FARMINGDALE	-	-	-	-	-
30153	REHAB/REPAIR MORRISVILLE	-	-	-	-	-
30154	D27RVE - MORRISVILLE	-	-	-	-	-
30351	STATE PARK INFRASTRUCTURE	36,027,836.85	44,741,458.17	33,203,486.91	11,962,901.96	45,166,388.87
30501	CW/CA IMPLEMENTATION DEC	-	-	-	-	-
30502	CW/CA IMPLEMENTATION STATE	-	-	-	-	-
30503	CW/CA IMPLEMENTATION ERDA	-	-	-	-	-
30504	CW/CA IMPLEMENTATION EFC	-	-	-	-	-
31506	HAZARDOUS WASTE CLEAN UP	104,532,766.63	110,139,285.92	117,175,022.40	13,021,763.47	130,196,785.87
31701	YOUTH FACILITIES IMPROVEMENT	20,812,469.52	22,824,747.26	24,829,823.04	3,327,497.05	28,157,320.09
31801	HOUSING ASSISTANCE	13,630,607.54	13,630,607.54	13,630,607.54	-	13,630,607.54
31851	HOUSING PROG FD-HSG TR FD CORP	-	-	-	-	-
31852	HOUSING PROG FD-AFFORD HSG CORP	38,407,043.54	38,407,043.54	46,996,088.54	750,000.00	47,746,088.54
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	108,060,546.17	123,810,546.17	123,810,546.17	-	123,810,546.17

APPENDIX F

**STATE OF NEW YORK  
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(\*)**

SFS Fund	ACCOUNT TITLE	July 31, 2017	August 31, 2017	September 30, 2017	Change	October 31, 2017
31854	HOUSING PROG FD-HFA	-	-	-	-	-
31951	HIGHWAY FAC PURPOSE	12,533,355.11	12,533,355.11	12,533,355.11	(53,965.74)	12,479,389.37
32213	NY RACING ACCOUNT	153,750.00	153,750.00	153,750.00	-	153,750.00
32214	CAPITAL PROJECTS MISC GIFTS	-	-	-	-	-
32215	IT CAPITAL FINANCING ACCT	3,622,432.61	3,625,355.27	4,688,005.62	4,157.67	4,692,163.29
32301	OPWDD-STATE FACILITIES PRE 1289	-	-	-	-	-
32302	DSAS-COMMUNITY FACILITIES	-	175,983,594.59	181,682,298.86	(725,639.70)	180,956,659.16
32303	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32304	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32305	QASAS-COMMUNITY FACILITIES	254,442,119.36	255,742,119.36	257,991,336.09	650,000.00	258,641,336.09
32306	DASNY - OMH ADMIN	19,122,565.71	19,122,565.71	19,122,565.71	-	19,122,565.71
32307	DASNY - OPWDD ADMIN	6,260,976.11	6,260,976.11	6,260,976.11	-	6,260,976.11
32308	DASNY - QASAS ADMIN	1,026,583.90	1,026,583.90	1,026,583.90	405,000.00	1,431,583.90
32309	OMH - STATE FACILITIES	99,941,541.66	81,297,610.03	93,586,135.14	7,165,884.96	100,752,020.10
32310	OPWDD - STATE FACILITIES	-	-	-	-	-
32311	QASAS - STATE FACILITIES	2,251,634.06	2,288,375.78	854,937.15	-	854,937.15
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	-	-	-	-	-
32352	DOCS-REHABILITATION PROJECTS	272,115,969.72	293,648,953.19	326,774,400.64	21,670,253.91	348,444,654.55
33001	STORM RECOVERY ACCOUNT	64,403,937.53	65,001,667.46	67,139,598.18	(4,303,888.68)	62,835,709.50
	<b>TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS</b>	<b>1,343,061,549.64</b>	<b>1,363,675,950.04</b>	<b>1,680,865,254.24</b>	<b>(42,116,769.50)</b>	<b>1,638,748,484.74</b>
<b>STATE SPECIAL REVENUE FUNDS</b>						
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	91,934,399.88	-	19,563,783.08	19,137,511.94	38,701,295.02
20816	EPIC PREMIUM ACCOUNT	13,678,867.87	-	9,950,113.53	1,660,999.09	11,591,012.62
20901	LOTTERY-EDUCATION	-	-	1,345,977,086.17	(139,390,727.96)	1,206,586,358.19
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	3,713,947.45	3,817,731.39	3,849,649.33	88,743.08	3,938,392.41
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	2,672,343.12	284,982.92	931,283.40	732,147.87	1,663,431.27
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	3,980,049.15	4,303,467.85	3,867,743.44	234,537.11	4,102,280.55
21067	ENCON-RECREATION	6,009,316.26	5,486,057.61	4,950,806.80	(1,281,391.54)	3,669,415.26
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	39,361,990.51	42,171,161.24	41,771,870.67	(6,703,318.53)	35,068,552.14
21082	NATURAL RESOURCES ACCOUNT	16,263,525.29	16,366,902.80	15,691,382.47	64,176.70	15,755,559.17
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	369,816.66	412,273.60	454,346.37	46,545.72	500,892.09
21202	HEALTH DEPT OIL SPILL	97,851.42	143,869.59	160,197.85	41,757.50	201,955.35
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	5,732,601.67	8,550,874.39	9,495,950.04	2,632,299.54	12,128,249.58
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	-	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	4,146,171.08	164,616,765.87	94,620,193.71	11,641,882.59	106,262,076.30
21451	OPERATING PERMIT PROGRAM	22,781,531.28	23,959,146.03	24,129,597.53	(3,861,556.50)	20,268,041.03
21452	MOBILE SOURCE	-	714,112.12	-	-	-
21902	HEALTH-SPARC'S	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	1,933,566.52	789,201.78	736,630.87	(736,630.87)	-
21907	MENTAL HYGIENE PROGRAM	193,324,890.47	43,082,837.98	145,197,698.39	89,895,346.76	235,093,045.15
21909	FINANCIAL CONTROL BOARD	-	-	-	-	-
21911	RACING REGULATION ACCOUNT	400,970.44	588,064.20	742,949.88	(406,740.00)	336,209.88
21912	NY METROPOLITAN TRANSPORTATION COUNCIL	4,136,709.61	4,775,637.69	4,119,361.39	(131,579.25)	3,987,482.14
21913	SU DORM INCOME REIMBURSE	22,645,469.40	23,405,275.60	18,292,577.21	-	18,292,577.21
21937	CRIMINAL JUSTICE IMPROVEMENT	320,960.81	1,180,626.22	941,174.83	(941,174.83)	-
21945	ENV LAB REF FEE	-	-	-	-	-
21959	CLINICAL LAB FEE	-	-	-	-	-
21962	INDIRECT COST RECOVERY	12,076,082.16	11,545,977.09	11,882,753.87	(1,583,336.44)	10,299,417.43
21976	HIGH SCHOOL EQUIVALENCY PROGRAM	-	470,112.08	-	-	-
21979	MULTI- AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	BELL JAR COLLECTION ACCOUNT	-	-	-	-	-
22004	INDUSTRY AND UTILITY SERVICE	-	-	-	-	-
22006	REAL PROPERTY DISPOSITION	-	-	-	-	-
22007	PARKING ACCOUNT	-	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	202,128.96	235,314.51	232,586.92	27,942.28	260,529.20
22032	BATAVIA SCHOOL FOR THE BLIND	6,797,712.53	7,371,712.05	8,927,285.65	546,887.57	9,474,163.22
22034	INVESTMENT SERVICES	-	-	-	-	-
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-
22039	FINANCIAL OVERSIGHT	164,589.30	713,802.89	882,485.62	(706,863.00)	175,622.62
22046	REGULATION INDIAN GAMING	66,371,560.83	68,106,397.47	68,049,488.74	957,358.66	69,006,847.40

APPENDIX F

**STATE OF NEW YORK  
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(\*)**

SFS Fund	ACCOUNT TITLE	July 31, 2017	August 31, 2017	September 30, 2017	October 31, 2017	Change
22053	ROME SCHOOL FOR THE DEAF	876,215.11	1,276,940.33	2,417,931.34	462,458.11	2,880,389.45
22054	DSP-SEIZED ASSETS	6,331,596.04	6,221,898.70	6,201,400.36	(212,780.49)	5,988,619.87
22055	ADMINISTRATIVE ADJUDICATION	11,738,501.25	9,949,044.93	8,359,760.18	(764,319.74)	7,595,440.44
22056	FEDERAL SALARY SHARING	557,525.80	1,009,880.04	1,102,377.59	378,942.20	1,481,319.79
22062	NYC ASSESSMENT ACCT	-	-	-	-	-
22063	CULTURAL EDUCATION ACCOUNT	1,757,843.07	2,782,551.35	2,108,136.99	(1,049,211.16)	1,058,925.83
22078	LOCAL SERVICE ACCOUNT	-	-	-	-	-
22085	DMCR MORTGAGE SERVICES	7,457,990.65	7,659,859.62	7,870,309.26	332,430.18	8,202,739.44
22087	DMV-COMPULSORY INS PRGM	646,762.72	646,762.72	646,762.72	-	646,762.72
22090	HOUSING INDIRECT COST RECOVERY	1,913,704.09	2,161,718.85	2,002,314.36	282,689.02	2,285,003.38
22100	DMCR-HOUSING CREDIT AGENCY APPLY FEE	2,429,168.90	2,622,164.37	2,594,132.04	353,963.33	2,948,095.37
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-
22135	EPC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONTROSE VETERAN'S HOME	-	-	-	-	-
22151	DEFERRED COMPENSATION ADMIN	144,901.63	79,134.13	108,103.20	88,431.29	196,534.49
22156	RENT REVENUE OTHER - NYC	555,506.76	177,314.38	173,654.00	24,838.52	198,482.52
22158	TAX REVENUE	-	-	-	-	-
22168	TAX REVENUE ARREARAGE ACCOUNT	19,601,690.13	19,619,119.84	19,639,112.11	17,901.49	19,657,013.60
22654	S.U. NON-RESIDENT REV. OFFSET	-	-	-	-	-
22751	LAKE GEORGE PARK TRUST FUND	-	-	-	-	-
22802	STATE POLICE MV ENFORCE	-	-	-	-	-
23001	DOT - HIGHWAY SAFETY PRGM	9,657,682.14	9,932,876.60	9,883,339.44	138,185.92	10,021,525.36
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	35,308,728.45	37,534,105.37	40,086,063.01	2,555,751.93	42,641,814.94
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-
23702	COMMERCIAL GAMING REGULATION	5,772,463.28	6,208,813.77	6,371,201.31	472,281.93	6,843,483.24
23800	INTERSTATE RECIPROCIITY FOR POST SEC DIST ED	-	-	-	-	-
23801	HIGHWAY USE TAX ADMIN.	-	-	-	-	-
	<b>TOTAL STATE SPECIAL REVENUE FUNDS</b>	<b>629,168,292.49</b>	<b>546,231,239.67</b>	<b>1,950,314,525.37</b>	<b>(24,954,020.00)</b>	<b>1,925,360,505.37</b>
<b>FEDERAL FUNDS</b>						
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	10,240,831.90	2,833,524.14	2,900,831.39	588,388.00	3,489,219.39
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	326,497,292.66	178,660,224.10	426,175,424.89	528,429,520.70	954,604,945.59
25200-25249	FEDERAL EDUCATION GRANTS FUND	9,729,007.53	9,283,433.96	33,858,745.47	(6,586,769.81)	29,291,975.66
25250-25299	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-
25300-25899	FEDERAL OPERATING GRANTS FUND	406,384,030.60	485,231,026.99	500,431,172.66	7,024,388.20	507,455,560.86
31351	MILITARY AND NAVAL AFFAIRS	8,952,840.00	8,813,057.21	8,813,057.21	217,483.43	9,030,540.64
31354	DEPARTMENT OF TRANSPORTATION	355,221,213.64	360,263,298.14	360,892,666.64	59,297,156.11	420,189,822.75
31350-31449	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	76,699,251.51	111,322,211.51	111,322,211.51	10,849,105.14	122,171,316.65
25900-25949	UNEMPLOYMENT INSURANCE ADMINISTRATION	9,901,327.87	5,650,765.66	3,798,779.81	4,077,846.83	7,876,626.64
25950	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	-	404,071.85	547,553.85	(109,486.25)	438,067.60
26001-26049	DOL EMPLOYMENT AND TRAINING GRANTS	15,599,544.44	1,906,945.80	975,987.46	3,271,810.72	4,247,798.18
	<b>TOTAL FEDERAL FUNDS</b>	<b>1,219,225,394.15</b>	<b>1,147,582,994.51</b>	<b>1,451,716,430.89</b>	<b>607,079,443.07</b>	<b>2,058,795,873.96</b>
<b>AGENCY FUNDS</b>						
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-
	<b>TOTAL AGENCY FUNDS</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>ENTERPRISE FUND</b>						
50318	OGS CONVENTION CENTER ACCOUNT	108,389.64	261,498.42	254,274.34	51,409.62	305,683.96
50327	EMPIRE PLAZA GIFT SHOP	165,016.85	192,362.18	199,868.24	(101,771.65)	98,096.59
	<b>TOTAL ENTERPRISE FUND</b>	<b>273,406.49</b>	<b>453,860.60</b>	<b>454,142.58</b>	<b>(50,362.03)</b>	<b>403,780.55</b>
<b>INTERNAL SERVICE FUNDS</b>						
55001	CENTRALIZED SERVICES-FLEET MGMT	943,588.62	1,123,320.38	1,157,603.25	130,334.31	1,287,937.56
55002	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-
55003	CENTRALIZED SERVICES-PRINTING	974,275.43	1,940,710.53	1,795,214.55	(41,404.05)	1,753,810.50
55004	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	-	-	-	-	-
55005	CENTRALIZED SERVICES-DONATED FOODS	-	-	-	-	-
55006	CENTRALIZED SERVICES-PERSONAL PROPERTY	533,155.44	1,777,036.38	751,594.29	(342,937.85)	408,656.44
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	6,115,788.69	14,546,114.62	5,274,680.77	3,888,709.22	9,163,389.99
55008	CENTRALIZED SERVICES-PASNY	-	-	-	-	-
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	-	-	-	-	-
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	4,747,541.03	7,621,700.94	7,430,318.61	1,130,883.19	8,561,201.80
55011	CENTRALIZED SERVICES-INSURANCE	2,715,588.71	879,494.32	737,494.52	(737,494.52)	210,224.29
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	216,382.37	193,813.37	149,026.13	61,198.16	210,224.29
55013	CENTRALIZED SERVICES-COP'S	-	-	-	-	-
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55015	CENTRALIZED SERVICES-HOMER FOLKS	-	-	-	-	-
55016	CENTRALIZED SERVICES-HMICS	26,961.54	26,961.54	26,961.54	-	26,961.54
55017	DOWNSTATE WAREHOUSE	111,812.41	-	-	107,510.93	107,510.93

APPENDIX F

**STATE OF NEW YORK  
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(\*)**

SFS Fund	ACCOUNT TITLE	July 31, 2017	August 31, 2017	September 30, 2017	Change	October 31, 2017
55018	BUILDING ADMINISTRATION	1,568,435.61	3,209,504.22	4,070,066.85	1,483,126.97	5,553,193.82
55019	LEASE SPACE INITIATIVE	-	-	-	-	-
55020	OGS ENTERPRISE CONTRACTING ACCT	43,023,583.83	48,956,675.92	57,085,675.07	(7,939,413.33)	49,146,261.74
55021	NYS MEDIA CENTER	4,051,875.23	4,282,460.02	4,215,269.41	(579,502.26)	3,635,767.15
55022	BUSINESS SERVICES CENTER	-	-	193,768.78	909,006.84	1,102,775.62
55052	ARCHIVES RECORD MGMT I.S.	-	-	-	-	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	-	-	-	-	-
55057	BANKING SERVICES ACCOUNT	4,070.21	16,648.99	179,502.58	(107,752.74)	71,749.84
55058	CULTURAL RESOURCE SURVEY	4,107,696.07	4,245,555.51	3,924,927.18	54,956.51	3,979,883.69
55059	NEIGHBOR WORK PROJECT	13,432,346.70	12,426,097.28	13,130,446.52	754,592.43	13,885,038.95
55060	AUTOMATIC/PRINT CHARGEBACKS	3,067,062.25	1,681,226.31	-	-	-
55061	OFT NYT ACCT	2,996,391.77	2,489,695.36	2,162,478.84	241,716.39	2,404,195.23
55062	DATA CENTER ACCOUNT	55,407,052.28	55,274,037.87	55,338,719.27	55,338,719.27	55,274,037.87
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	236,398.89	248,083.17	284,132.38	(62,206.29)	221,926.09
55069	CENTRALIZED TECHNOLOGY SERVICES	73,976,710.36	73,660,831.01	75,049,885.67	1,004,976.77	76,054,842.44
55071	LABOR CONTACT CENTER ACCT	84,853.36	345,239.84	-	65,484.27	65,484.27
55072	HUMAN SERVICES CONTACT CNTR ACCT	2,776,485.17	3,509,909.03	1,719,556.60	(1,719,556.60)	-
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	6,659,296.66	6,850,521.78	7,034,936.44	184,281.96	7,219,218.40
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	18,617,108.37	18,449,021.84	20,776,800.51	1,361,836.39	22,138,636.90
55300	HEALTH INSURANCE INTERNAL SERVICE	1,925,009.34	2,686,661.66	4,123,175.71	712,207.51	4,835,383.22
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	10,247,258.12	10,361,644.92	9,900,952.71	(222,393.72)	9,678,558.99
55350	CORR INDUSTRIES INTERNAL SERVICE	23,057,571.70	23,950,874.60	28,019,305.45	736,905.75	28,756,211.20
	<b>TOTAL INTERNAL SERVICE FUNDS</b>	<b>282,885,914.43</b>	<b>302,217,478.68</b>	<b>305,794,057.90</b>	<b>1,010,384.84</b>	<b>306,804,442.74</b>
	<b>GRAND TOTAL - TEMPORARY LOANS OUTSTANDING</b>	<b>\$ 3,474,614,503.20</b>	<b>\$ 3,360,161,523.50</b>	<b>\$ 5,389,144,410.98</b>	<b>\$ 540,968,676.38</b>	<b>\$ 5,930,113,087.36</b>

(\*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 59, Part XXX, Section 1, of the Laws of 2017-18. The loans represent authorizations made by the Legislature to allow certain funds/accounts to make appropriated payments regardless of the fund (cash) balance. Such loans are made from the State's Short-Term Investment Pool (STIP) and are intended to satisfy temporary cash shortfalls whenever scheduled disbursements exceed available revenues during the fiscal year. Generally, temporary loans are repaid from the first cash receipts of the fund or account; however, in some cases actual revenues are not sufficient to repay all loans made to the fund or account and a transfer from the General Fund "Repayment of Receivables" appropriation is approved by the Budget Director. The balances reported here in Appendix F are the actual fund balances as of the close of business on the last day of the reporting month and do not include post-closing adjustments. Please refer to Schedule 1 for a detailed analysis of the "reported" cash balances of the fund group.

(\*\*) Temporary loans to federal funds are typically reimbursed within 2-3 days. Such loans are made pursuant to federal regulations which require the State to disburse funds prior to making a reimbursement claim from the U.S. Treasury.

(\*\*\*) Per Section 72 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).

STATE OF NEW YORK  
DEDICATED INFRASTRUCTURE INVESTMENT FUND (\*)  
STATEMENT OF RECEIPTS AND DISBURSEMENTS  
FISCAL YEAR 2017-2018

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	7 Months Ended October 31, 2017
<b>OPENING CASH BALANCE</b>	\$ 82,648,114	\$ 78,337,543	\$ 156,014,946	\$ 207,598,719	\$ 216,339,642	\$ 178,926,646	\$ 143,041,643						\$ 82,648,114
<b>RECEIPTS:</b>													
Transfers from General Fund (**)	50,000,000	100,000,000	155,000,000	75,000,000	75,000,000	150,000,000	81,700,000						686,700,000
Total Receipts	50,000,000	100,000,000	155,000,000	75,000,000	75,000,000	150,000,000	81,700,000						686,700,000
<b>DISBURSEMENTS:</b>													
Affordable and Homeless Housing	42,537,265	6,383,689	8,705,572	-	-	18,741,165	22,550,000						98,917,691
Broadband Initiative	-	1,224,698	1,016,350	146,236	1,435,029	-	-						3,583,907
Emergency Statewide Initiatives	512,404	1,515,583	4,185,522	18,498,256	12,959,063	11,345,666	22,159,263						7,884,547
Energy State Policy Reduction Initiatives	385,601	51,781	183,502	71,027	639,043	277,521	280,970						1,899,445
Information Technology/Infrastructure for Behavioral Sciences	-	-	89,258	85,607	96,470	64,187	50,628						396,150
Infrastructure Improvements	2,051,211	2,824,038	1,290,646	790,983	1,792,565	1,786,987	376,038						10,912,468
Jacob Javits Center Expansion	-	-	48,520,000	790,983	1,792,565	90,647,288	20,960,000						139,167,288
Municipal Restructuring / Consolidation Competition	673,068	769,694	268,094	117,667	123,702	900,000	-						23,812,215
Penn Station Access	-	-	-	-	-	-	-						-
Resiliency, Mitigation, Security and Emergency Response	501,707	4,682,318	3,374,872	10,725,455	3,954,132	3,515,891	6,335,363						33,089,738
Southern Tier / Hudson Valley Farm Initiative	305,295	1,101,761	-	1,673,958	97,294	7,178,905	117,310						10,474,523
Thruway Stabilization Program	7,341,020	3,710,845	15,439,557	7,781,708	38,815,908	16,316,596	23,743,351						113,148,975
Transformative Economic Development Projects	-	-	-	-	1,500,000	-	-						1,500,000
Transportation Capital Plan	-	-	1,498,169	-	-	14,976,965	-						16,475,134
Upstate Renovation Program	-	-	19,090,000	26,330,173	51,000,000	20,000,000	1,669,827						118,050,000
Total Disbursements	54,310,571	22,322,597	103,456,227	66,219,077	112,412,996	185,885,003	98,250,740						642,857,211
<b>OPERATING TRANSFERS:</b>													
Transfers to General Fund	-	-	-	-	-	-	-						-
Total Operating Transfers	-	-	-	-	-	-	-						-
Total Disbursements and Transfers	54,310,571	22,322,597	103,456,227	66,219,077	112,412,996	185,885,003	98,250,740						642,857,211
<b>CLOSING CASH BALANCE</b>	\$ 78,337,543	\$ 156,014,946	\$ 207,598,719	\$ 216,339,642	\$ 178,926,646	\$ 143,041,643	\$ 126,490,903	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 126,490,903

(\*) 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

## Interim Financial Report Governmental Funds

For the six months ended September 30, 2017

*(Pursuant to Section 8(9a) of the State Finance Law)*



**Office of the New York State Comptroller  
Thomas P. DiNapoli, Comptroller**

**Bureau of Financial Reporting and Oil Spill Remediation**

<b>STATE OF NEW YORK</b> Combined Balance Sheet Governmental Funds September 30, 2017 (Amounts in thousands)(Unaudited)
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	General	Federal Special Revenue	Special Revenue	Debt Service	Capital Projects
<b>ASSETS:</b>					
Cash and investments.....	\$ 6,222,336	\$ 522,368	\$ 3,540,133	\$ 1,112,060	\$ 1,562,944
Receivables, net of allowances for uncollectibles:					
Taxes.....	7,716,941	-	747,292	2,434,953	49,040
Due from Federal government.....	20	8,233,307	-	3,701	545,191
Other.....	916,942	481,458	745,559	88,228	527,984
Due from other funds.....	2,943,702	47,945	54,998	219,857	151,501
Other assets.....	1,325,613	48,159	9,300	-	8,448
<b>Total assets.....</b>	<b>\$ 19,125,554</b>	<b>\$ 9,333,237</b>	<b>\$ 5,097,282</b>	<b>\$ 3,858,799</b>	<b>\$ 2,845,108</b>
<b>LIABILITIES:</b>					
Tax refunds payable.....	\$ 6,674,872	\$ -	\$ 606,131	\$ 1,880,925	\$ 22,438
Accounts payable.....	247,043	74,903	8,333	15,598	322,052
Accrued liabilities.....	2,628,144	2,822,154	24,236	11,308	84,396
Payable to local governments.....	3,201,087	3,919,633	3,075,159	171,693	66,065
Due to other funds.....	3,584,843	1,016,957	134,686	260,213	1,641,629
Pension contributions payable.....	331,387	-	-	-	-
Unearned revenues.....	135,915	666,381	-	2,536	516
<b>Total liabilities.....</b>	<b>16,803,291</b>	<b>8,500,028</b>	<b>3,848,545</b>	<b>2,342,273</b>	<b>2,137,096</b>
DEFERRED INFLOWS OF RESOURCES.....	795,406	822,303	117,134	147,438	30,995
<b>FUND BALANCES:</b>					
Restricted.....	-	10,906	826,097	802,546	88,743
Committed.....	641,868	-	2,812,030	566,542	859,322
Assigned.....	4,810,335	-	5,929	-	36,943
Unassigned.....	(3,925,346)	-	(2,512,453)	-	(307,991)
<b>Total fund balances.....</b>	<b>1,526,857</b>	<b>10,906</b>	<b>1,131,603</b>	<b>1,369,088</b>	<b>677,017</b>
<b>Total liabilities, deferred inflows of resources and fund balances.....</b>	<b>\$ 19,125,554</b>	<b>\$ 9,333,237</b>	<b>\$ 5,097,282</b>	<b>\$ 3,858,799</b>	<b>\$ 2,845,108</b>

See accompanying notes to the financial statements.

**STATE OF NEW YORK**  
**Combined Statement of Revenues, Expenditures and Changes in Fund Balances (Deficits)**  
**Governmental Funds**  
**For the Six Months Ended September 30, 2017**  
**(Amounts in thousands)(Unaudited)**

	General		Federal Special Revenue		Special Revenue		Debt Service		Capital Projects	
	Quarter Ended September 30, 2017	6 mos. Ended September 30, 2017	Quarter Ended September 30, 2017	6 mos. Ended September 30, 2017	Quarter Ended September 30, 2017	6 mos. Ended September 30, 2017	Quarter Ended September 30, 2017	6 mos. Ended September 30, 2017	Quarter Ended September 30, 2017	6 mos. Ended September 30, 2017
<b>REVENUES:</b>										
Transfers from other funds.....	\$ 11,502,881	\$ 22,460,097	\$ -	\$ -	\$ 1,236,460	\$ 2,327,790	\$ 4,678,192	\$ 9,670,649	\$ 375,300	\$ 612,393
Federal grants.....	62	447	15,089,290	29,225,937	1,627,562	2,773,557	17,440	17,440	509,899	903,143
Miscellaneous.....	1,557,196	2,819,484	20,318	65,051	-	-	78,436	79,014	633,451	1,230,268
Total revenues.....	13,060,139	25,280,028	15,109,608	29,290,988	2,864,022	5,101,347	4,774,068	9,776,103	1,518,650	2,745,804
<b>EXPENDITURES:</b>										
Local assistance grants.....	7,992,672	22,625,213	14,126,642	27,293,299	3,995,561	10,040,757	-	-	1,055,938	1,859,745
State operations.....	4,694,126	8,982,108	495,726	1,019,456	93,737	209,326	20,291	27,194	-	-
Debt service, including payments on financing arrangements.....	-	-	-	-	-	-	920,876	2,449,275	-	-
Capital construction.....	-	-	-	-	-	-	-	-	1,502,104	2,887,974
Total expenditures.....	12,686,798	31,607,321	14,622,368	28,312,755	4,089,298	10,250,083	941,167	2,476,469	2,558,042	4,747,719
Excess (deficiency) of revenues over expenditures.....	373,341	(6,327,293)	487,240	978,233	(1,225,276)	(5,148,736)	3,832,901	7,299,634	(1,039,392)	(2,001,915)
<b>OTHER FINANCING SOURCES (USES):</b>										
Transfers from other funds.....	4,367,854	9,875,175	-	-	924,784	1,906,948	767,358	1,436,224	64,816	1,457,148
Refunding debt issued.....	(1,485,512)	(4,307,282)	(497,319)	(987,691)	(21,843)	(151,877)	(4,580,334)	(10,099,940)	103,362	(464,150)
Payments to escrow agents for refundings.....	-	-	-	-	-	-	1,067,950	1,067,950	-	-
Premiums on bonds issued.....	-	-	-	-	-	-	(1,228,862)	(1,228,862)	-	-
Net other financing sources (uses).....	2,882,342	5,567,893	(497,319)	(987,691)	902,941	1,755,071	(3,809,335)	(8,659,875)	168,178	992,998
Net change in fund balances.....	3,255,683	(759,400)	(10,079)	(9,458)	(322,335)	(3,393,665)	23,566	(1,360,241)	(871,214)	(1,008,917)
Fund balances (deficits) at beginning of period.....	(1,728,826)	2,286,257	20,985	20,364	1,453,938	4,525,268	1,345,522	2,729,329	1,548,231	1,885,934
Fund balances (deficits) at September 30, 2017.....	\$ 1,526,857	\$ 1,526,857	\$ 10,906	\$ 10,906	\$ 1,131,603	\$ 1,131,603	\$ 1,369,088	\$ 1,369,088	\$ 677,017	\$ 677,017

See accompanying notes to financial statements

**STATE OF NEW YORK**  
**Notes to Financial Statements**  
**September 30, 2017 (Unaudited)**

**NOTE 1**

The accounting policies and methods of estimating and accumulating financial data for preparation of the September 30, 2017 interim financial statements for governmental fund types are similar to those used to prepare the March 31, 2017 governmental fund financial statements.

**NOTE 2**

Within the governmental funds, transfers to other funds exceeded transfers from other funds by \$1,335 million. Subsidies to the State University of New York and the Senior Colleges of the City University of New York totaling \$3,016 million are reported as transfers to other funds offset by \$1,681 million in Enterprise Funds subsidies which are reported as transfers from other funds.

**NOTE 3**

The following table presents a reconciliation of the budgetary cash basis operating results for the six months ended September 30, 2017 as reported in the State Register, with the operating results for Governmental Fund Types prepared in accordance with generally accepted accounting principles (amounts in thousands):

	<u>General</u>	<u>Federal Special Revenue</u>	<u>Special Revenue</u>	<u>Debt Service</u>	<u>Capital Projects</u>
Excess (deficiency) of receipts and other financing sources over (under) disbursements and other financing uses .....	\$ (1,225,400)	\$ (392,400)	\$ 332,900	\$ 251,700	\$ (220,900)
Entity differences:					
Receipts and other financing sources over (under) disbursements and other financing uses for funds and accounts not included in the cash basis financial plan .....	(485,622)	(37,192)	(351,278)	(1,099,684)	(193,348)
Perspective differences:					
Receipts and other financing sources over (under) disbursements and other financing uses of the Miscellaneous Special Account, Infrastructure Trust Account, Child Performer's Protection Account and Charter Schools Stimulus Account, which are treated as Special Revenue Funds in the financial plan and as part of the General Fund for GAAP reporting .....	568,470	-	(568,470)	-	-
College and University Funds .....	-	-	(355,100)	-	(12,409)
Lottery Fund .....	-	-	772,472	-	-
Temporary interfund cash loans .....	(240,317)	188,425	18,215	-	33,677
Basis of accounting differences:					
To adjust for revenue accruals .....	(165,407)	(152,706)	(490,436)	(801,372)	(359,893)
To adjust for expenditure accruals .....	788,876	384,415	(2,751,968)	289,115	(256,044)
<b>Net change in fund balances .....</b>	<b>\$ (759,400)</b>	<b>\$ (9,458)</b>	<b>\$ (3,393,665)</b>	<b>\$ (1,360,241)</b>	<b>\$ (1,008,917)</b>

**STATE OF NEW YORK**  
**Notes to Financial Statements**  
**September 30, 2017 (Unaudited) (cont'd)**

**NOTE 4**

During the six months ended September 30, 2017 there was one debt refunding issue. The impact of this issue is presented in the following table (amounts in thousands):

<u>Issue Description</u>	<u>Refunding Amount</u>	<u>Refunded Amount</u>	<u>Cash Flow Gain</u>	<u>Present Value Gain</u>
NYS Dormitory Authority PIT General Purpose Bond Series 2017A .....	\$ 1,067,950	\$ 1,161,460	\$ 111,385	\$ 122,096
<b>Total .....</b>	<b>\$ 1,067,950</b>	<b>\$ 1,161,460</b>	<b>\$ 111,385</b>	<b>\$ 122,096</b>

**Office of the New York State Comptroller**

Thomas P. DiNapoli, State Comptroller

**Office of Operations – Division of Payroll, Accounting and Revenue Services**

John C. Traylor, Executive Deputy Comptroller

Christopher M. Gorka, Deputy Comptroller

David J. Hasso, CPA, CGFM, CGMA, Assistant Comptroller

**Bureau of Financial Reporting and Oil Spill Remediation**

Deborah J. Hilson, Executive Director

Maria Guzman, CPA, Assistant Director

**GAAP Reporting**

Deidre Clark, Assistant Chief Accountant

Maureen Shaw, CBA, Principal Accountant

Donna Greenberg, CPA, CGFM, Supervising Accountant

Jennifer Hallanan, CGFM, Supervising Accountant

Renée Bult, Associate Accountant

Gregg Cerio, Associate Accountant

Sandra Trzcinski, CGAP, CGFM, Associate Accountant

Cara Jo Vettovalli, Associate Accountant

Paula Walker, Associate Accountant

Kelly Nadeau, Senior Accountant

**Cash Reporting and Reconciliations**

Carrie Piser, Assistant Chief Accountant

Maria Moran, CPA, CGFM, Principal Accountant

Rosemary Liss, Supervising Accountant

Laura Canham-Lunde, Associate Accountant

Bo Jiang, Associate Accountant

Stephen Raptoulis, CPA, Associate Accountant

Christopher Tuohy, Associate Accountant

Laurie Ferlazzo, Senior Accountant

Laura Hennessey, Senior Accountant

Brenda Carver, CPA, CBA, DBA,  
Business Systems Analyst 2

Stacey Myrie, Accountant Aide Trainee 2



