
NEW YORK STATE

REGISTER

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

For notices published in this issue:

- the 60-day period expires on November 29, 2020
- the 45-day period expires on November 14, 2020
- the 30-day period expires on October 30, 2020

**ANDREW M. CUOMO
GOVERNOR**

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SECRETARY OF STATE**

NEW YORK STATE DEPARTMENT OF STATE

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NEW YORK STATE REGISTER

Be a part of the rule making process!

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

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

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

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

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

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Suite 650
Albany, NY 12231-0001
Telephone: (518) 474-6957

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

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

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

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

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

Department of Corrections and Community Supervision

NOTICE OF EXPIRATION

The following notice has expired and cannot be reconsidered unless the Department of Corrections and Community Supervision publishes a new notice of proposed rule making in the *NYS Register*:

Adolescent Offender Facilities

I.D. No.	Proposed	Expiration Date
CCS-21-19-00014-P	May 22, 2019	September 5, 2020

Education Department

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Addressing the COVID-19 Crisis and the Reopening of Schools

I.D. No. EDU-39-20-00012-EP

Filing No. 601

Filing Date: 2020-09-15

Effective Date: 2020-09-15

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

Proposed Action: Amendment of sections 52.21, 79-8.5, 100.5 and 154-2.3 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 208, 210, 215, 305, 315, 2117, 2843, 3001, 3004, 3009, 3204, 3713 and 8706

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

Specific reasons underlying the finding of necessity: On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020 the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis including orders directing the closure of schools for the remainder of the school year and summer school and directing nonessential work personnel to work from home. In response, the Department adopted emergency regulations at the April, May, June, and July 2020 Board of Regents Meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis and to prepare for the reopening of schools. To address additional issues resulting from the interruptions caused by the COVID-19 crisis and to prepare for the reopening of schools, it is necessary for the Department to adopt further regulatory amendments. The proposed amendments provide flexibility related to the following:

- Medical physics limited permits;
- Accreditation of their educator preparation programs;
- English Language Learner identification; and
- The Seal of Biliteracy.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (nonemergency) adoption, after publication in the *State Register* and expiration of the 60-day public comment period required in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), is the December 2020 Regents meeting. However, because the COVID-19 crisis is presently affecting the State of New York, emergency action is necessary for the preservation of public health and the general welfare in order to immediately provide flexibility for certain regulatory requirements in response to the COVID-19 crisis and to prepare for the reopening of schools.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the December 2020 Regents meeting, which is the first scheduled meeting after the 60-day public comment period prescribed in SAPA for State agency rule makings. However, since the emergency regulation will expire before the December meeting, it is anticipated that an additional emergency action will be presented for adoption at the November 2020 Regents meeting.

Subject: Addressing the COVID-19 Crisis and the Reopening of Schools.

Purpose: To address the COVID-19 crisis and to prepare for the reopening of schools.

Text of emergency/proposed rule: 1. Subdivision (c) of section 79-8.5 of the Regulations of the Commissioner of Education is amended to read as follows:

(c) A limited permit shall be valid for two years and may be renewed by the department for additional two-year periods for up to a total of no more than six years. *Due to the State of Emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis, the Department, in its discretion, may renew such limited permit for additional two-year periods beyond six years for good cause shown, as determined by the Department.*

2. Subclause (2) of clause (c) of subparagraph (iv) of paragraph (2) of subdivision (b) of section 52.21 of the Regulations of the Commissioner of Education is amended, to read as follows:

(2) Programs shall be continuously accredited by either:

(i) ...; or

(ii) a professional education accrediting association acceptable to the Department that is seeking recognition from the Council for Higher Education Accreditation or the United States Department of Education. To pursue this option and have its programs be considered

continuously accredited under this subclause, the institution shall provide the Department with satisfactory evidence, on a form prescribed by the Commissioner, that it intends to apply for accreditation with a professional education accrediting association that is seeking recognition from the Council for Higher Education Accreditation or the United States Department of Education, prior to the expiration date of its current accreditation period. The institution will then have [five] six years from the date of such notification to successfully complete the accreditation process. If at any time during the accreditation process, the association determines that the institution's program or programs cannot be accredited by such association and/or that the institution has not diligently pursued an application for accreditation, then the institution's program or programs shall not be considered continuously accredited for purposes of this subclause.

3. Clause (b) of subparagraph (iii) of paragraph (6) of subdivision (c) of section 52.21 of the Regulations of the Commissioner of Education is amended, to read as follows:

(b) Programs shall be accredited by either:

(1) ...; or

(2) a professional education accrediting association acceptable to the Department that is seeking recognition from the Council for Higher Education Accreditation or the United States Department of Education. To pursue this option and have its programs be considered continuously accredited under this clause, the institution shall provide the Department with satisfactory evidence, on a form prescribed by the Commissioner, that it intends to apply for accreditation with a professional education accrediting association that is seeking recognition from the Council for Higher Education Accreditation or the United States Department of Education, prior to the expiration date of its current accreditation period. The institution will then have [five] six years from the date of such notification to successfully complete the accreditation process. If at any time during the accreditation process, the association determines that the institution's program or programs cannot be accredited by such association and/or that the institution has not diligently pursued an application for accreditation, then the institution's program or programs shall not be considered continuously accredited for purposes of this clause.

4. Subparagraph (a) of paragraph (4) of subdivision (h) of section 100.5 of the Regulations of the Commissioner of Education is amended to read as follows:

(a) Area 1: Criteria for Demonstrating Proficiency in English.

(1) Students shall earn one point per item for achieving the following items:

(i) Score 75 or higher on the NYS Comprehensive English Regents Examination, or score 80 or higher on the NYS Regents Examination in English Language Arts [(Common Core)] (however, students in schools with an alternate pathway for graduation approved by the Commissioner will be held to those schools' criteria), or *students who have been exempted from the applicable Regents Examination in English Language Arts in the June 2020 or August 2020 Regents examination administration pursuant to subparagraph (vi) of paragraph (5) of subdivision (a) of this section*, or English Language Learners (ELLs) score 75 or above on two Regents exams other than English, without translation, or *ELLs have been exempted from two of the applicable Regents examinations in the June 2020 or August 2020 Regents examination administration as pursuant to subparagraph (vi) of paragraph (5) of subdivision (a) of this section*;

(ii) ELLs [score at the Commanding level in two modalities] *earn an overall score of 290 on the New York State English as a Second Language Achievement Test (NYSESLAT) or who were identified in 2019 at the Transitioning or Expanding English Language Proficiency Level by the statewide English language proficiency identification assessment or the annual English language proficiency assessment and who earned credit in a course of study for English as a New Language or Bilingual Education in the 2019-2020 school year.*

5. Subdivision (a) of section 154-2.3 of the Regulations of the Commissioner of Education is amended by adding a new paragraph (10) to read as follows:

(10) (i) *Notwithstanding any other provision of this section to the contrary due to the COVID-19 crisis, for the 2020-2021 school year, any parent of a student who attends a school which is operating fully remotely pursuant to the district's reopening plan, or have opted to have their child receive instruction entirely remotely pursuant to the district's reopening plan, and whose child has been provisionally identified as an ELL pursuant to paragraphs (1) and (2) of this subdivision, or paragraph (3) of this subdivision for students who have a disability, may submit a written statement to the district waiving the administration of the statewide English language proficiency identification assessment pursuant to paragraph (4) of this subdivision. The district shall maintain a record of such written waiver for at least three years.*

(ii) *A parent shall submit the waiver described in subparagraph (i)*

of this paragraph within ten (10) days after enrollment for the 2020-2021 school year; provided, however, that parents whose child was either newly enrolled during the COVID-19 closures in the 2019-2020 school year, Summer 2020 or the first twenty (20) days of the 2020-2021 school year shall submit such waiver within thirty (30) school days after the commencement of the 2020-2021 school year.

(iii) *If a waiver is submitted pursuant to subparagraph (i) of this paragraph, the child shall remain provisionally identified as an ELL for the 2020-2021 school year; unless the school such child attends changes to in-person or hybrid instruction during such school year, or the parent has opted to no longer have their child receive instruction entirely remotely. Within ten days of either instance such child shall be administered the English language proficiency identification assessment pursuant to paragraph (4) of this subdivision.*

(iv) *School districts shall maintain a record of all waivers submitted pursuant to this paragraph for a period for at least three 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 December 13, 2020.

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

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

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

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

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

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

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

Education Law § 315 provides that each school district, other than a city school district, shall, in accordance with the Commissioner's regulations, adopt a simplified name as the legal name of the district.

Education Law § 2117 requires school authorities of each school district to make a full report to the Commissioner upon any matter relating to their schools whenever such report shall be required by the Commissioner.

Education Law § 2854 prescribes the general requirements for charter schools.

Education Law § 3001 prescribes the qualifications of teachers.

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

Education Law § 3713 authorizes and empowers the State, any school district, or its trustees or board of education to accept appropriations from the federal government for educational purposes.

Education Law § 4401 provides definitions relating to children with handicapping conditions.

Education Law § 8706 prescribes requirements for limited permits for medical physics practice.

2. LEGISLATIVE OBJECTIVES:

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

3. NEEDS AND BENEFITS:

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

- Medical physics limited permits: Section 79-8.5 of the Commissioner's regulations is amended to permit the Department, in its discretion, to renew limited permits for medical physics for additional two-year periods beyond the current limit of no more than six years total, for good cause shown, as determined by the Department

- Accreditation of their educator preparation programs: Section 52.21 of the Commissioner's regulations is amended to provide additional time for institutions of higher education to complete the process for accreditation of their educator preparation programs from the time they notify the Department that they are seeking accreditation from a professional education accrediting association acceptable to the Department that is seeking recognition from the Council for Higher Education Accreditation or the United States Department of Education. Such institutions would now have six years, instead of five, to complete the accreditation process

- English Language Learner identification: Section 154-2.3(a) of the Commissioner's regulations is amended to provide that for the 2020-2021 school year, any parent of a student who attends a school which is operating fully remotely or have opted to have their child receive instruction fully remotely in accordance with the district's reopening plan, and whose child has been provisionally identified as an English Language Learner (ELL) via remote identification, may submit a waiver of the administration of the English language proficiency identification assessment; and

- The Seal of Biliteracy:
 - o Section 100.5(h)(4)(a) of the Commissioner's regulations is amended to provide that students who were unable to take applicable Regents exams due to COVID-19 related cancellation will satisfy criteria for the New York State Seal of Biliteracy (NYSSB) that would have been met by the required June 2020 or August 2020 Regents exam(s), provided that such students have been exempted from the applicable Regents examinations in accordance with section 100.5(a)(5)(iv) of the Commissioner's regulations.

- o Additionally, such section is amended to provide that English Language Learners (ELLs) will satisfy criteria for the NYSSB that would have been met by a 2020 NYS English as a Second Language Achievement Test (NYSESLAT) score through a combination of having achieved an English language proficiency level of Transitioning or Expanding on the 2019 NYSESLAT or NYS Identification Test for ELLs (NYSITELL) and who earned credit in a course of study for English as a New Language or Bilingual Education in the 2019-2020 school year. This change provides parity for students who would otherwise be disadvantaged to earn the NYSSB due to the cancellation of the 2020 NYSESLAT.

- o Finally, such section is amended to update the NYSSB's NYSESLAT score requirement. Prior to the 2015-2016 school year, the method of determining a student's English language proficiency level was based on separate proficiency levels for each of the four language modalities (speaking, listening, reading, and writing). Beginning with the 2016 administration of the NYSESLAT, the method for determining a student's English language proficiency level was changed to be based on a single scale score reflecting English language proficiency overall. The proposed new language will reflect this updated score reporting by allowing students to apply a NYSESLAT scale score of 290 towards the NYSSB. The Department has determined this score to be equivalent to the previous requirement of achieving the commanding proficiency level in two separate modalities.

4. COSTS:

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

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

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

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

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

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

If adopted at the September 2020 Regents meeting, the emergency rule will become effective September 15, 2020. It is anticipated that the proposed amendment will be presented to the Board of Regents for adoption at its December 2020 meeting. If adopted at the December 2020 meeting, the proposed amendment will become effective on December 30, 2020. Because the emergency adoption will expire before the December 2020 Regents meeting, it is anticipated that an additional emergency action will be presented for adoption at the November Regents meeting. It is anticipated that regulated parties will be able to comply with the proposed amendment by the effective date.

Regulatory Flexibility Analysis

(a) Small businesses:

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

(b) Local governments:

1. EFFECT OF RULE:

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

2. COMPLIANCE REQUIREMENTS:

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

- Medical physics limited permits;
- Accreditation of their educator preparation programs;
- English Language Learner identification; and
- The Seal of Biliteracy.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

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

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

6. MINIMIZING ADVERSE IMPACT:

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

7. LOCAL GOVERNMENT PARTICIPATION:

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

Rural Area Flexibility Analysis

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

- Medical physics limited permits;
- Accreditation of their educator preparation programs;
- English Language Learner identification; and
- The Seal of Biliteracy.

The proposed amendment provides flexibility for certain regulatory requirements during the COVID-19 crisis and plans for the reopening of schools. Thus, the proposed amendment does not adversely impact entities in rural areas of New York State. Accordingly, no further steps were needed to ascertain the impact of the proposed amendment on entities in rural areas and none were taken. Thus, a rural flexibility analysis is not required and one has not been prepared.

Job Impact Statement

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

- Medical physics limited permits;
- Accreditation of their educator preparation programs;
- English Language Learner identification; and
- The Seal of Biliteracy.

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

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

Addressing the COVID-19 Crisis**I.D. No.** EDU-16-20-00002-ERP**Filing No.** 598**Filing Date:** 2020-09-15**Effective Date:** 2020-09-15

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

Action Taken: Amendment of sections 2.3, 52.21, 57-4.5, 70.4, 74.6, 75.2, 76.2, 79-9.3, 79-10.3, 79-11.3, 79-12.3, 80-1.5, 80-1.13, 80-3.15, 80-4.3, 83.5, 87.2, 87.5, 100.2, 100.4, 100.5, 100.6, 100.10, 100.21, 119.1, 119.5, 125.1, 151-1.4, 154-2.3, 175.5, 200.4, 200.5, 200.7, 200.20, 275.8; addition of section 279.5 to Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 112, 207, 208, 215, 301, 305, 310, 311, 1704, 1709, 2117, 2651, 2852, 2854, 2856, 3001, 3001-d, 3003, 3004, 3004-c, 3009, 3035, 3204, 3205, 3210, 3212, 3214, 3602, 3602-c, 3602-e, 3604, 3713, 4402, 4403, 4404, 4410, 6501, 6504, 6506, 6507, 7404, 7904, 7904-a and 8206

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

Specific reasons underlying the finding of necessity: On January 30,

2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools for the remainder of the school year and summer school and directing nonessential work personnel to work from home. In response, the Department adopted emergency regulations at the April, May, and June 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 Crisis. The Department presented this proposed amendment to the Full Board for adoption as an emergency action at its April 2020 meeting, effective April 7, to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. At the May, June, and July 2020 Board of Regents meetings, the Department revised the proposed emergency regulation to provide clarification and additional flexibility for regulatory requirements in response to the COVID-19 crisis. The Department has made additional revisions to the proposed emergency regulation to provide additional flexibility for regulatory requirements relating to the teacher performance assessment and to provide clarification regarding the unit of study requirement. The proposed amendment provides flexibility related to the following:

- Instructional day and hour requirements;
- The service of pleadings and supporting papers for appeals to the Commissioner pursuant to Education Law § 310;
- Charter school lotteries, reporting requirements, and payments by public school districts to Charter schools;
- Annual visits to nonpublic nursery schools and kindergartens by Department staff;
- Annual assessments for homeschool students;
- Continuous experience requirements for certain professions;
- Examination timeframe requirements for Public Accounting applicants;
- Educational program requirements for licensure in a profession under Title VII of the Education Law;
- In-person supervision experience requirements for certain professions;
- Filing and submission timelines for Part 83 and Part 87 appeals to the Commissioner;
- The definition of the term “prospective school employee”;
- Certain procedures and timeframes for special education due process hearings;
- Timeframes related to special education programs and services;
- Filings with the Office of State Review;
- Certain timelines relating to Bilingual education;
- English language learners’ annual assessment;
- Unit of study requirements;
- Required Dignity for All Students Act (DASA) training;
- Teacher performance assessments (edTPA);
- Statement of continued eligibility (SOCE) and limited extension application deadline and special education full-time teaching experience deadline; and
- School and district accountability.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (nonemergency) adoption, after publication in the State Register and expiration of the 45-day public comment period required in the State Administrative Procedure Act (SAPA) section 201(4-a), is the December 2020 Regents meeting. However, because the COVID-19 crisis is presently affecting the State of New York, a fourth emergency action is necessary for the preservation of public health and the general welfare in order to immediately provide flexibility for certain regulatory requirements in response to the COVID-19 crisis.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the December 2020 Regents meeting, which is the first scheduled meeting after the 45-day public comment period prescribed in SAPA for State agency rule makings. However, since the emergency regulation will expire before the December meeting, it is anticipated that an additional emergency action will be presented for adoption at the October 2020 Regents meeting.

Subject: Addressing the COVID-19 Crisis.

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

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

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020 the Governor of New York State

declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis including orders directing the closure of schools and directing non-essential work personnel to work from home. Therefore, it is necessary for the Department to adopt emergency regulations to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The proposed revisions are summarized as follows:

- **State Aid**
 - o Permits public school districts, public schools and charter schools to operate for less than 180 days during the 10 month school year for any school day that is closed pursuant to an Executive Order for the COVID-19 crisis and waived from the 180-day requirement pursuant to the terms of such Executive Order(s).
 - o Provides a waiver from the annual instructional hour requirement for the 2019-20 and 2020-21 school years if a school district is unable to meet such requirement due to an Executive Order(s) of the Governor pursuant to the State of emergency declared for the COVID-19 crisis, or pursuant to Education Law § 3604(8), or due to reopening procedures implemented as a result of the COVID-19 crisis, provided that the district meets certain prescribed requirements.
- **310 Appeals to the Commissioner**
 - o Permits service of pleadings and supporting papers for appeals to the Commissioner pursuant to Education Law § 310 by alternative means during the time period of any movement restrictions or school closures directed by the Governor pursuant to an Executive Order during the COVID-19 crisis.
- **Charter Schools**
 - o Permits the Commissioner to excuse delays in required reporting by charter schools to public schools for the length of time of a school closure ordered pursuant to an Executive Order of the Governor pursuant to a State of emergency for the COVID-19 crisis, provided such delay does not exceed 30 days. When there is a delay in reporting by a charter school, the amendments also permit the Commissioner to excuse any delay in payment by a public school to a charter school, provided such delay does not exceed 30 days.
 - o Requires charter schools to provide notice on their website of the date, time and place of lotteries for the random selection process for charter school student applicants if such lottery is provided during a school closure ordered pursuant to an Executive Order of the Governor pursuant to a State of emergency for the COVID-19 crisis. Additionally, the amendments permit such lotteries to be held remotely, provided that the public has the opportunity to view or listen and such lottery is recorded and later transcribed.
- **Early Learning**
 - o Permits prekindergarten programs to operate for less than the 180-day and 90-day requirements where such programs were scheduled to operate, but the school where such program operates is closed pursuant to an Executive Order of the Governor pursuant to the State of emergency for the COVID-19 crisis.
 - o Permits Department staff who are unable to conduct their annual visit of nonpublic nursery schools and kindergartens as required by paragraph(c) of such section because they are closed pursuant to an Executive Order of the Governor pursuant to the State of emergency for the COVID-19 crisis, to conduct such annual visit as soon as practicable when they reopen.
- **Home Instruction**
 - o Provides that home instruction programs shall be exempt from the annual assessment and alternative evaluation requirements for the 2019-20 school year where a student otherwise achieves the learning outcomes in accordance with their individualized home instruction plan (IHIP).
- **Professions**
 - o Allows the Department to excuse the continuous experience requirements for speech language pathology, audiology, and occupational therapy where such continuous experience cannot be completed due to the State of Emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis.
 - o Allows the Department to accept passing examination scores from Public Accounting applicants that are outside the required 18 month examination window where such examinations cannot be completed within 18 months due to the State of Emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis.
 - o Allows the Department to modify professional educational program requirements for licensure, to the extent authorized by law, if such requirements cannot be successfully completed due to the State of emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis.
 - o Grants an exemption for in person supervision experience requirements for licensed clinical social work, licensed master social work, mental health counseling, marriage and family counseling, creative arts

therapy, and psychoanalysis if such in person supervision cannot be completed due to the State of Emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis.

- **Part 83 and Part 87 Appeals**
 - o Permits the Commissioner to excuse the filing timeframes prescribed in such section relating to appeals to the Commissioner of a hearing officer's determination of good moral character where such late filings are due to the State of emergency declared by the Governor pursuant to the an Executive Order for the COVID-19 crisis.
 - o Permits: (i) the Department to excuse late submissions relating to due process procedures for prospective employees' clearance for employment; and (ii) the Commissioner's designee to excuse late submissions relating to appeals of the Department's determination to deny prospective school employees' clearance for employment where such submissions are late due to the State of emergency declared by the Governor pursuant to the an Executive Order for the COVID-19 crisis.
 - o Adds to the definition of "prospective school employee" any individual who will reasonably be expected to provide services which involve online communication or interaction directly to students under the age of 21 during the period of a school closure ordered pursuant to an Executive Order of the Governor pursuant to a State of emergency for the COVID-19 crisis.
- **Special Education**
 - o Ensures that State approved private schools, State operated schools, Special Act School Districts, State supported schools and preschools to operate for less than 180 days during the 10 month school year for any school day that is closed pursuant to an Executive Order for the COVID-19 crisis and waived from the 180-day requirement pursuant to the terms of such Executive Order(s).
 - o Allows impartial hearing officers to conduct special education due process hearings by video conference during the COVID-19 crisis.
 - o Allows hearing officers to extend cases up to 60 days rather than 30 days while schools are closed pursuant to an Executive order issued by the Governor pursuant to a State of Emergency for COVID-19. This allows Impartial Hearing Officers better flexibility while school witnesses, administrators and parents are unavailable to partake in due process hearings.
 - o Requires preschool providers to make-up missed services within 30 days of the missed session. The proposed amendment will not include days that the school is closed pursuant to an Executive Order of the Governor issued pursuant to a State of emergency for the COVID-19 crisis.
 - o Extends the time period to arrange for special education programs and services to be provided to a student with a disability from 60 school days of receipt of consent to evaluate so that the 60 days will not include any days(s) that such school is closed pursuant to an Executive order issued by the Governor pursuant to a State of emergency for COVID-19. As well, 30 school days will be extended for arranging an approved non-public school placement.
- **Office of State Review**
 - o Provides that a State Review Officer may authorize certain filings through electronic means during the State of emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis.
- **Bilingual Education**
 - o Provides that any day(s) where a school is closed pursuant to an Executive Order of the Governor pursuant to a State of emergency for the COVID-19 crisis does not count towards the following timelines: English language learner identification process timeline; parental notification and information timeline, and the English as a New Language/Bilingual Education placement timeline.
 - o Provides an exemption to students from the unit of study requirements for the 2019-2020 school year where a student is unable to meet such requirements due to schools being closed pursuant to an Executive Order of the Governor pursuant to the State of emergency for the COVID-19 crisis and where such student otherwise achieves the learning outcomes for such course of study.
 - o Provides that for the 2019-2020 school year, there will be no English language learner annual assessment due to such assessment being suspended as result of the COVID-19 crisis.
- **Curriculum and Instruction**
 - o Provides an exemption to students from the unit of study requirements for the 2019-2020 school year where a student is unable to meet such requirements due to schools being closed pursuant to an Executive Order of the Governor pursuant to the State of emergency for the COVID-19 crisis and where such student otherwise achieves the learning outcomes of such portion of unity of study completed.
- **Higher Education**
 - o Permits the Dignity for All Students Act (DASA) training to be conducted entirely online during the time period of the State of emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis.

o Creates an edTPA safety net for: (i) candidates in registered educator preparation programs (EPPs) in the Spring 2020 or Summer 2020 terms, who completed a student teaching or similar clinical experience during the Spring 2020 or Summer 2020 terms; (ii) candidates who complete a student teaching or similar clinical experience during the 2020-2021 academic year while enrolled in a New York State registered teacher preparation program; (iii) candidates who complete a student teaching experience during the 2020-2021 academic year while enrolled in an acceptable out-of-state teacher preparation program; or (iv) candidates who complete the teaching experience requirement for certification through the individual evaluation pathway during the 2020-2021 academic year and could not complete their teacher performance assessment as a result of the COVID-19 crisis. These candidates would be able to take and pass either the ATS-W or edTPA. Eligible candidates who choose to take the edTPA but do not pass it, could take and pass the ATS-W, or pursue the edTPA Multiple Measures Review Process (MMRP), if they qualify.

o Extends the SOCE application deadline from June 30, 2020 to June 30, 2021 so that school districts have time to identify staff who are eligible for the SOCE, inform them about the application process and any supports provided, and submit the materials needed for applications since school districts are losing time during the COVID-19 crisis as the SOCE deadline approaches.

o For the SOCE and limited extension, special education teachers must complete their satisfactory full-time teaching experience, while being considered Highly Qualified through passing a HOUSSE rubric in the subject area, prior to June 30, 2020. The Department is proposing to extend the time period by which the experience must be completed to June 30, 2021, giving teachers the opportunity to gain more full-time satisfactory teaching experience for the SOCE or limited extension as they are losing time to do so during the COVID-19 crisis.

• **Accountability**

o The federal government has approved the Department's application for a one-year waiver from provisions of the Every Student Succeeds Act (ESSA) pertaining to State assessments and school and district accountability determinations due to the unique circumstances that have arisen as a result of the COVID-19 crisis. Therefore, the Department is proposing to provide that the Commissioner shall not conduct a review of school and district performance using 2019-2020 school year result, the accountability status of public schools and districts for the 2020-2021 school year shall be the same as for the 2019-2020 school year, and the 2018-2019 school year results shall be used in any instance for which 2019-2020 school year results would have been used as part of the process of making 2021-2022 school year accountability determinations. Additionally, the Commissioner may, upon a finding of good cause, modify for the 2019-2020 through 2021-2022 school years any timelines pertaining to notifications, plans, reports, or implementation of activities required by such section.

This notice is intended to serve as both a notice of emergency adoption and a notice of revised rule making. The notice of proposed rule making was published in the *State Register* on April 22, 2020, I.D. No. EDU-16-20-00002-EP. The emergency rule will expire November 13, 2020.

Revised rule making(s) were previously published in the State Register on June 24, 2020.

Emergency rule compared with proposed rule: Substantive revisions were made in sections 80-1.5(c)(1), 100.2(d)(1), 100.4(c), 100.5, 100.6(b)(3) and 154-2.3(h).

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

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

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

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Since the publication of a Notice of Emergency Adoption and Revised Rule Making in the *State Register* on July 29, 2020, substantial revisions were made to section 80-1.5(1)(c) of the Commissioner's regulations relating to the edTPA safety net and to sections 100.2(d)(1), 100.4(c), 100.5, 100.6(b)(3)(iii), and 154-2.3(h) of the Commissioner's regulations relating to the unit of study requirement.

These substantial revisions do not require any changes to the previously published Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement.

Assessment of Public Comment

The agency received no public comment.

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

Addressing the COVID-19 Crisis

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

Filing No. 599

Filing Date: 2020-09-15

Effective Date: 2020-09-15

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

Action Taken: Amendment of sections 2.21, 60.6, 61.9, 80-1.2, 80-3.7, 100.1, 100.2, 100.4, 100.5, 100.6, 100.7, 100.19, 151-1.3; addition of section 80-5.27 to Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 209, 210, 211-f, 214, 215, 305, 3001, 3004, 3009, 3204, 3205, 3602, 3602-3, 3602-ee, 6525, 6611; Every Student Succeeds Act of 2015, sections 1111(b)(3), (c)(4), (d)(2); 20 U.S.C. section 6301 et seq. (Public Law 114-95, 129 STAT. 1802)

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

Specific reasons underlying the finding of necessity: On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020 the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis including orders directing the closure of schools and directing nonessential work personnel to work from home. In response, the Department adopted emergency regulations at the April, May, June, and July 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Department presented this proposed amendment to the Full Board for adoption as an emergency action at the May 2020 Regents meeting, effective May 5, 2020. At the June and July 2020 Board of Regents meetings, the Department revised the proposed emergency regulation to provide clarification and additional regulatory flexibility. The Department is proposing additional revisions to the proposed amendment to provide additional flexibility relating to the Emergency COVID-19 certificate. The proposed amendments provide flexibility related to the following:

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

Because the Board of Regents meets at scheduled intervals, the earliest the revised proposed amendment could be presented for regular (nonemergency) adoption, after publication in the *State Register* and expiration of the 45-day public comment period required in the State Administrative Procedure Act (SAPA) section 201(4-a), is the December 2020 Regents meeting. However, because the COVID-19 crisis is presently affecting the State of New York, emergency action is necessary for the preservation of public health and the general welfare in order to immediately provide flex-

ibility for certain regulatory requirements in response to the COVID-19 crisis.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the December 2020 Regents meeting, which is the first scheduled meeting after the 45-day public comment period prescribed in SAPA for State agency rule makings. However, since the emergency action will expire before the December meeting, it is anticipated that an additional emergency action will be presented for adoption at the October 2020 Regents meeting.

Subject: Addressing the COVID-19 Crisis.

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

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

On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis, including orders directing the closure of schools and directing nonessential work personnel to work from home. In response, the Department adopted emergency regulations at the April 2020 Board of Regents Meeting to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. To address additional issues resulting from the interruptions caused by the COVID-19 crisis, the Department is proposing further emergency regulatory amendments as follows:

- Professions
 - o Section 60.6 is amended to permit the Department, at its discretion, to renew limited permits in medicine for one additional 24-month period.
 - o Section 61.19(b) is amended to permit the Department to accept alternative means to be used by dentists and dental hygienists to obtain and/or maintain the required certification in cardiopulmonary resuscitation other than through an in-person course during the COVID-19 crisis.
- Receivership
 - o Section 100.19 is amended to provide that: (1) the Commissioner shall not use 2019-20 school year results to newly identify any schools as struggling, place any schools under independent receivership, or remove the designation of any schools as struggling or persistently struggling; (2) all schools identified as persistently struggling or struggling schools for the 2019-20 school year shall remain so identified for the 2020-21 school year and all schools that operated under a school district superintendent receiver in the 2019-20 school year shall continue to operate under a school district superintendent receiver in the 2020-21 school year; and (3) the Commissioner may, upon a finding of good cause, modify for the 2019-20 through 2021-22 school years any timelines pertaining to notifications, plans, reports, or implementation of activities required by such section, except for any timelines prescribed by law.
- Higher Education
 - o Section 80-3.7 is amended to allow any undergraduate or graduate level course completed during the spring, summer, or fall 2020 terms with a passing grade, or its equivalent, to count toward the content core or pedagogical core semester hour requirements for certification through the Individual Evaluation pathway. The passing grade, or its equivalent, must be in accordance with the pass/fail grading policy, or its equivalent, at the institution of higher education (e.g., credit/no credit, pass/fail, satisfactory/unsatisfactory policy).
 - o Section 80-1.2(b) is amended to extend the expiration date of the Initial certificate, Initial Reissuance, Provisional certificate, Provisional Renewal, and the extensions of the initial and Provisional certificates from August 31, 2020 to January 31, 2021 to provide candidates with the time needed to work in schools and complete the requirements for the Professional or Permanent certificate. Additionally, such section is amended to extend the expiration date of the Conditional Initial certificate from August 31, 2020 to August 31, 2021 to provide candidates with the time needed to complete the edTPA, which requires working with students. An additional year gives candidates the time to establish a relationship with students, teach lessons and assess student learning, and prepare the edTPA submission once classroom routines are more consistent after the COVID-19 crisis.

o Section 80-5.27 is added to create an Emergency COVID-19 certificate for candidates seeking certain certificates, extensions, and annotations because there is limited test center availability and schools have been closed pursuant to Executive Order(s) of the Governor due to the COVID-19 crisis. This certificate would be valid for one year and could be renewed one time for an additional year with letter(s) of recommendation from school, district, and/or BOCES administrators. Candidates must apply for the certificate, extension, or annotation on or before September 1, 2021. They must also apply for the Emergency COVID-19 certificate, in

the same certificate title as the certificate, extension, or annotation applied for, on or before September 1, 2021.

o Section 52.21(c) is amended to exempt school district leader (SDL) and school business leader (SDBL) candidates from taking and passing the SDL and SDBL assessment, respectively, for program completion and for the institutional recommendation for the Professional certificate, if they completed all program requirements except the assessment requirement during the Fall 2019, Winter 2020, Spring 2020, or Summer 2020 terms. The exemption enables these candidates to complete their program while there is limited test center availability due to the COVID-19 crisis and receive institutional recommendation for Professional certification, which would be needed to pursue the proposed Emergency COVID-19 certificate. The candidates would need to take and pass the SDL and SDBL assessment to earn Professional SDL and SDBL certification, respectively.

o Section 52.21(c) is also amended to exempt candidates admitted to Transitional D programs leading to school district leader certification from taking and passing the SDL assessment for the institutional recommendation for the Transitional D certificate, if they completed all requirements for admitted candidates except the assessment requirement on or before September 1, 2020. The exemption enables Transitional D candidates to receive institutional recommendation for Transitional D certification while there is limited test center availability due to the COVID-19 crisis, which would be needed to pursue the proposed Emergency COVID-19 certificate. The candidates would need to take and pass the SDL assessment to earn Transitional D certification.

- Early Learning
 - o Section 151-1.3(b) is amended to waive the requirement that school districts must annually monitor and track prekindergarten program effectiveness for the 2019-2020 school year and to waive the annual report of the percentage of prekindergarten children making significant gains for the 2019-2020 school year.
- Alternative High School Equivalency Program ("AHSEP")
 - o Section 100.7 is amended to provide an extension to the June 30 application deadline for alternative high school equivalency preparation programs to be operated during the 2020-2021 school year.
- Curriculum and Instruction
 - o Section 100.1 is amended to provide that a unit of credit may be earned where a student has not completed a unit of study due to the COVID-19 crisis but has otherwise achieved the standards assessed in the provided coursework;
 - o Sections 100.2 and 100.5 are amended to provide an exemption to the Regents examination, pathway assessment, alternative assessment, technical assessment, and locally developed test requirements during the COVID-19 crisis so that students are still able to meet their diploma requirements since the June 2020 and August 2020 Regents examinations have been canceled;
 - o Section 100.4 is amended to make a technical citation correction;
 - o Section 100.6 is amended to exempt students from the requirements for the career development and occupational studies commencement credential ("CDOS") provided that the student is otherwise eligible to exit from high school and has otherwise demonstrated knowledge and skills relating to the CDOS learning standards; and
 - o Section 100.7 is amended to provide an exemption from the subtests of the general comprehensive examination requirements for a high school equivalency diploma where students meet certain criteria.

This notice is intended to serve as both a notice of emergency adoption and a notice of revised rule making. The notice of proposed rule making was published in the *State Register* on May 20, 2020, I.D. No. EDU-20-20-00008-EP. The emergency rule will expire November 13, 2020.

Revised rule making(s) were previously published in the State Register on June 24, 2020.

Emergency rule compared with proposed rule: Substantive revisions were made in section 80-5.27.

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

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

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

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Since the publication of a Notice of Emergency Adoption and Proposed Rule Making in the *State Register* on July 29, 2020, substantial revisions were made to the addition of section 80-5.27 in the proposed regulation relating to the Emergency COVID-19 certificate.

These substantial revisions do not require any changes to the previously published Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement.

Assessment of Public Comment

The agency received no public comment.

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

Eligibility for Participation of Students With IEPs, Section 504 or ADA Plans in Interschool Competition & Inclusive Athletics

I.D. No. EDU-25-20-00008-ERP

Filing No. 594

Filing Date: 2020-09-15

Effective Date: 2020-09-15

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

Action Taken: Amendment of section 135.4 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305, 803, 3204; Rehabilitation Act of 1973, as amended, section 504; 29 U.S.C., section 794; Americans with Disabilities Act, 42 U.S.C., section 12101, et. seq.; Individuals with Disabilities Education Act, 20 U.S.C., section 1400, et. seq.

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

Specific reasons underlying the finding of necessity: The proposed amendment to section 135.4 of the Regulations of the Commissioner of Education is necessary to immediately clarify that schools and associations, etc., are not precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an individualized education program under the Individuals with Disabilities Education Act (IDEA) or approved 504 (Rehabilitation Act) or Americans with Disabilities Act (ADA) plan, are not registered in the equivalent of three regular courses.

The proposed amendment was presented to the Full Board for adoption as an emergency action at the June 2020 meeting of the Board of Regents, effective June 9, 2020. A second emergency action was taken at the July 2020 Regents meeting to ensure that the proposed amendment remained continuously in effect until it could be permanently adopted, effective September 7, 2020. The Department has made revisions to the proposed amendment to clarify that accommodation requests for participation in interschool competition or inclusive athletic activities from otherwise qualified students who are not registered in the equivalent of three regular courses as a result of his or her individualized education program (IEP) under the IDEA shall also be duly considered by schools and associations, etc.

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for permanent adoption, after expiration of the required 45-day public comment period provided for in the State Administrative Procedure Act (SAPA) section 201(4-a), would be the December 2020 Regents meeting. Furthermore, pursuant to SAPA 203(1), the earliest effective date of the proposed rule, if adopted at the December meeting would be December 30, 2020, the date the Notice of Adoption would be published in the State Register. However, the July emergency rule will expire on November 5, 2020.

Therefore, emergency action is necessary at the September 2020 meeting for the preservation of the public health and general welfare in order to immediately clarify that schools and associations, etc., are not precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an individualized education program or approved 504 or ADA plan, are not registered in the equivalent of three regular courses.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the December 2020 Regents meeting, which is the first scheduled meeting after the 45-day public comment period prescribed in SAPA for State agency rule makings. However, since the emergency regulation will expire before the December meeting, it is anticipated that an additional emergency action will be presented for adoption at the October 2020 Regents meeting.

Subject: Eligibility for Participation of Students With IEPs, Section 504 or ADA Plans in Interschool Competition & Inclusive Athletics.

Purpose: To clarify eligibility requirements for participation of students with IEPs section 504 or ADA plans in interschool competition.

Text of emergency/revised rule: 1. Subclause (2) of clause (b) of subparagraph (ii) of paragraph (7) of subdivision (c) of section 135.4 of the Regulations of the Commissioner of Education is amended to read as follows:

(2) Registration. A pupil shall be eligible for interschool competition or inclusive athletic activities in a sport during a semester, provided that he is a bona fide student, enrolled during the first 15 school days of such semester, is registered in the equivalent of three regular courses, is meeting the physical education requirement, and has been in regular attendance 80 percent of the school time, bona fide absence caused by personal illness excepted. *Nothing in this clause shall be construed to preclude a chief school officer, athletic association, league or section from duly considering a request for an accommodation on behalf of an otherwise qualified student with a disability who is not registered in the equivalent of three regular courses as a result of his or her individualized education program under the Individuals with Disabilities Education Act or education plan approved under section 504 of the Rehabilitation Act of 1973 or the Americans with Disabilities Act.*

This notice is intended to serve as both a notice of emergency adoption and a notice of revised rule making. The notice of proposed rule making was published in the *State Register* on June 24, 2020, I.D. No. EDU-25-20-00008-EP. The emergency rule will expire November 13, 2020.

Emergency rule compared with proposed rule: Substantive revisions were made in section 135.4(c)(7).

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

Data, views or arguments may be submitted to: Marybeth Casey, NYS Education Department, Office of Curriculum & Instruction, 89 Washington Avenue, 2M, Albany, NY 12234, (518) 474-0059, email: REGCOMMENTS@nysed.gov

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

Revised Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

Section 803 of the Education Law requires all pupils over 8 in all elementary and secondary schools to receive physical education under the direction of the Commissioner as the Regents may determine.

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

Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794 (Section 504) prohibits discrimination against people with disabilities in programs that receive federal financial assistance.

Americans with Disabilities Act 42 U.S.C. § 12101, et. seq. (ADA) prohibits discrimination against individuals with disabilities in all areas of public life including, jobs, schools, transportation, and all public and private places that are open to the general public.

Individuals with Disabilities Education Act 20 U.S.C. § 1400, et. seq. (IDEA) makes available a free appropriate public education to eligible children with disabilities and ensures special education and related services to those children.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to clarify that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an IEP or approved section 504 or ADA plan, are not registered in the equivalent of three regular courses.

3. NEEDS AND BENEFITS:

The purpose of the proposed amendment to section 135.4 of the Regulations of the Commissioner of Education is to clarify that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursu-

ant to an Individualized Education Program (IEP) under the Individuals with Disabilities Act (IDEA) or approved section 504 of the Rehabilitation Act of 1973 or Americans with Disabilities Act (ADA) plan, are not registered in the equivalent of three regular courses.

The current regulation provides that a pupil shall be eligible for interschool competition or inclusive athletic activities in a sport during a semester, provided that he or she:

- is a bona fide student, enrolled during the first 15 school days of such semester;
- is registered in the equivalent of three regular courses;
- is meeting the physical education requirement; and
- has been in regular attendance 80 percent of the school time, bona fide absence caused by personal illness excepted.

The current regulation, as written, has been interpreted by schools and athletic associations, etc., as precluding consideration of a request for an accommodation on behalf of an otherwise qualified student with a disability who is not registered in the equivalent of three regular courses as a result of his or her IEP or section 504 or ADA plan. The amendment makes it clear that the regulation should not be interpreted as barring consideration of such accommodation requests in accordance with federal law.

4. COSTS:

(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 rule does not impose any additional costs to regulated parties.

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

The proposed rule imposes no reporting requirement or other paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendment is necessary to clarify that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an IEP or approved section 504 or ADA plan, are not registered in the equivalent of three regular courses. There are no significant alternatives to the proposed amendment and none were considered.

9. FEDERAL STANDARDS:

IDEA, Section 504 and the ADA all prohibit discrimination against individuals with disabilities. The proposed amendment ensures compliance with IDEA, Section 504 and the ADA by clarifying that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an IEP or approved section 504 or ADA plan, are not registered in the equivalent of three regular courses.

10. COMPLIANCE SCHEDULE:

The emergency rule will become effective September 14, 2020. It is anticipated that the proposed amendment will be permanently adopted at the December 2020 Board of Regents Meeting. If adopted at the December meeting the proposed amendment will become effective on December 30, 2020. It is anticipated that regulated parties will be able to comply with the proposed amendments by the effective date.

Revised Regulatory Flexibility Analysis

(a) Small Businesses:

The purpose of the proposed amendment to section 135.4 of the Regulations of the Commissioner of Education is to clarify that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an IEP or approved section 504 of the Rehabilitation Act of 1973 or Americans with Disabilities Act (ADA) plan, are not registered in the equivalent of three regular courses.

The current regulation provides that a pupil shall be eligible for interschool competition or inclusive athletic activities in a sport during a semester, provided that he or she:

- is a bona fide student, enrolled during the first 15 school days of such semester;
- is registered in the equivalent of three regular courses;
- is meeting the physical education requirement; and
- has been in regular attendance 80 percent of the school time, bona fide absence caused by personal illness excepted.

The current regulation, as written, has been interpreted by schools and athletic associations, etc., as precluding consideration of a request for an accommodation on behalf of an otherwise qualified student with a disability who is not registered in the equivalent of three regular courses as a result of his or her IEP or approved section 504 or ADA plan. The amendment makes it clear that the regulation should not be interpreted as barring consideration of such accommodation requests in accordance with federal law.

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

(b) Local Governments:

1. EFFECT OF RULE:

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

2. COMPLIANCE REQUIREMENTS:

The purpose of the proposed amendment to section 135.4 of the Regulations of the Commissioner of Education is to clarify that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an IEP or approved section 504 or ADA plan, are not registered in the equivalent of three regular courses.

The current regulation provides that a pupil shall be eligible for interschool competition or inclusive athletic activities in a sport during a semester, provided that he or she:

- is a bona fide student, enrolled during the first 15 school days of such semester;
- is registered in the equivalent of three regular courses;
- is meeting the physical education requirement; and
- has been in regular attendance 80 percent of the school time, bona fide absence caused by personal illness excepted.

The current regulation, as written, has been interpreted by schools and athletic associations, etc., as precluding consideration of a request for an accommodation on behalf of an otherwise qualified student with a disability who is not registered in the equivalent of three regular courses as a result of his or her IEP or approved section 504 or ADA plan. The amendment makes it clear that the regulation should not be interpreted as barring consideration of such accommodation requests in accordance with federal law.

3. PROFESSIONAL SERVICES:

The proposed rule does not impose any additional professional service requirements on charter schools.

4. COMPLIANCE COSTS:

The proposed rule clarifies that that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an IEP or approved section 504 or ADA plan, are not registered in the equivalent of three regular courses. The proposed rule does not impose any additional costs on local governments.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed rule does not impose any additional technological requirements on school districts or charter schools. Economic feasibility is addressed under the Compliance Costs section above.

6. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary to clarify that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an IEP or approved section 504 or ADA plan, are not registered in the equivalent of three regular courses. There were no significant alternatives were considered.

7. LOCAL GOVERNMENT PARTICIPATION:

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

Revised Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

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

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

The proposed amendment is necessary to clarify that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an Individuals Education Program (IEP) under the Individuals with Disabilities Act (IDEA) or approved section 504 of the Rehabilitation Act of 1973 or Americans with Disabilities Act (ADA) plan, are not registered in the equivalent of three regular courses.

The current regulation provides that a pupil shall be eligible for interschool competition or inclusive athletic activities in a sport during a semester, provided that he or she:

- is a bona fide student, enrolled during the first 15 school days of such semester;
- is registered in the equivalent of three regular courses;
- is meeting the physical education requirement; and
- has been in regular attendance 80 percent of the school time, bona fide absence caused by personal illness excepted.

The current regulation, as written, has been interpreted by schools and athletic associations, etc., as precluding consideration of a request for an accommodation on behalf of an otherwise qualified student with a disability who is not registered in the equivalent of three regular courses as a result of his or her IEP or section 504 of the or ADA plan. The amendment makes it clear that the regulation should not be interpreted as barring consideration of such accommodation requests in accordance with federal law.

3. COMPLIANCE COSTS:

The proposed amendment does not impose any additional costs on the State, regulated parties, or the State Education Department.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment clarifies that that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an IEP or approved section 504 or ADA plan, are not registered in the equivalent of three regular courses. Because the statutory requirement upon which the proposed amendment is based applies to all schools in the State, it is not possible to establish differing compliance or reporting requirements or timetables or to exempt schools in rural areas from coverage by the proposed amendment.

5. RURAL AREA PARTICIPATION:

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

Revised Job Impact Statement

The purpose of the proposed amendment to section 135.4 of the Regulations of the Commissioner of Education is to clarify that schools and associations, etc., shall not be precluded from considering accommodation requests from otherwise qualified students with disabilities for participation in interschool competition or inclusive athletic activities who, pursuant to an Individualized Education Program (IEP) under the Individuals with Disabilities Act (IDEA) or approved section 504 of the Rehabilitation Act of 1973 or Americans with Disabilities Act (ADA) plan, are not registered in the equivalent of three regular courses.

The current regulation provides that a pupil shall be eligible for interschool competition or inclusive athletic activities in a sport during a semester, provided that he or she:

- is a bona fide student, enrolled during the first 15 school days of such semester;
- is registered in the equivalent of three regular courses;
- is meeting the physical education requirement; and
- has been in regular attendance 80 percent of the school time, bona fide absence caused by personal illness excepted.

The current regulation, as written, has been interpreted by schools and athletic associations, etc., as precluding consideration of a request for an accommodation on behalf of an otherwise qualified student with a disability who is not registered in the equivalent of three regular courses as a result of his or her IEP or section 504 or ADA plan. The amendment makes it clear that the regulation should not be interpreted as barring consideration of such accommodation requests in accordance with federal law.

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

Assessment of Public Comment

Following publication of the Notice of Emergency Adoption and Proposed Rule Making in the State Register on June 24, 2020 the Department received the following comments on the proposed regulation:

COMMENT: The commenter expresses that their concern is that the

regulation fails to address students with disabilities who do not participate in at least three "regular courses" as a result of an Individual Education Program (IEP) pursuant to the Individuals with Disabilities Education Act (IDEA). The commenter writes that although they "fully support the Department's effort to amend section 135.4 to accommodate students with 504 Plans, students with IEPs must likewise be accommodated." They add that federal law requires states and schools to provide students with disabilities equal opportunity to participate in physical education and extracurricular athletics and that a refusal to consider a reasonable accommodation request for an otherwise qualified student with an IEP would violate Section 504 regardless of the fact that the student had an IEP rather than a 504 Plan. Moreover, the commenter writes that waiving the same requirement for students with IEPs would neither alter the nature of the program nor impose an undue burden. Accordingly, the commenter recommends the Department amend the regulation to include a waiver of the three "regular class" requirement as an accommodation to include students with IEPs pursuant to the IDEA.

DEPARTMENT RESPONSE: The Department has revised the proposed amendment to address the commenter's concern by including a waiver of the three-regular-class requirement as an accommodation to include students with IEPs who are otherwise qualified for participation in interschool competition or inclusive athletic activities.

NOTICE OF EMERGENCY

ADOPTION

AND REVISED RULE MAKING

NO HEARING(S) SCHEDULED

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

I.D. No. EDU-30-20-00004-ERP

Filing No. 600

Filing Date: 2020-09-15

Effective Date: 2020-09-15

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

Action Taken: Amendment of sections 80-5.3, 80-5.4, 100.1, 100.2, 100.5, 100.6, 100.10, 117.3, 136.3, 145-2.1, 151-1.3, 154-2.2, 154-2.3, 156.3 and 200.4 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 208, 209, 215, 305, 308, 309, 602, 661, 905, 1709, 2117, 2854, 3001, 3004, 3009, 3204, 3205, 3208, 3212, 3214, 3602, 3602-c, 3602-e, 3604, 3623, 3713, 4401, 4403 and 4410

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

Specific reasons underlying the finding of necessity: On January 30, 2020, the World Health Organization designated the novel coronavirus, COVID-19, outbreak as a Public Health Emergency of International Concern. On March 7, 2020, the Governor of New York State declared a State disaster emergency for the entire State of New York pursuant to Executive Order 202. Subsequently, the Governor issued additional Executive Orders in response to the COVID-19 crisis including orders directing the closure of schools for the remainder of the school year and summer school and directing nonessential work personnel to work from home. In response, the Department adopted emergency regulations at the April, May, June, and July 2020 Board of Regents meetings to address numerous issues resulting from the interruptions caused by the COVID-19 crisis. The Department presented this proposed amendment to the Full Board for adoption as an emergency action at its July 2020 meeting, effective July 14, 2020 to address additional issues resulting from the interruptions caused by the COVID-19 crisis and to prepare for the reopening of schools. The Department is proposing to revise the proposed emergency regulation to provide clarification relating to the regulatory flexibility provided for diagnostic screening and to align such amendment to reopening guidance issued by the Department. The proposed amendments provide flexibility related to the following:

- Academic Intervention Services (AIS) determinations;
- Home instruction programs deadline for submission of the written notice of intention to instruct at home;
- School health screening waivers;
- Definition of the unity of study;
- Career development and occupational studies work-based learning experience hours;
- Science laboratory experience;

- Diagnostic screening for new school entrants;
- Psychological evaluations for students referred for being suspected of having a disability;
- Student observation for an initial evaluation of a student suspected of having a disability;
- Incidental teaching;
- Substitute teaching;
- Shorter semester for institutions of higher education;
- Class sizes for 3-year olds and 4-year olds;
- Process for initial enrollment, reentry identification and parent notification, orientation, and placement of English Language Learners (ELLs), identification of ELLs with inconsistent/interrupted formal education, and the timeline for review of ELLs identification; and
- School bus drills.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (nonemergency) adoption, after publication in the State Register and expiration of the 45-day public comment period required in the State Administrative Procedure Act (SAPA) section 201(4-a), is the December 2020 Regents meeting. However, because the COVID-19 crisis is presently affecting the State of New York, a fourth emergency action is necessary for the preservation of public health and the general welfare in order to immediately provide flexibility for certain regulatory requirements in response to the COVID-19 crisis.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the December 2020 Regents meeting, which is the first scheduled meeting after the 45-day public comment period prescribed in SAPA for State agency rule makings. However, since the emergency regulation will expire before the December meeting, it is anticipated that an additional emergency action will be presented for adoption at the October 2020 Regents meeting.

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

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

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

- Academic Intervention Services
 - o Section 100.2(ee) of the Commissioner's regulations is amended to provide that schools are not required to conduct the two-step identification prescribed for identification of students to receive AIS for the 2020-21 school year due to the cancellation of State assessments for the 2019-20 school year due to the COVID-19 crisis.
- Home Instruction
 - o Section 100.10(b) of the Commissioner's regulations is amended to provide that for the 2020-21 school year, the home instruction program deadline for submission of the written notice of intention to instruct at home is extended from July 1 until August 1, 2020 due to the COVID-19 crisis.
- Health Screening Waiver
 - o Section 136.3(e) of the Commissioner's regulations is amended to provide that hearing, vision, and scoliosis screenings required to be provided by public schools are waived for the 2020-21 school year due to the COVID-19 crisis, unless the screening is otherwise deemed necessary.
- Curriculum and Instruction
 - o Unit of Study: The definition of "Unit of study" in section 100.1(a) of the Commissioner's regulations is amended to provide that "equivalent" shall mean at least 180 minutes of instructional time per week for instruction delivered in a traditional face to face model or through alternative instructional experiences, including but not limited to through digital technology or blended learning, that represents standards-based learning under the guidance and direction of an appropriately certified teacher. Instructional experiences shall include, but not be limited to: meaningful and frequent interaction with an appropriately certified teacher; academic

and other supports designed to meet the needs of the individual student and instructional content that reflects consistent academic expectations as in-person instruction. Any alternative instructional experience must include meaningful feedback on student assignments and methods of tracking student engagement. This amendment is necessary so that schools may plan for various types of instructional models, including hybrid models, because of contingencies that may make it impossible for a specific amount of face to face contact between teachers and students due to the COVID-19 crisis.

- o CDOS: Section 100.6(b) of the Commissioner's regulations is amended to provide that a career development and occupational studies (CDOS) commencement credential may be awarded to students exiting school in the 2020-2021 school year who are unable to complete all of the 54 hours of documented school supervised work-based learning experiences required and otherwise meet all other requirements for such credential, where such schools are unable to provide students a certain portion of their scheduled work-based learning experience in the 2020-2021 school year due to the COVID-19 crisis.

- o Science laboratory experience: Section 100.5(b) of the Commissioner's regulations is amended to provide that for the 2020-2021 school year as a result of the COVID-19 crisis the 1,200 minutes of lab experience may be met through a combination of hands-on and simulated laboratory experience.

- Diagnostic screening: Section 117.3(b) of the Commissioner's regulations is amended to provide that for the 2020-21 school year, due to the COVID-19 crisis, diagnostic screening for students who transfer after December 1, 2020 into a New York State public school from a district outside of New York State or who transfer from a district within New York State and the student has no screening record, shall have a diagnostic screening conducted as soon as practicable.

- Special Education

- o Section 200.4(b) of the Commissioner's regulations is amended to provide that an individual psychological evaluation is only a required component for an initial evaluation when it is determined to be necessary by a school psychologist due to the COVID-19 crisis when schools are closed pursuant to an Executive Order of the Governor and students are learning remotely.

- o Additionally, such section is amended to require an observation of a student as a required component for an initial evaluation only when it is determined appropriate by the Committee on Preschool Special Education or Committee on Special Education due to the COVID-19 crisis when schools are closed pursuant to an Executive Order of the Governor and students are learning remotely.

- o Classroom observations would continue to be a required component of an initial evaluation for students suspected of having a learning disability.

- Higher Education

- o Incidental teaching: Section 80-5.3 of the Commissioner's regulations is amended to allow a superintendent of schools to assign certified teachers to teach a subject not covered by their certificate for a period not to exceed ten classroom hours a week, when no certified or qualified teachers are available after extensive and documented recruitment, during the time period of the State of emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis.

- o Substitute teacher: Section 80-5.4 of the Commissioner's regulations is amended to allow substitute teachers who do not hold a valid certificate and who are not working towards certification but who holds a high school diploma or its equivalent, to be employed by the school district or BOCES beyond the 40-day limit, for up to 90 days in extreme circumstances and for more than 90 days in rare circumstances, under specified conditions during the time period of the State of Emergency declared by the Governor pursuant to an Executive Order for the COVID-19 crisis.

- o Shorter semester: The definitions of full-time and part-time student for Tuition Assistance Programs (TAP) in Section 145-2.1 of the Commissioner's regulations is amended to provide that for the 2020-21 academic year students shall be considered full-time and part-time where the student is unable to enroll in credit-bearing courses for at least 15 weeks for a semester due to the COVID-19 crisis, provided that such student is enrolled in such credit-bearing courses for a minimum of 12 weeks for a semester and still meets the semester hour requirements.

- Early Learning

- o Section 151-1.3(d) of the Commissioner's regulations is amended to provide that due to the COVID-19 crisis for the 2020-21 school year for school districts outside of NYC for 3-year old students, with a class size of 7 children or less there must be one teacher assigned to each class and for 4-year old students, with a class size of 8 children or less, there must be one teacher assigned to each class. For the City School District of the City of New York for 3-year old students, with a class size of 10 children or less, there must be one teacher assigned to each class and for 4-year old students, with a class size of 12 children or less there must be one teacher assigned to each class.

- English Language Learners

- o Section 154-2.2(y) of the Commissioner's regulations is amended to provide that day(s) during a school closure ordered pursuant to an Executive Order(s) of the Governor pursuant to a State of emergency for the COVID-19 crisis shall not count towards the calculation of less than twelve months for identifying English language learner (ELL) students with inconsistent/interrupted formal education.

- o Section 154-2.3(a)(2) of the Commissioner's regulations is amended to provide that the individual interview for the identification process to determine if a student is an English language learner is waived where a school district can document that video conferencing was used to remotely conduct an individual interview during a school closure ordered pursuant to an Executive Order(s) of the Governor pursuant to a State of emergency for the COVID-19 crisis. In such cases qualified personnel will review the previously completed Home Language Questionnaire with the parent or person in parental relation.

- o Section 154-2.3(b) of the Commissioner's regulations is amended to provide that due to the COVID-19 crisis for the 2020-2021 school year, the 45-day timeline for a school district to initiate a review of a determination made in the initial or reentry identification process for English language learners after receipt of a written request is extended to 65 days from the beginning of the 2020-2021 school year for any student that was either newly enrolled during the COVID-19 closures in the 2019-2020 school year, Summer 2020, or within the first 20 days of the 2020-2021 school year.

- o Section 154-2.3(g) of the Commissioner's regulations is amended to provide that:

- Due to the COVID-19 crisis for the 2020-2021 school year, the process for initial enrollment or reentry identification and parent notification, orientation, and placement shall be completed such that a student who was either newly enrolled during the COVID-19 closures in the 2019-2020 school year, Summer 2020, or the first 20 days of the 2020-2021 school year is placed in either a Bilingual Education or English as New Language program within 30 school days after commencement of the 2020-2021 school year for school districts with 150 or more ELLs, or where ELLs 10% or more of the district's population.

- School districts with 149 or fewer ELLs or where ELLs constitute less than 10% of the district's population may seek an exemption from the English language learner identification timeline for students who are newly enrolled during the COVID-19 closures in the 2019-2020 school year, Summer 2020, or the first 20 days of the 2020-2021 school year on an application form in a timeframe prescribed by the Commissioner; provided that such school demonstrates sufficient need for such exemption notwithstanding the size and percentage of its ELL population.

- Pupil Transportation

- o Section 156.3(f) is amended to provide that for the first school bus drill to be conducted during the first seven days of schools, such seven days shall exclude any days where school is closed pursuant to an Executive Order of the Governor for the COVID-19 crisis for the Fall term for 2020-2021 school year.

This notice is intended to serve as both a notice of emergency adoption and a notice of revised rule making. The notice of proposed rule making was published in the *State Register* on July 29, 2020, I.D. No. EDU-30-20-00004-EP. The emergency rule will expire November 13, 2020.

Emergency rule compared with proposed rule: Substantive revisions were made in section 117.3(b).

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

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

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

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Since the publication of a Notice of Emergency Adoption and Proposed Rule Making in the *State Register* on July 29, 2020, substantial revisions were made to the amendment of section 117.3(b) of the Commissioner's regulations relating to diagnostic screening of students.

These substantial revisions do not require any changes to the previously published Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement.

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Alternative High School Equivalency Preparation and Alternative Transition Programs

I.D. No. EDU-25-20-00004-A

Filing No. 597

Filing Date: 2020-09-15

Effective Date: 2020-09-30

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

Action taken: Amendment of section 100.7(h) of Title 8 NYCRR.

Statutory authority: Education Law, sections 206, 207, 210, 214, 215 and 305

Subject: Alternative High School Equivalency Preparation and Alternative Transition Programs.

Purpose: To provide expanded access to and update Alternative High School Equivalency Preparation and Alternative Transition Programs.

Text or summary was published in the June 24, 2020 issue of the Register, I.D. No. EDU-25-20-00004-P.

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

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

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Addressing the COVID-19 Crisis

I.D. No. EDU-25-20-00005-A

Filing No. 595

Filing Date: 2020-09-15

Effective Date: 2020-09-30

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

Action taken: Amendment of sections 60.10, 80-1.2, 80-4.3, 80-4.4, 80-5.6, 100.2, 100.5, 100.7, 100.10, 110.4, 119.4, 121.5, 135.4 and 145-2.15 of Title 8 NYCRR.

Statutory authority: Education Law, sections 2-d, 101, 206, 207, 208, 209, 210, 214, 215, 305, 308, 309, 661, 803, 804-c, 911, 1125, 1126, 1128, 1132, 3004, 3009, 3028-b, 3204, 3205, 3210, 3212, 3602, 6504, 6506, 6507, 6601 and 6605-a

Subject: Addressing the COVID-19 Crisis.

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

Text or summary was published in the June 24, 2020 issue of the Register, I.D. No. EDU-25-20-00005-E.

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

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

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

Since publication of a Notice of Emergency Adoption and Proposed Rule Making in the *State Register* on June 24, 2020, the State Education Department received the following comments:

1. COMMENT:

Two commenters stated that: "[w]hile we agree that these temporary measures may be necessary at this point in time, we believe it is important

that there are no further delays in the requirement for each educational agency to adopt and publish a data security and privacy policy, which this rulemaking postponed from July until October 1, 2020.

Whether schools elect to follow in-person, remote or hybrid learning models, the use of technology will remain a major component of their programs. Several years ago, the Legislature enacted Education Law § 2-d. This statute requires each educational agency to have a policy in place on data security and privacy which, among other things, must include safeguards to ensure that students' personally identifiable information is not accessed by unauthorized persons when transmitted over communication networks. Given reports of security lapses in some remote student-teacher sessions in recent months, it is of the utmost importance for these schoolspecific policies to be adopted and disseminated to school staff and the public without any further delays.

Our school districts and other educational agencies are facing many challenges in addressing the current crisis, and we understand the Department's reasoning in giving them some additional time for finalizing their data security and privacy policies. However, our students and their families have also had their lives impacted by COVID-19 and we believe it would be a disservice to them to provide any further extensions of this requirement beyond October 1st."

DEPARTMENT RESPONSE: No change is necessary. When the deadline was extended from July 1 to October 1, schools were recently closed and adjusting to the new challenges posed by the COVID-19 pandemic. The State Education Department does not intend to extend this deadline beyond October 1, 2020. Protecting student personally identifiable information is of utmost importance, and its import becomes even greater with an increased digital footprint necessitated by remote learning.

NOTICE OF ADOPTION

Licensing Examinations in the Profession of Public Accountancy

I.D. No. EDU-25-20-00006-A

Filing No. 602

Filing Date: 2020-09-15

Effective Date: 2020-09-30

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

Action taken: Amendment of section 70.4 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6507, 7401 and 7404

Subject: Licensing Examinations in the Profession of Public Accountancy.

Purpose: Conform the Commissioner's Regulations to the national licensing examination standards in public accountancy.

Text or summary was published in the June 24, 2020 issue of the Register, I.D. No. EDU-25-20-00006-EP.

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

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

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Professional Study of Nursing

I.D. No. EDU-25-20-00007-A

Filing No. 596

Filing Date: 2020-09-15

Effective Date: 2020-09-30

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

Action taken: Amendment of section 64.1 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6506, 6507, 6905; L. 2017, ch. 502; L. 2018, ch. 380

Subject: Professional Study of Nursing.

Purpose: To implement chapter 502 of the Laws of 2017 and chapter 380 of the Laws of 2018.

Text or summary was published in the June 24, 2020 issue of the Register, I.D. No. EDU-25-20-00007-EP.

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

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

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

Since publication of a Notice of Emergency Action and Proposed Rule Making in the State Register on June 24, 2020, the State Education Department received the following comments:

1. COMMENT:

Many commenters applaud the Department's overall efforts to require registered professional nurses to attain a baccalaureate or higher degree in nursing within ten years of being issued a New York license, in order to register to practice nursing in New York beyond the ten years and expressed approval of the regulations as drafted to implement the statutory requirements and intent of Chapter 502 of the Laws of 2017 and Chapter 380 of the Laws of 2018.

DEPARTMENT RESPONSE:

No response is necessary, as the comments are supportive.

2. COMMENT:

Commenters expressed concerns relative to the exemption language as contained in the proposed regulations stating that the exemption requirement for "any student who had an application pending in a program preparing registered professional nurses" should be clarified and suggested that there are many points in the admissions process that occurs over time where an application could be considered to be pending and given certain record retention schedules maintained by colleges, it may be difficult for a registered nurse to prove in ten years that he or she had an application "pending" prior to the required deadline.

DEPARTMENT RESPONSE:

While the Department is sympathetic to the commenter's concerns, the rulemaking implements the specific requirements of the statute and is necessary to conform the Regulations of the Commissioner to Chapter 502 of the Laws of 2017 and Chapter 380 of the Laws of 2018. The Department will issue guidance and best practices for this initiative and anticipates updating such guidance and best practices in the future, as necessary. Thus, no revisions are necessary.

3. COMMENT:

Commenters expressed concern relative to the temporary educational exemption requirements which provides that a Registered professional nurses seeking such exemption must "provide evidence of applying to a baccalaureate degree program and subsequently being denied access to such program on at least two occasions due there being a limited number of seats" since, according to this commenter, many denial letters do not include specific information as to the reason for a denial and therefore, such a requirement is unrealistic.

DEPARTMENT RESPONSE:

While the Department is sympathetic to the commenter's concerns, the rulemaking implements the specific requirements of the statute and is necessary to conform the Regulations of the Commissioner to Chapter 502 of the Laws of 2017 and Chapter 380 of the Laws of 2018. The Department will issue guidance and best practices for this initiative and anticipates updating such guidance and best practices in the future, as necessary. Thus, no revisions are necessary.

4. COMMENT:

Commenters wrote that the New York State Archives Records Retention and Disposition Schedule CO-2 requires community colleges to retain admissions records for applicants who are accepted for 6 years after graduation or date of last attendance. Consequently, it may be difficult for a registered nurse to prove in ten years that he or she had an application "pending" on December 18, 2017.

DEPARTMENT RESPONSE:

See response to Comment #3.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Financial Transparency Requirement Reporting Deadlines

I.D. No. EDU-39-20-00010-P

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

Proposed Action: Amendment of section 170.14(a) of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305, 3614; Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et. seq. (Public Law 114-95, 129 STAT. 1802)

Subject: Financial Transparency Requirement Reporting Deadlines.

Purpose: To permit the Department to establish the financial transparency reporting requirement deadline administratively.

Text of proposed rule: Subdivision (a) of Section 170.14 of the Regulations of the Commissioner of Education is amended to read as follows:

(a) Commencing on March 1st, 2020 (using 2018-2019 school year data), and on a date prescribed by the commissioner but no later than each March 1st thereafter (using the preceding school year's data), each school district shall be required to submit expenditure data for each school in the district to the department in a form and manner prescribed by the commissioner consistent with this section.

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

Data, views or arguments may be submitted to: Brian Cechnicki, NYS Education Department, Office of Education Finance, 89 Washington Avenue, Room 139EB, Albany, NY 12234, (518) 474-2238, email: REGCOMMENTS@nysed.gov

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

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

Education Law § 3614 requires school districts to annually submit to the commissioner and the director of the budget a detailed statement of the total funding allocation for each school in the district for the upcoming school budget year.

The Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT.1802).

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to establish criteria and procedures to ensure State and local educational agency compliance with the financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802).

3. NEEDS AND BENEFITS:

The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The United States Education Department has provided states with significant flexibility to develop these reports in a way that meets the individual needs of the state. As a result, every school district and charter school in New York State will report per pupil expenditures, disaggregated for each school, pursuant to the regulations and guidelines developed by the New York State Education Department (Department). This requirement under ESSA will provide important opportunities for school districts, parents, taxpayers, the State, and other stakeholders to cultivate a better understanding of school finances and help spur local discussions about transparency, equity, accountability, confirmation of best practices, and opportunities for improvements in financial management and educational programming.

This amendment provides the Department with flexibility to establish the reporting deadline administratively. After the first reporting date of March 1, 2020, the commissioner will set a date for the report to be filed, provided that such date shall not be after March 1 of such year. This change will more appropriately align with each category's budget development

schedule. In addition, now that the first year of reporting has been completed, the Department will be able to make the submission portal available earlier in year. This change will not impact the charter school deadlines.

4. COSTS:

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

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

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any program, service, duty, or responsibility on local governments beyond those imposed by State and federal statutes.

6. PAPERWORK:

The proposed rule imposes no new reporting requirements or other paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendment is necessary to provide flexibility in the procedures to ensure State and local educational agency compliance with the financial transparency reporting provisions of ESSA. The State and LEAs, including charter schools, are required to comply with the ESSA as a condition to receipt of federal funding under Title I of ESSA, as amended. There are no significant alternatives to the proposed amendment and none were considered.

9. FEDERAL STANDARDS:

The proposed amendment does not exceed any minimum standards of the federal government for the same or similar subject areas and is consistent with the financial transparency reporting provisions of ESSA.

10. COMPLIANCE SCHEDULE:

It is anticipated that the proposed rule will be adopted at the December 2020 Board of Regents meeting. If adopted at the December 2020 meeting, the proposed rule will become effective on December 30, 2020. It is anticipated that the regulated parties will be able to comply with the proposed amendment by the effective date.

Regulatory Flexibility Analysis

(a) Small Businesses: The purpose of the proposed rule is to provide additional flexibility related to the reporting deadline for the required financial transparency report providing "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds," beginning with actual expenditures from the 2018-19 school year for school districts.

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

(b) Local Governments:

1. EFFECT OF RULE:

The purpose of the proposed rule is to provide additional flexibility related to the reporting deadline for the required financial transparency report providing "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds," beginning with actual expenditures from the 2018-19 school year for school districts and the 2019-20 school year for charter schools.

In 2020, school districts reported, for the first time, school-level per pupil expenditures as required by ESSA and section 170.14 of the Commissioner's regulations. Based on feedback received from the field and the Department's experience in implementing this requirement for 2018-19 school year data, the proposed amendment would provide additional flexibility for the Department to establish the reporting deadline administratively. It is anticipated that for 2019-20 school year data, the deadline will be administratively set at December 31, 2020 for all financially independent school districts, and March 1, 2021 for financially dependent school districts (the "Big 5 Cities"). This change will more appropriately align with each category's budget development schedule. In addition, now that the first year of reporting has been completed, the Department will be able to make the submission portal available earlier in year. This change will not impact the charter school deadlines.

2. COMPLIANCE REQUIREMENTS:

School districts will be required to comply with the reporting deadline set by the Commissioner pursuant to the proposed rule.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

The proposed rule does not impose any costs beyond those imposed by State and federal statutes.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed rule does not impose any additional technological requirements on school districts. Economic feasibility is addressed under the Compliance Costs section above.

6. MINIMIZING ADVERSE IMPACT:

The proposed rule provides flexibility related to the reporting deadline for the financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The proposed rule will allow the Commissioner to administratively set a deadline for submission of the financial transparency report earlier in the year in a time frame that aligns with school district budget development schedule. There are no significant alternatives and none were considered.

7. LOCAL GOVERNMENT PARTICIPATION:

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

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

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

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

The proposed amendment provides flexibility related to the reporting deadline for the financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The proposed rule will allow the Commissioner to administratively set a deadline for submission of the financial transparency report earlier in the year in a time frame that aligns with school district budget development schedule.

3. COMPLIANCE COSTS:

The proposed amendment does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those imposed by State and federal statutes.

4. MINIMIZING ADVERSE IMPACT:

The proposed rule provides flexibility related to the reporting deadline for the financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The proposed rule will allow the Commissioner to administratively set a deadline for submission of the financial transparency report earlier in the year in a time frame that aligns with school district budget development schedule. Because the statutory requirement upon which the proposed amendment is based applies to all schools in the State, it is not possible to establish differing compliance or reporting requirements or timetables or to exempt schools in rural areas from coverage by the proposed amendment.

5. RURAL AREA PARTICIPATION:

Comments on the proposed rule were solicited from school districts through the offices of the district superintendents of each supervisory district in the State, including those located in rural areas.

Job Impact Statement

The purpose of the proposed rule is to provide flexibility related to the reporting deadline for the financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The proposed rule will allow the Commissioner to administratively set a deadline for submission of the financial transparency report earlier in the year in a time frame that aligns with school district budget development schedule. Because it is evident from the nature of the proposed amendment that it will have no impact on the number of jobs or employment opportunities in New York State, no further steps were needed to ascertain that fact and none were taken.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Continuing Education Requirements for Psychologists

I.D. No. EDU-39-20-00011-P

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

Proposed Action: Renumbering of section 72.6 to 72.7; addition of new section 72.6 to Title 8 NYCRR.

Statutory authority: Education Law, sections 7600, 7601, 7601-a, 7602-2, 7603, 7604, 7605, 7606 and 7607; as amended by L. 2018, ch. 436

Subject: Continuing Education Requirements for Psychologists.

Purpose: To implement chapter 436 of the Laws of 2018 requiring continuing education for psychologists.

Substance of proposed rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/full-text-indices>): The Commissioner of Education proposes to renumber section 72.6 to 72.7 and add a new section 72.6 to the Regulations of the Commissioner of Education, relating to mandatory continuing education for licensed psychologists. The following is a summary of the substance of the proposed regulation:

Existing section 72.6 is renumbered to section 72.7.

A new section 72.6 is added to the Regulations of the Commissioner of Education establishing continuing education requirements for licensed psychologists.

Subdivision (a) of section 72.6 defines the terms acceptable accrediting agency, higher education institution, psychotherapy institute, independent study, peer reviewed, provider of psychology continuing education, and mentoring.

Subdivision (b) of section 72.6 establishes the applicability of the continuing education requirements and exemptions from, and adjustments to, those requirements.

Paragraph (1) of subdivision (b) of section 72.6 states that each licensed psychologist, who is required to register with the New York State Education Department ("Department") to practice in New York State ("State"), must comply with the mandatory continuing education requirements prescribed in subdivision (c).

Subparagraph (i) of paragraph (2) of subdivision (b) of section 72.6 provides an exemption from the requirement for a licensee who is in the triennial registration period during which he or she is first licensed to practice in the State; or a licensee who is not engaged in psychology practice, as evidenced by not being registered to practice in the State, except as otherwise prescribed in subdivision (e) of section 72.6.

Subparagraph (ii) of paragraph (2) of subdivision (b) of section 72.6 allows the Department to adjust the requirement for the licensee who documents good cause that prevents compliance, such as poor health or a specific physical or mental disability, or extended active duty with the Armed Forces of the United States, or other good cause beyond the licensee's control, in the judgment of the Department.

Subdivision (c) of section 72.6 establishes the mandatory continuing education requirement. Subparagraph (i) of paragraph (1) of subdivision (c) of section 72.6 requires at least 36 hours of continuing education acceptable to the Department for each triennial registration period, including at least 3 hours of course work in the area of professional ethics. Any licensee whose first registration following January 1, 2021, is less than three years from that date will be required to complete one hour of accept-

able continuing education per month beginning January 1, 2021 up to the first registration date thereafter. Such continuing education must be completed during the period beginning January 1, 2021 and ending before the first day of the new registration period.

Subparagraph (ii) of paragraph (1) of subdivision (c) of section 72.6 sets the continuing education requirement during each registration period of less than three years as one hour for each month in the registration period.

Paragraph (2) of subdivision (c) of section 72.6 defines continuing education that is acceptable to the Department. Such continuing education must be in the subjects prescribed in subparagraph (i) of paragraph (2) of subdivision (c) of section 72.6 and be the types of learning activities prescribed in subparagraph (ii) of paragraph (2) of subdivision (c) of section 72.6, and is subject to the prohibitions contained in subparagraph (iii) of paragraph (2) of subdivision (c) of section 72.6.

Subparagraph (i) of paragraph (2) of subdivision (c) of section 72.6 defines acceptable continuing education subjects as contributing to professional psychology practice. Subparagraph (ii) of paragraph (2) of subdivision (c) of section 72.6 defines the types of learning activities. Clause (a) of subparagraph (ii) of paragraph (2) of subdivision (c) of section 72.6 requires that acceptable courses of learning and other education activities must be taken from a provider who has been approved by the Department, on the basis of an application and fee pursuant to subdivision (i) of section 72.6. Formal courses of learning include, but are not limited to, university and college credit and non-credit courses, and professional development programs and technical sessions related to the practice of psychology. Clause (b) of subparagraph (ii) of paragraph (2) of subdivision (c) of section 72.6 defines other acceptable education activities. Clause (c) of subparagraph (ii) of paragraph (2) of subdivision (c) of section 72.6 allows the Department, in its discretion and as needed to contribute to the health and welfare of the public, to require the completion of continuing education courses in specific subjects to fulfill this mandatory continuing education requirement.

Subparagraph (iii) of paragraph (2) of subdivision (c) of section 72.6 states that any continuing education designed for the sole purpose of personal development, marketing, business practices, and maximizing profits for the psychology of an licensed psychologist will not be considered by the Department as acceptable continuing education.

Subdivision (d) of section 72.6 provides that at each re-registration, the psychologist must certify to the Department his or her compliance with the continuing education requirements or that he or she is subject to an exemption or adjustment of the requirements. Paragraph (1) of subdivision (d) of section 72.6 prohibits a licensee who has not satisfied the continuing education requirement from practicing until the requirements have been met and a registration certificate issued by the Department, except where a licensee has been issued a conditional registration, as provided for in subdivision (f) of section 72.6. Paragraph (2) of subdivision (d) of section 72.6 prohibits the transfer of continuing education hours completed during one registration period to the subsequent registration period.

Subdivision (e) of section 72.6 prescribes the requirements for a licensee returning to practice as a psychologist after a lapse in practice, as evidenced by not being registered to practice in New York State. A licensee whose first registration date after a lapse in practice occurs less than three years from January 1, 2021 will be required to meet the requirements in paragraph (1) of subdivision (e) of section 72.6. Except as prescribed in paragraph (1) of subdivision (e) of section 72.6, a licensee returning to practice, who has not practiced lawfully in another jurisdiction throughout the lapse period must complete the requirements in paragraph (2) of subdivision (e) of section 72.6. Except as prescribed in paragraph (1) of subdivision (e) of section 72.6 a licensee returning to practice, who has practiced lawfully in another jurisdiction throughout the lapse period must complete the requirements in paragraph (3) of subdivision (e) of section 72.6.

Paragraph (1) of subdivision (f) of section 72.6 authorizes the Department to issue a conditional registration to a psychologist who attests to or admits to noncompliance with the continuing education requirement, provided that the licensee meets the requirements of the paragraph. Paragraph (2) of subdivision (f) of section 72.6 states that the duration of a conditional registration will not exceed one year and will not be renewed or extended.

Subdivision (g) of section 72.6 requires the psychologist to maintain or ensure access by the Department to records of completed continuing education as specified in that subdivision.

Subdivision (h) of section 72.6 provides for the measurement of continuing education study, specifically, that a minimum of 50 minutes of study will equal one hour of continuing education credit and that continuing education credit for other educational activities will be awarded as prescribed by the Department.

Subdivision (i) of section 72.6 establishes the requirements for Department approval of continuing education providers.

Paragraph (1) of subdivision (i) of section 72.6 states that an entity or individual seeking Department approval as a provider of continuing education to psychologists must submit the fee prescribed in subdivision (j) of section 72.6 and meet the requirements of paragraphs (2) and (3) of subdivision (i) of section 72.6.

Paragraph (2) of subdivision (i) of section 72.6 identifies an entity or individual eligible to apply to be a provider of continuing education to include, but not be limited to: (1) a higher education institution that offers programs that are registered pursuant to Part 52 of the Regulations of the Commissioner of Education as leading to licensure as a psychologist or a higher education institution that is accredited by an acceptable accrediting agency and that offers graduate coursework that is directly related to the enhancement of practice, skills and knowledge of psychologists; (2) a psychotherapy institute, as defined in paragraph (3) of subdivision (a) of section 72.6 that offers coursework that is directly related to the enhancement of practice, skills and knowledge of psychologists; (3) a national psychology organization or other professional organization; (4) a New York State psychology organization; (5) a national organization of jurisdictional boards of psychology; (6) an entity operated under an operating certificate appropriately issued in accordance with articles sixteen, thirty-one or thirty-two of the Mental Hygiene Law; (7) an entity, hospital or health facility as defined in section 2801 of the Public Health Law.

Paragraph (3) of subdivision (i) of section 72.6 establishes the standards for the Department's review of applications from prospective continuing education providers. Applications shall be submitted with the prescribed fee at least 90 days prior to the commencement of such continuing education. Prospective continuing education providers must document that the organization or individual: (1) offer courses or self-study programs in one or more of the subjects prescribed as acceptable continuing education; (2) be an organized entity or individual, as defined in paragraph (2) of subdivision (i) of section 72.6, or be another entity that employs psychologists and possesses the expertise to offer courses/educational activities; or an individual with expertise to provide continuing education to New York State licensed psychologists; or an organization desiring to provide continuing education to New York State licensed psychologists; or an organization that proposes to offer courses of learning or self-study programs to licensed psychologists; or an organized educational entity with expertise in psychology education and practice; and that meets the requirements of subdivision (i) of section 72.6; (3) provide instructor(s) who are qualified to teach the courses; (4) have a method to assess the learning of participants and describe such method; and (5) maintain records for at least six years from the date of completion of coursework, which includes the information listed in paragraph (3) of subdivision (i) of section 72.6.

Subparagraph (iii) of paragraph (3) of subdivision (i) of section 72.6 states that providers that meet the requirements of paragraph (3) of subdivision (i) of section 72.6 will be approved for a three-year term. Subparagraph (iv) of paragraph (3) of subdivision (i) of section 72.6 allows the Department to conduct site visits or request information from an approved provider to ensure compliance. Subparagraph (v) of paragraph (3) of subdivision (i) of section 72.6 states that a determination by the Department that an approved provider is not meeting the requirements will result in the denial or termination of the provider's approved status. Subparagraph (vi) of paragraph (3) of subdivision (i) of section 72.6 requires an instructor who engages in the practice of psychology to be appropriately licensed or authorized under the Education Law, when the instruction occurs in the State.

Subdivision (j) of section 72.6 establishes fees authorized by the statute. Paragraph (1) of subdivision (j) of section 72.6 establishes a \$50 mandatory continuing education fee to be paid by each licensee, in addition to the registration fees required by sections 6507-a and 8402 of the Education Law. Paragraph (2) of subdivision (j) of section 72.6 establishes a fee to be paid by a licensee applying for a conditional registration, pursuant to subdivision (f) of section 72.6, that is the same as and in addition to any applicable fee for the triennial registration, in addition to the \$50 mandatory continuing education fee. Paragraph (3) of subdivision (j) of section 72.6 establishes an application fee of \$900 to be paid by an organization or individual requesting the issuance of a permit from the Department to become an approved provider of a formal continuing education program. A fee of \$900 must accompany an application for a three-year renewal of this permit.

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

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

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

Education Law § 212(3) authorizes the State Education Department ("Department") to determine and set fees for certifications and permits.

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

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

Education Law § 7607(1)(a), as added by Chapter 436 of the Laws of 2018, requires licensed psychologists to complete mandatory continuing education as a condition for registration to practice in New York State and provides an exception to this requirement for licensees with conditional registration certificates.

Education Law § 7607(1)(b) allows licensed psychologists to be exempt from the mandatory continuing education requirement for the triennial registration period during which they are first licensed. It also authorizes the Department to adjust the requirement in certain cases.

Education Law § 7607(1)(c) of the Education Law, provides an exemption from the continuing education requirement for licensees not engaged in the practice of licensed psychology and directs the Department to establish continuing education requirements for licensees reentering the profession.

Education Law § 7607(2) of the Education Law provides that a licensed psychologist must complete the mandatory continuing education requirements to be registered to practice in New York State, and establishes the continuing education hour requirement and a prorated formula for licensees whose first registration date follows the January 1, 2021 effective date of the statute and occurs less than three years from such effective date. A minimum of three hours in a thirty-six month registration period shall be course work in the area of professional ethics, including the laws, rules and regulations for practice in New York under the law.

Education Law § 7607(3)(a) authorizes the Department to issue conditional registrations for licensed psychologists who do not meet the regular continuing education requirements, to establish requirements for such licensees under conditional registration, and to charge a fee for such conditional registration in addition to the fee for triennial registration.

Education Law § 7607(b)(3) defines acceptable continuing education as formal courses of learning and educational activities which contribute to professional practice in psychology and/or self-study activities; independent study; formal mentoring activities; publication in professional journals; or lectures which meet the standards prescribed in the Regulations of the Commissioner of Education. Such paragraph also requires that continuing education courses must be taken from a provider who has been approved by the Department, based upon an application and fee, pursuant to Regulations of the Commissioner of Education. This subdivision further authorizes the Department to require the completion of continuing education courses in specific subjects to fulfill the continuing education requirement, as needed to contribute to the health and welfare of the public. Additionally, such paragraph requires licensed psychologists to maintain adequate documentation of compliance with the continuing education requirements and provide such documentation at the request of the Department.

Education Law § 7607(c)(3) authorizes the Department to charge licensed psychologists a mandatory continuing education fee.

Chapter 436 of the Laws of 2018 provides that the new statute shall take effect January 1, 2021, and authorizes the Department to immediately add, amend, and/or repeal any rule or regulation necessary to timely implement the new statute requiring the completion of continuing education by licensed psychologists.

2. LEGISLATIVE OBJECTIVES:

The proposed rule is consistent with the above statutory authority and implements Chapter 436 of the Laws of 2018, which amends Article 153 of the Education Law by adding a new section 7607, effective January 1, 2021. Such section requires the completion of continuing education by licensed psychologists and establish standards for such continuing education. Specifically, the proposed rule establishes appropriate standards for what constitutes acceptable continuing education, continuing education requirements when there is a lapse in practice, requirements for licensees under conditional registration, recordkeeping requirements applicable to licensees, and standards for the approval of continuing education providers for licensed psychologists and recordkeeping requirements applicable to said approved providers.

3. NEEDS AND BENEFITS:

The purpose of the proposed rule is to ensure continued competency by

practicing licensed psychologists by establishing continuing education requirements that must be completed in order to be registered to practice in New York State and to establish requirements for the approval of providers of such continuing education. The proposed rule is necessary to conform the Regulations of the Commissioner of Education to Chapter 436 of the Laws of 2018, which is effective January 1, 2021.

As required by statute, the proposed rule is also needed to establish continuing education requirements when there is a lapse in practice, and requirements for licensees under conditional registration. In addition, the proposed rule is needed to establish fees for both the mandatory continuing education for each licensed psychologist, and the Department's review of providers of courses of learning or educational activities, in order to defray the cost of such review.

4. COSTS:

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

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

(c) Cost to private regulated parties. As authorized by Education Law § 7607(3)(c), the proposed rule includes a mandatory continuing education fee for licensed psychologists at each triennial registration; this mandatory continuing education fee is set at \$50. Statutory provisions also require that licensed psychologists complete a prescribed number of hours of acceptable continuing education. The proposed rule establishes a \$900 fee for the Department's review of prospective continuing education providers for approval to offer continuing education in the form of courses of learning or educational activities for a three-year term.

(d) Cost to the regulatory agency. The proposed rule does not impose additional costs on the Department beyond those imposed by statute.

5. LOCAL GOVERNMENT MANDATES:

The proposed rule implements the requirements of Education Law § 7607 relating to mandatory continuing education requirements for licensed psychologists. It does not impose any program, service, duty, or responsibility upon local governments.

6. PAPERWORK:

The proposed rule requires each licensee to maintain, or ensure access by the Department to, a record of completed continuing education for six years, which includes: the type of educational activity if an educational activity, the title of the course if a course, the subject of the continuing education, the number of hours completed, the provider's name and any identifying number (if applicable), attendance verification if a course, participation verification if another educational activity, a copy of any article or book for which continuing education credit is claimed with proof of publication, and the date and location of the continuing education. The proposed rule also requires the licensee to maintain records of independent study and mentoring or receiving mentoring as a mentee, as defined in the regulation, to ensure compliance with the requirement. In addition, the proposed rule requires providers of continuing education, approved by the Department, to maintain records for at least six years which includes: the name and curriculum vitae of the faculty, a record of attendance of licensed psychologists in the course if a course, a record of participation of licensed psychologists in the self-instructional coursework, if self-instructional coursework, an outline of the course, date and location of the course, and the number of hours for completion of the course.

7. DUPLICATION:

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 and is necessary to implement Chapter 436 of the Laws of 2018.

8. ALTERNATIVES:

The proposed rule is necessary to conform the regulations of the Commissioner of Education to Chapter 436 of the Laws of 2018. There are no significant alternatives to the proposed rule and none were considered.

9. FEDERAL STANDARDS:

Since, there are no applicable federal standards for the continuing education of licensed psychologists 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 regulations of the Commissioner of Education to Chapter 436 of the Laws of 2018. Licensed psychologists must comply with the continuing education requirements on the January 1, 2021 effective date of the authorizing statute. The statute and proposed rule establish a phase-in period during which the licensee will be required to complete less than the full 36 hours of continuing education based upon a proration formula. It is anticipated that licensees will be able to comply with the proposed rule by the effective date so that no additional period of time will be necessary to enable regulated parties to comply.

Regulatory Flexibility Analysis

(a) Small Businesses:

1. EFFECT OF RULE:

The purpose of the proposed rule is to implement Chapter 436 of the Laws of 2018, which adds a new section 7607 to the Education Law to require licensed psychologists to complete 36 hours of mandatory continuing education when registering to practice in New York State, effective January 1, 2021. This continuing education will be offered by providers approved by the State Education Department ("Department"), some of which may be small businesses. The Department does not know the exact number of providers that will be small businesses but estimates that number based on its experience with similar requirements in the profession of public accountancy as set forth in the methodology below.

Individuals licensed in public accountancy have been subject to mandatory continuing education requirements since 1985, and providers of such continuing education must be approved by the Department, after a Department review. In accounting, about 800 providers of continuing education are approved by the Department. There are about one-quarter as many licensed psychologists (14,941) registered to practice as there are individuals licensed and registered in public accountancy (63,724). Using these numbers, the Department calculates that there will be a need for about 200 providers of continuing education for licensed psychologists. Of these, based upon a survey of the providers in accounting, the Department estimates that about 75 percent or 150 will be small businesses.

The proposed rule does not distinguish between the Department's review of small business entities that seek to provide continuing education to licensed psychologists and the Department's review of any other entity that seeks to offer such coursework and/or programs.

2. COMPLIANCE REQUIREMENTS:

There are compliance requirements for providers seeking approval to offer continuing education to licensed psychologists. An entity or individual must submit an application for advance approval as a provider at least 90 days prior to the date of commencement of the continuing education coursework and/or program for review by the Department. The applicant must document in the application: curricular areas of offerings; its organizational status as an educational entity or expertise in the professional area; the qualifications of course instructors; methods for assessing the learning of participants; and recordkeeping procedures. Approved applicants will be permitted to offer continuing education to licensed psychologists for a three-year term and must apply for renewal of their permit every three years.

3. PROFESSIONAL SERVICES:

No professional services are expected to be required by small businesses to comply with the proposed rule. The regular staff of small businesses will be able to complete the application needed for the review by the Department.

4. COMPLIANCE COSTS:

An organization or an individual seeking approval as a provider of continuing education to licensed psychologists through a Department review would be required to pay the Department a fee of \$900 to defray the cost of its review. Such fee would be paid once every three years, upon submission of the organization's or individual's application. Therefore, the annualized cost is \$300.

The Department estimates that it would require a staff member or an individual to spend about eight hours to complete the application. Based on an hourly rate of \$37 per hour (including fringe benefits), the Department estimates that the cost of completing the application to be \$296. An application would have to be completed once every three years. Therefore, the annualized cost of completing the application is estimated to be approximately \$98.

An approved provider of continuing education to licensed psychologists would charge fees to those licensees who participate in its approved learning activities which would generate revenue for the provider. Although the fees would vary based on the type and form of the approved learning activities, in a majority of, if not all, cases, the compliance costs would be more than offset by fees paid to an approved provider by those licensees who participate in its approved learning activities.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed rule will not impose any technological requirements on regulated parties. See above "Compliance Costs" for the economic impact of the regulation.

6. MINIMIZING ADVERSE IMPACT:

The Department believes that the standards for provider review by the Department are reasonable, and that uniform standards should apply, regardless of the size of the sponsoring organization, in order to ensure the quality of the continuing education.

7. SMALL BUSINESS PARTICIPATION:

Members of the State Board for Psychology, many of whom have experience in a small business environment, provided input in the development of the proposed rule. In addition, staff of the Department worked with the

statewide and national professional associations and councils that represent licensed psychologists by disseminating information concerning the proposed regulation to these organizations and seeking their input. These organizations include members who own and operate small businesses.

(b) Local Governments:

The proposed rule establishes continuing education requirements for licensed psychologists and standards for providers of such continuing education. A local government agency, e.g., BOCES or social services district, may apply to become a provider of continuing education to licensed psychologists by meeting the same requirements as any other organization or individual. It will not impose any reporting, recordkeeping, or other compliance requirements, or have any adverse economic impact on local governments. Because it is evident from the nature of the proposed rule that it will not adversely affect local governments, no affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for local governments is not required and one has not been prepared.

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

The proposed rule will apply to all licensed psychologists in New York State. The proposed rule implements the provisions of Education Law § 7607, as added by Chapter 436 of the Laws of 2018 which, effective January 1, 2021, requires all licensed psychologists to complete 36 hours of continuing education during each three-year registration period. It also establishes standards for both acceptable continuing education to meet this statutory requirement and the State Education Department's ("Department") approval of continuing education providers.

The proposed rule will apply to licensed psychologists located in the 44 rural counties with less than 200,000 inhabitants and the 71 towns in urban counties with a population density of 150 per square mile or less. All 11,702 licensed psychologists who are registered by the Department to practice in New York State will be subject to the requirements of the proposed rule. Of these, 912 licensed psychologists (7.8%) report that their permanent address of record is in a rural county of the State.

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

As required by section 7607 of the Education Law, the proposed rule will require licensed psychologists, including those that reside or work in rural areas, to complete 36 hours of acceptable continuing education to be registered to practice in New York State. The proposed rule defines acceptable continuing education subjects and other types of educational activities that the Department will accept to satisfy the statutorily mandated continuing education requirements. The proposed rule requires licensees to certify that they have met the requirements upon applying for renewal of registration to practice in New York State. The proposed rule requires each licensee to maintain prescribed information concerning completed acceptable continuing education for six years from the date of completion of said education.

The proposed rule also establishes standards for the Department's approval of prospective continuing education providers desiring to offer acceptable continuing education in the form of courses of learning and/or self-study programs, including providers, who may be located in rural areas. The proposed rule requires such approved providers to maintain specified records related to the offering of the courses of learning and self-study programs for a six-year period from the date of completion of the coursework and/or programs.

The proposed rule does not impose any professional services requirements on entities in rural areas.

3. COSTS:

The proposed rule implements provisions in the statute that authorize the Department to establish a continuing education fee on each licensed psychologist and a fee for the Department review and approval of entities or individuals seeking to become an approved provider of continuing education for a three-year term. These fees are set at \$50 and \$900 respectively, consistent with the fees charged in other professions.

4. MINIMIZING ADVERSE IMPACT:

The proposed rule implements and clarifies the continuing education requirements for licensed psychologists found in section 7607 of the Education Law. The statutory requirements do not make exceptions for individuals who live or work in rural areas. Thus, the Department has determined that the proposed rule's requirements should apply to all licensed psychologists, regardless of their geographic location, to help ensure a uniform standard of continuing competency across the State.

The Department has also determined that uniform standards for the Department's review of providers are necessary to ensure quality offerings in all parts of the State. Because of the nature of the proposed rule, alternative approaches for rural areas were not considered.

5. RURAL AREA PARTICIPATION:

Comments on the proposed rule were solicited from statewide organizations representing all parties having an interest in the practice of licensed

psychologists. Included in this group was the State Board for Psychologists and professional associations representing the psychology profession. These groups have members who live or work in rural areas.

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

Pursuant to State Administrative Procedure Act section 207(1)(b), the State Education Department proposes that the initial review of this rule shall occur in the fifth calendar year after the year in which the rule is adopted, instead of in the third calendar year. The justification for a five-year review period is that the proposed rule is necessary to implement statutory requirements in Chapter 436 of the Laws of 2018 and, therefore, the substantive provisions of the proposed rule cannot be repealed or modified unless there is a further statutory change. Accordingly, there is no need for a shorter review period.

The Department invites public comment on the proposed five-year review period for this rule. Comments should be sent to the agency contact listed in item 10 of the Notice of Proposed Rule Making published herewith, and must be received within 60 days of the State Register publication date of the Notice.

Job Impact Statement

Education Law § 7607, as added by Chapter 436 of the Laws of 2018, effective January 1, 2021, establishes mandatory continuing education requirements for licensed psychologists registered to practice in New York State. The proposed rule implements the requirement of Chapter 436 of the Laws of 2018, that every licensed psychologist complete 36 hours of continuing education during each three-year registration period and establishes standards for both acceptable continuing education to meet this statutory requirement and the Department's approval of continuing education providers.

Because, the proposed regulation implements specific statutory requirements and directives, any impact on jobs and employment opportunities created by establishing a continuing education requirement for licensed psychologists is attributable to the statutory requirement, not the proposed rule, which simply establishes standards that conform with the requirements of the statute. In any event, similar statutory continuing education requirements were established for individuals licensed as physical therapists in 2009 and social workers in 2015, and the Department is not aware that those requirements significantly affected jobs or employment opportunities in those professions. In addition, the statutory continuing education requirement for licensed psychologists may increase job and employment opportunities for prospective approved continuing education providers and their current and potential employees.

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

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Authorize NY Higher Education Institutions to Participate in SARA and the Approval of Out-of-State Institution to Provide Distance Education

I.D. No. EDU-39-20-00013-P

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

Proposed Action: Amendment of Part 49 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 210, 210-c, 212; Finance Law, section 97-llll

Subject: Authorize NY Higher Education Institutions to Participate in SARA and the Approval of Out-of-State Institution to provide distance Education.

Purpose: To align the Commissioner's regulations with national SARA policy and Federal regulations.

Substance of proposed rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/full-text-indices>): Summary of changes to Subpart 49-1

- 49-1.1(h): NC-SARA, the national SARA governing body, has changed the title of its governing document from SARA Policies and Standards to State Authorization Reciprocity Agreements Manual. The proposed amendments reference the updated document.

- 49-1.2(g): Due to changes in federal regulations, NC-SARA recently changed its policy on disclosures related to programs leading to professional licensure. The proposed amendments bring the regulation into alignment with current SARA policy.

- 49-1.2(n): The proposed amendments include a requirement for institutions that wish to participate in SARA to provide the institution's and SARA's complaint policies to all students taking courses under SARA. This is in alignment with NC-SARA policy.

- 49-1.3(b)(2), 49-1.4(b), and 49-1.5: The regulation does not currently specify a timeframe for an appeal when the department denies an application (initial or renewal) or when the department revokes approval. The proposed amendments specify a 10-day window for institutions to appeal such decisions. This aligns with the timeframe for out-of-state institutions to appeal a denial under Subpart 49-2, subsection (b)(2) and proposed amendments to Subpart 49-2.

- Additional minor corrections and clarifications were made throughout. Summary of changes to Subpart 49-2

- Throughout: References to "New York State residents" have been updated to "individuals located in New York State" to align with federal regulations related to state authorization of distance education.

- 49-2.1(a) and 49-2.2(e): Subpart 49-2 applies to degree-granting institutions in states other than New York or in U.S. Territories. The proposed amendments add "U.S. territories" to two sections where this phrase was inadvertently left out.

- 49-2.2(d): In order to align Part 49 with Section 3.56 of the Rules of the Board of Regents (Permission to Operate with a Physical Presence), added the underlined phrase to the definition of Distance Education: credit-bearing post-secondary instruction offered by any means where the student and faculty member are in separate physical locations, and the student is not required to report to a specific location for synchronous instruction. It includes, but is not limited to, online, interactive video or correspondence courses or programs. It does not include intrastate distance education activity.

- 49-2.2(h): Added the definition of Financial Responsibility Index Score: a numeric score calculated by the department for nonpublic institutions of higher education using United States Department of Education methodology as described in federal regulation 34 CFR § 668.172. The financial responsibility index score is calculated at the highest level of ownership.

- 49-2.3(c): Removed a reference to USDE calculated score and replaced it with new definition of Financial Responsibility Index Score in 49-2.2(h).

- 49-2.3(n): Removed this paragraph referencing a potential waiver of the requirements listed in 49-2.3. The current regulation requires that, in order to be authorized to provide postsecondary distance education in NYS, a non-SARA institution possess a financial responsibility index score from the U.S. Department of Education that is 1.5 or above. The original intent of the waiver was to provide a mechanism for institutions that don't participate in Title IV to seek authorization, as such institutions typically do not have a financial responsibility index score from the U.S. Department of Education. The proposed changes to 49-2.2(h) and 49-2.3(c) give non-Title IV institutions the ability to seek authorization because it has been clarified that the financial responsibility score is calculated by NYSED using federal methodology, as opposed to an official score calculated by the U.S. Department of Education. This clarification makes the waiver provision unnecessary.

- 49-2.4(b)(2), 49-2.5(b), and 49-2.6(a): An institution whose initial application for approval under Part 49-2 is denied may appeal the Department's decision within 10 days. The regulation does not currently specify a timeframe for an appeal of a denial of a renewal application or for an appeal of a revocation of authorization. The proposed amendments will align these three sections of the regulation by specifying a 10-day appeal window for all three situations.

- Additional non-substantive, technical corrections and clarifications were made throughout.

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

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

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

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

Education Law 212 authorizes the Commissioner to collect a fee for services and expenses incurred by the department in conducting evaluations or performing other administrative functions related to the review of post-secondary distance education conducted by out-of-state institutions seeking approval to offer distance education to students in New York State.

Education Law 210(c) authorizes the commissioner to enter into SARA and/or any regional compacts on behalf of this state with one or more other states to provide for the reciprocity of postsecondary distance education and to carry out all activities necessary to carry out such function.

Education Law 212 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.

NYS State Finance Law Section 97-lIII establishes the creation of an Interstate Reciprocity for Post-Secondary Education Account in the joint custody of the Office of the State Comptroller and the Commissioner of Taxation and Finance.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed technical amendments to Part 49 of the Regulations of the Commissioner relating to the authorization of New York higher education institutions to participate in the State Authorization Reciprocity Agreement (SARA) and the approval of out-of-state institutions to provide distance education to New York residents, is to correct and clarify the language, and to bring the regulation into conformity with the changes to national SARA policy and federal regulations, and to align the regulation with its intent.

3. NEEDS AND BENEFITS:

During the first half of 2015, the Board of Regents discussed the possibility of joining SARA, and the Department drafted legislation which would provide the Commissioner with the authority to join SARA on behalf of New York State, provide the Department the authority to collect fees from New York State institutions that want to participate in SARA and from out-of-state institutions that do not participate in SARA but who want to offer distance education in New York State.

On August 13, 2015, the Governor signed into law Chapter 220 of the Laws of 2015 which enacted a new Education Law § 210-c to give the Commissioner the authority to enter into SARA, subject to an appropriation, and provided the Department with the authority to collect fees from NYS and out-of-state institutions of higher education to cover the administrative costs of this work.

At the September 2016 Board of Regents meeting, the Higher Education Committee voted to adopt regulations to authorize New York State institutions to participate in SARA for postsecondary distance education, and for the approval of out-of-state institutions to provide distance education to New York State residents. The Higher Education Committee directed the Department to evaluate the implementation of SARA and report back to the committee in one year.

At the January 2018 Board of Regents meeting, the Higher Education Committee received an update from the Department on the status of New York State's participation in SARA and the regulation of interstate distance education.

Since the September 2016 adoption of Part 49 of the Regulations of the Commissioner, 130 New York institutions currently participate in the reciprocity agreement. During the 2018-2019 academic year, 36,164 out-of-state distance education students enrolled at New York SARA institutions. Additionally, 47,934 New York students enrolled at out-of-state SARA institutions.

The Department has also approved 38 out-of-state non-SARA institutions to offer distance education in New York State. Of those 38 approvals, 24 are currently active. A number of institutions, particularly in Florida and Massachusetts, chose not to apply for renewal of authorization after their states joined SARA.

The Department now proposes several technical amendments to Part 49 to bring the regulations into conformity with national SARA policy and federal regulations, and to correct and clarify language, thereby aligning the regulation with its intent.

4. COSTS:

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

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

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

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

The proposed amendments do not impose any additional paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

Because the State believes that the technical amendments are necessary to bring existing regulations into alignment with current legislation and policy, no alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

A Notice of Proposed Rule Making will be published in the State Register on September 30, 2020. Following the 60-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendment will be presented to the Board of Regents for adoption at its December 2020 meeting. If adopted at the December 2020 meeting, the proposed amendment will become effective on December 30, 2020.

Regulatory Flexibility Analysis

The purpose of the proposed technical amendments to Part 49 of the Regulations of the Commissioner relating to the authorization of New York higher education institutions to participate in the State Authorization Reciprocity Agreement (SARA) and the approval of out-of-state institutions to provide distance education to New York residents, is to correct and clarify the language, and to bring the regulation into conformity with the changes to national SARA policy and federal regulations, and to align the regulation with its intent.

During the first half of 2015, the Board of Regents discussed the possibility of joining SARA, and the Department drafted legislation which would provide the Commissioner with the authority to join SARA on behalf of New York State, provide the Department the authority to collect fees from New York State institutions that want to participate in SARA and from out-of-state institutions that do not participate in SARA but who want to offer distance education in New York State.

On August 13, 2015, the Governor signed into law Chapter 220 of the Laws of 2015 which enacted a new Education Law § 210-c to give the Commissioner the authority to enter into SARA, subject to an appropriation, and provided the Department with the authority to collect fees from NYS and out-of-state institutions of higher education to cover the administrative costs of this work.

At the September 2016 Board of Regents meeting, the Higher Education Committee voted to adopt regulations to authorize New York State institutions to participate in SARA for postsecondary distance education, and for the approval of out-of-state institutions to provide distance education to New York State residents. The Higher Education Committee directed the Department to evaluate the implementation of SARA and report back to the committee in one year.

At the January 2018 Board of Regents meeting, the Higher Education Committee received an update from the Department on the status of New York State's participation in SARA and the regulation of interstate distance education.

Since the September 2016 adoption of Part 49 of the Regulations of the Commissioner, 130 New York institutions currently participate in the reciprocity agreement. During the 2018-2019 academic year, 36,164 out-of-state distance education students enrolled at New York SARA institutions. Additionally, 47,934 New York students enrolled at out-of-state SARA institutions.

The Department has also approved 38 out-of-state non-SARA institutions to offer distance education in New York State. Of those 38 approvals, 24 are currently active. A number of institutions, particularly in Florida and Massachusetts, chose not to apply for renewal of authorization after their states joined SARA.

The Department now proposes several technical amendments to Part 49 to bring the regulations into conformity with national SARA policy and federal regulations, and to correct and clarify language, thereby aligning the regulation with its intent.

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

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed amendment applies to all higher education institutions including those located in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

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

The purpose of the proposed technical amendments to Part 49 of the Regulations of the Commissioner relating to the authorization of New York higher education institutions to participate in the State Authorization Reciprocity Agreement (SARA) and the approval of out-of-state institutions to provide distance education to New York residents, is to correct and clarify the language, and to bring the regulation into conformity with the changes to national SARA policy and federal regulations, and to align the regulation with its intent.

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The Department now proposes several technical amendments to Part 49 to bring the regulations into conformity with national SARA policy and federal regulations, and to correct and clarify language, thereby aligning the regulation with its intent.

3. COSTS:

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

4. MINIMIZING ADVERSE IMPACT:

The proposed amendments are technical in nature and serve to bring Part 49 into conformity with national SARA policy and federal regulations, and to correct and clarify language, thereby aligning the regulation with its intent. Therefore, no alternatives were considered for those institutions located in rural areas of the State.

5. RURAL AREA PARTICIPATION:

Institutions of higher education in rural areas will have an opportunity to participate in the rule making process when the proposed rule is published in the State Register.

Job Impact Statement

The purpose of the proposed technical amendments to Part 49 of the Regulations of the Commissioner relating to the authorization of New York higher education institutions to participate in the State Authorization Reciprocity Agreement (SARA) and the approval of out-of-state institutions to provide distance education to New York residents, is to correct and clarify the language, and to bring the regulation into conformity with the changes to national SARA policy and federal regulations, and to align the regulation with its intent.

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The Department now proposes several technical amendments to Part 49 to bring the regulations into conformity with national SARA policy and federal regulations, and to correct and clarify language, thereby aligning the regulation with its intent.

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.

Department of Environmental Conservation

NOTICE OF ADOPTION

Regulations Governing the Recreational Harvest of Bluefish

I.D. No. ENV-21-20-00003-A

Filing No. 608

Filing Date: 2020-09-17

Effective Date: 2020-09-30

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

Action taken: Amendment of Part 40 of Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, sections 13-0105 and 13-0340

Subject: Regulations governing the recreational harvest of bluefish.

Purpose: To revise regulations concerning the recreational harvest of bluefish in New York State.

Text or summary was published in the May 27, 2020 issue of the Register, I.D. No. ENV-21-20-00003-EP.

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

Text of rule and any required statements and analyses may be obtained from: Rachel Sysak, New York State Department of Environmental Conservation, 205 N Belle Mead Rd. Suite 1, East Setauket, NY 11733, (631) 444-0469, email:rachel.sysak@dec.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 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

REVISED RULE MAKING NO HEARING(S) SCHEDULED

Clarifying Determination of Jurisdiction Under the Endangered and Threatened Fish and Wildlife Regulations

I.D. No. ENV-37-19-00003-RP

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

Proposed Action: Amendment of Part 182 of Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, sections 3-0301 and 11-0535

Subject: Clarifying determination of jurisdiction under the Endangered and Threatened Fish and Wildlife regulations.

Purpose: To improve the review of projects by removing some project types that are known not to cause harm from the review stream.

Text of revised rule: Amend Part 182 of 6 NYCRR as follows:

Amend subdivision 6 NYCRR 182.2 as follows:

(g) 'Experimental population' means a group of *individuals* of [members of an extirpated] *a threatened or endangered* species listed in this Part that *has been designated by the department in accordance with 182.17 of this Part* [is being re-introduced into suitable habitat] *for introduction into an experimental population area to aid in the recovery of the species* within [its historic range in] New York.

(h) 'Experimental population area' means a discrete geographical area composed of sufficient, suitable habitat capable of sustaining a population of a specific listed species that is established in accordance with 182.17 of this Part for the purposes of establishing an experimental population.

(i) [(h)] Extinct means species no longer living or existing.

(j) [(i)] Extirpated or Extirpation means not extinct, but no longer occurring in a wild state within New York, or no longer exhibiting patterns of use traditional for that species in New York (e.g., historical breeders no longer breeding here).

(k) [(j)] Incidental take means any taking of a species listed as endangered or threatened in section 182.5 of this Part and otherwise prohibited by section 11-0535 of the Environmental Conservation Law that is incidental to, and not the intended purpose of, an otherwise lawful activity.

(l) [(k)] Incidental Take Permit means a document issued by the department pursuant to section 11-0535 of the Environmental Conservation Law and this Part allowing the incidental take of any species listed as endangered or threatened in this Part.

(m) [(l)] Lesser acts means, for the purposes of this Part, harassing, harming, maiming, wounding or collecting any species listed as endangered or threatened in section 182.5 of this Part, any act which is likely to cause the death of or injury to any individual member(s) of a species listed as endangered or threatened in section 182.5 of this Part, any adverse modification of habitat of any species listed as endangered or threatened in section 182.5 of this Part, and any interference with or impairment of an essential behavior of a species listed as endangered or threatened in section 182.5 of this Part.

(n) [(m)] Native means any species that spends some portion of its life cycle within New York State, has occurred here on a regular basis for many years, and was not intentionally or accidentally released into New York. A species is also considered native if it formerly met the conditions of this definition.

(o) [(n)] Net conservation benefit means a successful enhancement of the species' subject population, successful enhancement of the species' overall population or a contribution to the recovery of the species within New York. To be classified as a net conservation benefit, the enhancement or contribution must benefit the affected species listed as endangered or threatened in this Part or its habitat to a greater degree than if the applicant's proposed activity were not undertaken.

(p) [(o)] Occupied habitat means a geographic area in New York within which a species listed as endangered or threatened in this Part has been determined by the department to exhibit one or more essential behaviors. Once identified as occupied habitat, the department will continue to consider that area as occupied habitat until the area is no longer suitable habitat for that species or monitoring has indicated that reoccupation by that species is unlikely.

(q) [(p)] Person means any Federal or State department, agency, board, public benefit corporation, public authority or commission, a county, municipal corporation, or any other political subdivision of the State, and any individual, corporation, partnership, firm or any other legal entity whatsoever.

(r) [(q)] Population means members of the same species occupying a defined geographic area of limited extent.

(s) [(r)] Regional permit administrator means an employee of the depart-

ment located in one of the nine regional offices of the department and designated to act on the Commissioner's behalf in carrying out the provisions of 6 NYCRR Part 621 (Uniform Procedures).

(t) [(s)] Self-sustaining means a species or population whose abundance and distribution throughout the State is maintained by natural recruitment at a level sufficient to allow for its continued existence such that there is not a need for ongoing, intensive management or intervention.

(u) [(t)] Species means any subspecies, distinct group or any distinct population segment of any such group of fish or wildlife which interbreeds when mature. The term species refers not only to independent or adult individuals, but also to any life form, stage, or part of the species, including but not limited to eggs, larvae or pupae. The term species does not include fish or wildlife produced as a result of artificial hybridization.

(v) [(u)] Species of special concern are native species of fish and wildlife found by the department to be at risk of becoming threatened in New York based on the criteria for listing in section 182.4(a) of this Part and that are listed species of special concern in section 182.5(c) of this Part. Species of special concern do not qualify as either endangered or threatened, as defined in subdivisions (e) and (y) of this section, but have been determined by the department to require some measure of protection to ensure that the species does not become threatened. Species of special concern are listed in section 182.5(c) of this Part and are protected wildlife pursuant to Environmental Conservation Law section 11-0103(5)(c).

(w) [(v)] Subject population means any individual member(s) of any species listed as endangered or threatened in this Part utilizing occupied habitat within or adjacent to the geographic area of an activity subject to this Part.

(x) [(w)] Subspecies means a taxonomic group that is a division of a species and usually, but not always, arises as a consequence of geographical isolation within a species. The term subspecies does not include fish or wildlife produced as a result of artificial hybridization.

(y) [(x)] Take or taking means the pursuing, shooting, hunting, killing, capturing, trapping, snaring and netting of any species listed as endangered or threatened in this Part, and all lesser acts such as disturbing, harrying or worrying.

(z) [(y)] Threatened species are any species that:

(1) are native species likely to become an endangered species within the foreseeable future in New York based on the criteria for listing in section 182.3(b) of this Part and that are listed as threatened in section 182.5(b) of this Part; or

(2) are species listed as threatened by the United States Department of the Interior in the Code of Federal Regulations (50 CFR part 17).

Amend subdivision 6 NYCRR 182.3(b)(3) as follows:

(3) whether the species is designated as a Federal candidate species under the Federal Endangered Species Act or is listed as endangered or threatened in [any] *three or more* adjacent states or provinces;

Amend subdivision 6 NYCRR 182.4(a)(1) as follows:

(1) The species is designated as a Federal Candidate species under the Federal Endangered Species Act or is listed as endangered or threatened in *any adjacent state or province* three or more adjacent states or provinces];

Amend subdivision 6 NYCRR 182.9(b) as follows:

(b) A request for a determination under subdivision (a) of this section shall be directed to the appropriate regional permit administrator, shall be in writing and shall, at a minimum, contain a *full* description of the activity being proposed that *includes a proposed site plan showing the limits of disturbance and a map of the location of the proposed activity that includes the address and tax parcel identification*.

Amend subdivision 6 NYCRR 182.9(c) as follows:

(c) Department response to request for determination.

(1) Within 30 *calendar* days of receipt of a request for determination, the department shall provide a written answer to the person making the request stating whether the proposed activity is subject to regulation under this Part, requesting additional information necessary to make such a determination, or advising that one or more of the factors cited in paragraph (3) of this subdivision require an extension of the 30-day time period.

(2) If the department determines that the proposed activity is subject to regulation under this Part, the department's response must describe the take or taking that may result from the proposed activity, *including any adverse modification of habitat and/or interference with or impairment of an essential behavior of a species listed as endangered or threatened in section 182.5 of this Part*.

(3) In the event that weather, the subject species' essential behavior, habitat conditions or other environmental factors prevent the department from making a determination within 30 *calendar* days, it may extend such time period until a determination can be made.

(4) *If the department determines the proposed activity is not subject to regulation under this Part, the department's determination is valid for one year from date of issuance as long as there are no changes to the activities or locations proposed in the jurisdictional request and no feder-*

ally listed species are confirmed within the project footprint prior to the expiration of one year.

(d) All determinations made under this section will be kept on file at the appropriate regional office for three years.

Amend subdivision 6 NYCRR 182.13(a)(3) to read as follows:

(3) A taking of any species listed as endangered or threatened in this Part resulting from existing, routine and ongoing agricultural activities. For purposes of this section, routine and ongoing agricultural activities include but are not limited to cultivation and tillage of soil, crop rotation, fallowing, grazing and watering of livestock, making reasonable use of water resources, planting or harvesting natural or agricultural products, and otherwise engaging in the use of land for growing agricultural products. For purposes of this section, routine and ongoing agricultural activities must have occurred on the property within the previous 5 years and do not include forest management activities or the conversion of agricultural land to non-agricultural use.

Add new paragraphs 6 NYCRR 182.13(a)(6) and (7) to read as follows:

(6) Activities that would result in incidental take of members of an experimental population within an experimental population area designated pursuant to 182.17.

(7) Activities that adversely impact occupied habitat that occurs entirely within or upon manufactured structures or dwellings when listed species, including active nests, eggs or young, are not present. For the purposes of this section, this applies to all human construction with the exception of abandoned mines and human-modified caves and tunnels that serve as hibernacula for listed bats.

Delete subdivision 6 NYCRR 182.13(b)

Amend 6 NYCRR 182 to add new section 182.17 as follows:

(6) Activities that would result in incidental take of members of an experimental population within an experimental population area designated pursuant to 182.17.

(7) Activities that adversely impact occupied habitat that occurs entirely within or upon manufactured structures or dwellings when listed species, including active nests, eggs or young, are not present. For the purposes of this section, this applies to all human construction with the exception of abandoned mines and human-modified caves and tunnels that serve as hibernacula for listed bats.

Delete subdivision 6 NYCRR 182.13(b)

Amend 6 NYCRR 182 to add new section 182.17 as follows:

182.17 Experimental Population Designation

(a) Experimental populations are designated by the department through the following process:

(1) A proposal is prepared that meets the following criteria:

(i) The proposal must identify the species and define the experimental population area covered by the experimental population designation.

(ii) Experimental population areas must be geographically distinct from existing habitat occupied by the target species. The boundaries of experimental population areas will follow existing county, town, village and water body boundaries to the maximum extent practicable.

(iii) To be considered as an experimental population area, the Department must conclude that enough suitable habitat, in terms of quantity, quality, and existing protected status, exists in the geographic area to be designated such that the likelihood of successful establishment is reasonably assured.

(2) The department will publish the proposal in the Environmental Notice Bulletin and provide notice of publication to the chief executive officer(s) of the municipality or municipalities in the affected geographic area identified in the proposal.

(3) Upon publication in the Environmental Notice Bulletin, there will be a 30 day public comment period that begins on the day of publication.

(4) Upon completion of the public comment period, the department will make a decision to adopt, modify or reject the proposal.

(5) If the department modifies the proposal, it will republish the modified proposal and resume the process as indicated in part (2) of this subsection.

(6) If the department adopts the proposal, the experimental population designation becomes official upon the date of publication by the department of its decision to adopt the proposal in the Environmental Notice Bulletin.

(b) Once designated as an experimental population, that designation continues until the species is removed from the list of threatened and endangered species in 182.5.

(c) Animals of a listed species that occur within an experimental population area designated for that species are protected wildlife pursuant to 11-0103(6)(c) and are protected from intentional take, but their presence cannot be used to identify occupied habitat for regulatory purposes within the experimental population area.

Revised rule compared with proposed rule: Substantive revisions were made in section 182.9(c)(4).

Text of revised proposed rule and any required statements and analyses may be obtained from Daniel Rosenblatt, New York State Department of Environmental Conservation, 625 Broadway, Albany, NY 12233-4754, (518) 402-8884, email: daniel.rosenblatt@dec.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: A full Environmental Assessment Form has been prepared to support this rule making.

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

The edits made to the Express Terms in this revised rule making do not require any changes to the Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement.

Assessment of Public Comment

The Department posted the notice of proposed rulemaking on September 11 and initiated a 60-day public comment period. This comment period was extended 30 days, with the public comment period closing on December 10, 2019. The Department received 32 comments on the proposal. Some comments addressed general concerns about the protection of listed species, including both suggestions for new initiatives and/or concerns regarding the intent of the regulations, but were not specific to the actions proposed in the draft regulations. Several comments provided general support for the proposed revisions and encouraged the state to maintain or restore viable populations of listed species. Some commenters expressed general concern that any additional exemptions would weaken protection and result in detrimental effects to listed species. The Department has updated its website (<https://www.dec.ny.gov/animals/68645.html>) on the new regulation to address general concerns. Comments that address the specific text of the proposed regulation, and the Department's response to that input follow:

Comment: The proposed change to 182.3(b)(3) is not necessary for listing threatened and endangered species.

Response: This change was made to make this criterion for being listed as a threatened or endangered species more stringent than is the current standard for Species of Special Concern (see 6 NYCRR 182.4). The Department utilizes all criteria in 182.3 during its deliberation of listing decisions, so a species that is only listed in one adjacent state or province may still be listed if it qualifies under one or more of the other criteria.

Comment: Consider amending the Endangered Species regulations to include an exemption for renewable energy projects that would recognize renewable energy projects are not the cause for the endangered and threatened species status.

Response: Large scale renewable energy projects will be reviewed under a separate regulatory framework currently being established under the Accelerated Renewable Energy Growth and Community Benefit Act. For renewable energy projects that are not covered under the new regulatory framework, the Department will apply Part 182 and is required to comply with the Climate Leadership and Community Protection Act in making its determinations on how such projects are reviewed. In general, the Department does not evaluate projects based on their relationship to the causes of a species' listing. Instead, the Department's review evaluates how a proposed project would affect a listed species. Any action that destroys limited habitat, prevents successful reproduction or kills or harms listed species potentially contributes to the further endangerment of listed species. Renewable energy projects, like other forms of development, have the potential to do all these things. Dams for hydropower can impact listed fish, wind projects can cause bird and bat fatalities from collisions with wind turbines and solar projects built within the habitat of listed grassland breeding birds remove breeding and foraging habitat. While there are certainly environmental benefits that may be derived from renewable energy projects, negative impacts to listed species should still be avoided to the greatest extent practicable in the design, siting and implementation of the projects. If impacts are not avoidable, appropriate mitigation should be provided. Providing a blanket exemption from these regulations would remove the incentive for the planners of these projects to take appropriate measures into account during their development. The Department is ready and willing to work with alternative energy projects to help site projects in areas where conflicts with listed species are avoidable. In addition, the Department is open to considering demonstrations from renewable energy project applicants that demonstrate how their proposed project benefits the listed species to a greater extent than they are being impacted by their project.

Comment: Consider adding "within a discrete geographic section of New York, such as an island or county" to the definition of extirpation at current 182.2(i).

Response: The definition of extirpation was not proposed for change as part of this rulemaking, so this comment is beyond the scope of the current

action. It is unclear what additional conservation utility would be provided by this suggestion. If considered in a future rule making, this suggestion may result in confusion over the regulatory status of animals and the rules regarding them as you move from one part of New York to another.

Comment: Limiting agency protection and oversight via the experimental population designation exposes them to unnecessary risk.

Response: As currently described in proposed 182.17(a)(1)(iii), the Department would only establish an experimental population within an area where the Department has determined there is already enough habitat in protected status to sustain a population of the listed species. Under these circumstances, the protections afforded by the delineation of occupied habitat would not be necessary, as these habitats would have already been deemed sufficiently protected by the Department. The animals themselves would still be protected wildlife as per 182.17(c), meaning it would still be illegal to intentionally take (i.e. kill, trap, harm) the animals within an experimental population. In addition, 182.17(a)(1)(ii) restricts the designation of experimental populations to locations outside the current distribution of the species. Therefore, this definition cannot apply to areas already occupied by the species. No existing occupied habitat will lose its designation as the result of the new rule. For these reasons, the Department believes the proposed experimental population definition and exemption is an important tool that can aid in the recovery of a species if the Department chooses to use it.

Comment: The regulations are vague as to how an experimental population area would transition to 'occupied habitat.'

Response: The regulations do not allow for the conversion of an experimental population area into occupied habitat. The criteria for designation of experimental population areas requires the Department to make the determination that a population can be established without the need for incidental take protection. The two anticipated reasons for removing an experimental population designation would be because the species was successfully recovered to the point of delisting or the effort to establish the experimental population was unsuccessful. In either situation, there would no longer be regulated occupied habitat within the experimental population area.

Comment: The regulations are unclear on what the status of an experimental population becomes after this designation is removed.

Response: The intent of the experimental population designation is to afford the Department the flexibility necessary to help restore the species to the point where listing is no longer required. With this goal in mind, the only reasons for removal of the experimental designation would be either:

- a) the Department was successful in its restoration efforts and the species is no longer listed; or
- b) the population was not successfully established and an experimental population is no longer extant.

Comment: Consider adding rivers, watershed or other aquatic boundaries to identify the limits of an experimental population area.

Response: The Department agrees that there may be species and situations where these features may more accurately define the limits of an experimental population area and will use them when warranted.

Comment: Is it the Department's intent to utilize experimental populations for all future introduction efforts?

Response: It is not the intent of the Department to use experimental populations for all future introduction efforts. The Department will use experimental populations only in those situations where it is necessary to implement population management in areas that the Department has determined are capable of sustaining a population (i.e. the presence of adequate, suitable, protected habitat), but support for the project is contingent upon regulatory certainty.

Comment: Several respondents supported the creation of experimental populations, recognizing that it is an important tool for allowing reintroductions of listed species to proceed by encouraging participation and support of landowners. Reintroductions have been vital in the restoration of many species, including bald eagles and peregrine falcons in New York.

Response: The Department concurs that having the option of creating experimental populations may enable restoration efforts for some species that may otherwise be unlikely to proceed due to local opposition.

Comment: The regulations are intended to reduce the number of projects entering the review stream. This can weaken current protections by prioritizing permitting efficiency over a thorough review process.

Response: The new exemptions were specifically chosen to reflect the types of projects that historically have never required incidental take permits from the Department. The Department is not reducing protections afforded to listed species in New York through these changes, but instead reducing the number of projects that require review. As a result, more Department resources will be available to focus on projects that have potentially harmful impacts, achieving better outcomes for both the species and the applicants.

Comment: Allowing jurisdictional determinations to be valid for one year from date of issuance should not preclude new information on listed

species from triggering a revised determination of jurisdiction, particularly if a federally listed species occurs within the project footprint.

Response: The existing regulations have no timetable related to the longevity of a non-jurisdictional determination. The Department believes one year is a reasonable time period to allow a project to proceed through the permitting process before a new assessment would be required. However, we recognize that new information regarding federally listed species must be taken into account and have revised the language to reflect this. The Department does not have the authority to authorize the taking of federally listed species without concurrence of the United States Fish and Wildlife Service. If such a species moves into the project area before a year expires or a species known to be present becomes listed through a federal rule making, the Department would need to modify its jurisdictional determination. Text to address this issue has been added to proposed 182.9(c)(4).

Comment: The Department should allow for extensions beyond one-year jurisdictional determinations in consideration of the time and resources needed to properly develop project applications.

Response: The Department recognizes that certainty for project applicants is important. By providing a year from the time a jurisdictional determination is made, the applicant has a reasonable amount of time to develop a project and obtain any necessary approvals. However, any longer timeframe increases the likelihood of changes to the habitat and species composition at the project location, as well as changes in threatened and endangered species listings and the state and federal laws that protect them. If new information becomes available that warrants evaluation, one year is an appropriate timeframe for reassessment. One year covers the entire spectrum of seasons over which any new observations of relevant species behavior may be made. However, see the response to the comment above that addresses the limits of Department authority on federally listed species.

Comment: DEC's exemption for man-made structures "when listed species are not present" is overly broad and does not clarify how long would constitute absence.

Response: The Department agrees that the proposed language was imprecise. The intent is to avoid impacts while listed species are utilizing the structure for breeding or hibernating. The Department has added language to Part 182.13(a)(7) that clarifies that the exemption applies as long as an animal, egg, or active nest is present (e.g., birds are utilizing the nest during the breeding season but may be absent for short periods of time as they forage).

Comment: The existing language describing an experimental population as "a group of individual members" is preferable to "population of threatened or endangered species."

Response: The Department agrees and has modified the definition of experimental population in Part 182.2(g) accordingly. The intent behind experimental populations is to provide the Department with the ability to increase the number of populations across the landscape to aid in recovering species in New York. The "experimental population" will be made up of individual animals.

Department of Financial Services

EMERGENCY RULE MAKING

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

I.D. No. DFS-39-20-00001-E

Filing No. 581

Filing Date: 2020-09-09

Effective Date: 2020-09-09

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

Action taken: Addition of new section 52.16(p) to Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; Insurance Law, sections 301, 3216, 3217, 3221 and 4303

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

Specific reasons underlying the finding of necessity: The novel coronavirus ("COVID-19") has spread to millions of people worldwide, with several hundred thousand confirmed cases in New York State. While the

number of hospitalizations for COVID-19 has diminished sharply in New York, there are still numerous cases of New Yorkers testing positive for COVID-19. The Centers for Disease Control has confirmed that COVID-19 seems to spread easily and sustainably in communities in affected areas. Given the public health implications related to COVID-19, it is essential that cost-sharing not serve as a barrier to testing for COVID-19.

This amendment prohibits health care plans that provide hospital, surgical, or medical expense insurance policies or contracts from imposing, and provides that no insured shall be required to pay, copayments, coinsurance, or annual deductibles for covered in-network laboratory tests to diagnose COVID-19 and for visits to diagnose COVID-19 at the following locations, including through telehealth: an in-network provider's office, an in-network urgent care center, any other in-network outpatient provider setting able to diagnose COVID-19, or an emergency department of a hospital. Copayments, coinsurance, or annual deductibles may be imposed in accordance with the applicable policy or contract for any follow-up care or treatment for COVID-19, including an inpatient hospital admission, as otherwise permitted by law. The amendment requires every health care plan to provide written notification of the requirements of the amendment to its in-network providers in order to ensure that the providers do not require any insured to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed under the amendment. This notification should ensure that providers do not collect a copayment, coinsurance, or annual deductible at any time, including when the services are provided, which is typically when such payment is collected.

Since the situation regarding COVID-19 is constantly evolving, and to ensure that cost-sharing does not serve as a barrier to testing for COVID-19, it is imperative that this amendment be promulgated on an emergency basis for the preservation of public health.

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

Purpose: To waive cost-sharing for in-network visits and laboratory tests necessary to diagnose the novel coronavirus (COVID-19).

Text of emergency rule: Section 52.16(p) is added as follows:

(p)(1) *No policy or contract delivered or issued for delivery in this State that provides hospital, surgical, or medical expense insurance coverage shall impose, and no insured shall be required to pay, copayments, coinsurance, or annual deductibles for the following services when covered under the policy or contract:*

(i) *in-network laboratory tests to diagnose the novel coronavirus (COVID-19); and*

(ii) *visits to diagnose the novel coronavirus (COVID-19) at the following locations, including through telehealth: an in-network provider's office, an in-network urgent care center, any other in-network outpatient provider setting able to diagnose the novel coronavirus (COVID-19), or an emergency department of a hospital. Copayments, coinsurance, or annual deductibles may be imposed in accordance with the applicable policy or contract for any follow-up care or treatment for the novel coronavirus (COVID-19), including an inpatient hospital admission, as otherwise permitted by law.*

(2) *An insurer shall provide written notification to its in-network providers that they shall not collect any deductible, copayment, or coinsurance in accordance with this subdivision.*

This notice is intended to serve only as an emergency adoption, to be valid for 90 days or less. This rule expires November 9, 2020.

Text of rule and any required statements and analyses may be obtained from: Tobias Len, Department of Financial Services, One Commerce Plaza, Albany, NY 12257, (518) 474-8975, email: Tobias.Len@dfs.ny.gov

Regulatory Impact Statement

1. Statutory authority: Financial Services Law sections 202 and 302 and Insurance Law sections 301, 3216, 3217, 3221, and 4303.

Financial Services Law section 202 establishes the office of the Superintendent of Financial Services ("Superintendent").

Financial Services Law section 302 and Insurance Law section 301, in pertinent part, authorize the Superintendent to prescribe regulations interpreting the Insurance Law and to effectuate any power granted to the Superintendent in the Insurance Law, Financial Services Law, or any other law.

Insurance Law section 3216 sets forth the standard provisions in individual accident and health insurance policies.

Insurance Law section 3217 authorizes the Superintendent to issue regulations to establish minimum standards for the form, content and sale of health insurance policies and subscriber contracts of corporations organized under Insurance Law Articles 32 and Article 43 and Public Health Law Article 44.

Insurance Law section 3221 sets forth the standard provisions in group and blanket accident and health insurance policies.

Insurance Law section 4303 sets forth mandatory benefits in subscriber

contracts issued by corporations organized under Insurance Law Article 43.

2. Legislative objectives: The statutory sections cited above establish the minimum standards for the form, content, and sale of health insurance, including standards of full and fair disclosure. This proposed amendment accords with the public policy objectives that the Legislature sought to advance in the foregoing sections of the Insurance Law by prohibiting the imposition of copayments, coinsurance, or annual deductibles for in-network laboratory tests to diagnose the novel coronavirus ("COVID-19") and visits to diagnose COVID-19 at the following locations, including through telehealth: an in-network provider's office, an in-network urgent care center, any other in-network outpatient provider setting able to diagnose COVID-19, or an emergency department of a hospital.

3. Needs and benefits: COVID-19 has spread to millions of people worldwide, with several hundred thousand confirmed cases in New York State. While the number of hospitalizations for COVID-19 has diminished sharply in New York, there are still numerous cases of New Yorkers testing positive for COVID-19. The Centers for Disease Control has confirmed that COVID-19 seems to spread easily and sustainably in communities in affected areas. Given the public health implications related to COVID-19, it is essential that cost-sharing not serve as a barrier to testing for COVID-19.

This amendment prohibits authorized insurers and health maintenance organizations (collectively, "health care plans") that provide hospital, surgical, or medical expense insurance policies or contracts from imposing, and provides that no insured shall be required to pay, copayments, coinsurance, or annual deductibles for covered in-network laboratory tests to diagnose COVID-19 and for visits to diagnose COVID-19 at the following locations, including through telehealth: an in-network provider's office, an in-network urgent care center, any other in-network outpatient provider setting able to diagnose COVID-19, or an emergency department of a hospital. Copayments, coinsurance, or annual deductibles may be imposed in accordance with the applicable policy or contract for any follow-up care or treatment for COVID-19, including an inpatient hospital admission, as otherwise permitted by law.

The amendment requires every health care plan to provide written notification of the requirements of the amendment to its in-network health care providers ("providers") in order to ensure that the providers do not require any insured to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed under the amendment. This notification should ensure that providers do not collect a copayment, coinsurance, or annual deductible at any time, including when the services are provided, which is typically when such payment is collected.

The Department of Financial Services ("Department") expects every health care plan to reimburse a provider, including reimbursement for the insured's waived copayment, coinsurance, or annual deductible, with respect to any impacted claims.

Given the public health implications related to COVID-19, it is essential that cost-sharing does not serve as a barrier to testing for COVID-19. The waiver of copayments, coinsurance, and annual deductibles is necessary to ensure that people are not deterred from seeing a provider and getting tested for COVID-19. Failure to do so could result in the further spread of this epidemic and could jeopardize the health and safety of the people of New York.

4. Costs: Health care plans may incur additional costs to comply with the amendment because they may need to file new policy and contract forms and rates and they will need to provide the written notification to in-network providers regarding this amendment. However, any costs should be minimal because health care plans submit policy or contract form and rate filings and provide written notifications to providers as a part of the normal course of business.

This amendment may impose costs on providers because they will need to ensure that insureds are not charged a copayment, coinsurance, or annual deductible that is prohibited from being imposed, including at the time the services are provided. However, any additional costs should be minimal because a provider should receive reimbursement, including the insured's copayment, coinsurance, or annual deductible, from the health care plan directly with respect to any impacted claims.

This amendment may impose compliance costs on the Department because the Department will need to review amended policy and contract forms and rates. However, any additional costs incurred by the Department should be minimal, and the Department should be able to absorb the costs in its ordinary budget.

The amendment will not impose compliance costs on any local governments.

5. Local government mandates: The amendment does not impose any program, service, duty or responsibility on any county, city, town, village, school district, fire district or other special district.

6. Paperwork: Health care plans are required to provide written notification to their in-network providers that the providers may not collect any

deductible, copayment, or coinsurance for laboratory tests and visits to diagnose COVID-19. This notification may be provided electronically as part of existing communications that occur between health care plans and in-network providers. Health care plans may also need to file new policy and contract forms and rates with the Superintendent.

Providers and local governments should not incur additional paperwork to comply with this amendment.

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

8. Alternatives: There are no significant alternatives to consider.

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

10. Compliance schedule: The rule will take effect immediately upon filing of the Notice of Emergency Adoption with the Secretary of State.

Regulatory Flexibility Analysis

1. Effect of the rule: This rule affects health maintenance organizations and authorized insurers (collectively, "health care plans") and health care providers ("providers"). This amendment prohibits health care plans that provide hospital, surgical, or medical expense insurance policies or contracts from imposing, and provides that no insured shall be required to pay, copayments, coinsurance, or annual deductibles for covered in-network laboratory tests to diagnose the novel coronavirus ("COVID-19") and for visits to diagnose COVID-19 at the following locations, including through telehealth: an in-network provider's office, an in-network urgent care center, any other in-network outpatient provider setting able to diagnose COVID-19, or an emergency department of a hospital. Copayments, coinsurance, or annual deductibles may be imposed in accordance with the applicable policy or contract for any follow-up care or treatment for COVID-19, including an inpatient hospital admission, as otherwise permitted by law. The amendment requires every health care plan to provide written notification of the requirements of the amendment to its in-network providers in order to ensure that the providers do not require any insured to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed under the amendment. This notification should ensure that providers do not collect a copayment, coinsurance, or annual deductible at any time, including when the services are provided, which is typically when such payment is collected.

Industry asserts that certain health care plans subject to the amendment are small businesses. Providers also may be small businesses. As a result, certain health care plans and providers that are small businesses will be affected by this amendment.

This amendment does not affect local governments.

2. Compliance requirements: No local government will have to undertake any reporting, recordkeeping, or other affirmative acts to comply with this amendment because the amendment does not apply to any local government.

A health care plan that is a small business affected by this amendment, if any, may be subject to reporting, recordkeeping, or other compliance requirements as the health care plan may need to file new policy and contract forms and rates with the Superintendent and will be required to provide written notification of the amendment to its in-network providers.

A provider that is a small business may be subject to reporting, recordkeeping, or other compliance requirements as the provider must ensure that an insured is not charged a copayment, coinsurance, or annual deductible that is prohibited from being imposed under the amendment at any time, including at the time services are provided.

3. Professional services: No local government will need professional services to comply with this amendment because the amendment does not apply to any local government. No health care plan or provider that is a small business affected by this amendment should need to retain professional services, such as lawyers or auditors, to comply with this amendment.

4. Compliance costs: No local government will incur any costs to comply with this amendment because the amendment does not apply to any local government. A health care plan that is a small business affected by this amendment, if any, may incur costs because it may need to file new policy or contract forms and rates and will be required to provide written notification of the amendment to its in-network providers. However, any costs should be minimal because health care plans submit policy or contract form and rate filings and provide written notifications to providers as a part of the normal course of business.

A provider that is a small business may incur additional costs to comply with the amendment, which may include costs to ensure that the insured is not charged a copayment, coinsurance, or annual deductible that is prohibited from being imposed at any time, including at the time the services are provided. However, any additional costs should be minimal because a provider should receive reimbursement, including the insured's copayment, coinsurance, or annual deductible, from the health care plan directly with respect to any impacted claims.

5. Economic and technological feasibility: This amendment does not

apply to any local government; therefore, no local government should experience any economic or technological impact as a result of the amendment. A health care plan and a provider that is a small business should not incur any economic or technological impact as a result of the amendment.

6. Minimizing adverse impact: There will not be an adverse impact on any local government because the amendment does not apply to any local government. This amendment should not have an adverse impact on a health care plan or provider that is a small business affected by the amendment, if any, because the amendment uniformly affects all health care plans and providers. In addition, a provider that is a small business should receive reimbursement, including the insured's copayment, coinsurance, or annual deductible, from the health care plan directly with respect to any impacted claims from the health care plan directly.

7. Small business and local government participation: The Department of Financial Services ("Department") contacted trade associations representing health care plans that are small businesses before it promulgated this amendment and considered comments it received from these associations. The Department also notified trade associations representing providers that are small businesses that it intended to promulgate this amendment and considered comments it received from these associations. Health care plans and providers that are small businesses also will have an opportunity to participate in the rulemaking process when the amendment is published in the State Register and posted on the Department's website.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas: Authorized insurers and health maintenance organizations (collectively, "health care plans") and health care providers ("providers") affected by this amendment operate in every county in this state, including rural areas as defined by State Administrative Procedure Act section 102(10).

2. Reporting, recordkeeping, and other compliance requirements; and professional services: A health care plan, including a health care plan in a rural area, may be subject to additional reporting, recordkeeping, or other compliance requirements because the health care plan may need to file new policy and contract forms and rates with the Department of Financial Services ("Department") and will be required to provide written notification of the amendment to its in-network providers.

A provider, including a provider in a rural area, may be subject to reporting, recordkeeping, or other compliance requirements as the provider must ensure that an insured is not required to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment at any time, including at the time the services are provided.

A health care plan or a provider, including those in a rural area, should not need to retain professional services, such as lawyers or auditors, to comply with this amendment.

3. Costs: Health care plans and providers, including those in rural areas, may incur additional costs to comply with the amendment. A health care plan may incur additional compliance costs as it may need to file new policy and contract forms and rates with the Department and will be required to provide written notification of the amendment to its in-network providers. However, any costs should be minimal because health care plans submit policy or contract form and rate filings and provide written notifications to providers as a part of the normal course of business.

A provider, including those in rural areas, may incur additional costs to comply with the amendment. Those additional costs may include costs to ensure that the insured is not required to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed at any time, including at the time the services are provided. However, any additional costs should be minimal because a provider should receive reimbursement, including the insured's copayment, coinsurance, or annual deductible, from the health care plan directly with respect to any impacted claims.

4. Minimizing adverse impact: This amendment uniformly affects health care plans and providers that are located in both rural and non-rural areas of New York State. The amendment should not have an adverse impact on rural areas.

5. Rural area participation: The Department contacted trade associations representing health care plans that are in rural areas before it promulgated this amendment and considered comments it received from these associations. The Department also notified trade associations representing providers in rural areas that it intended to promulgate this amendment and considered comments it received from these associations. Health care plans and providers in rural areas will also have an opportunity to participate in the rulemaking process when the amendment is published in the State Register and posted on the Department's website.

Job Impact Statement

This amendment should not adversely impact jobs or employment opportunities in New York State. The amendment prohibits policies and contracts of hospital, surgical, or medical expense insurance from imposing, and provides that no insured shall be required to pay, copayments, co-

insurance, and annual deductibles for covered in-network laboratory tests to diagnose the novel coronavirus ("COVID-19") and for visits to diagnose COVID-19 at the following locations, including through telehealth: an in-network health care provider's office, an in-network urgent care center, any other in-network outpatient provider setting able to diagnose COVID-19, or an emergency department of a hospital. As a result, there should be no impact on jobs or employment opportunities.

Assessment of Public Comment

The agency received no public comment.

EMERGENCY RULE MAKING

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

I.D. No. DFS-39-20-00002-E

Filing No. 582

Filing Date: 2020-09-09

Effective Date: 2020-09-09

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

Action taken: Addition of section 52.16(q) (Regulation 62) to Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; Insurance Law, sections 301, 3216, 3217, 3217-h, 3221, 4303 and 4306-g

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

Specific reasons underlying the finding of necessity: The novel coronavirus ("COVID-19") has spread to millions of people worldwide, with several hundred thousand confirmed cases in New York State. While the number of hospitalizations for COVID-19 has diminished sharply in New York, there are still numerous cases of New Yorkers testing positive for COVID-19. The Centers for Disease Control has confirmed that COVID-19 seems to spread easily and sustainably in communities in affected areas. Given the public health implications related to COVID-19, it is essential that insureds continue to have access to health care services in a way that limits the spread of COVID-19.

This amendment prohibits authorized insurers and health maintenance organizations (collectively, "health care plans") that provide comprehensive coverage for hospital, surgical, or medical care from imposing, and states that no insured shall be required to pay, copayments, coinsurance, or annual deductibles for an in-network service otherwise covered under the policy. The amendment requires every health care plan to provide written notification of the requirements of the amendment to its in-network health care providers ("providers") to ensure that the providers do not require any insured to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment. This notification should ensure that providers do not collect a copayment, coinsurance, or annual deductible for telehealth services provided.

Given the public health implications related to COVID-19, it is essential that New Yorkers continue to be able to access health care services in a way that limits the spread of COVID-19. The waiver of copayments, coinsurance, and annual deductibles for in-network telehealth services is necessary to ensure that people continue to have access to health care services in a way that limits in-person exposure. Additionally, encouraging people who do not need emergency care to use telehealth services alleviates the stress that COVID-19 puts on our health care system, in particular, the number of patients in emergency departments. Failure to encourage the use of telehealth services could result in the further spread of this epidemic and could jeopardize the health and safety of the people of New York.

Since the crisis involving COVID-19 is constantly evolving, and to ensure that New Yorkers continue to have access to health care services in a way that limits the spread of COVID-19, it is imperative that this amendment be promulgated on an emergency basis for the preservation of public health.

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

Purpose: To waive cost-sharing for in-network telehealth services.

Text of emergency rule: Section 52.16(q) is added as follows:

(q)(1) No policy or contract delivered or issued for delivery in this State that provides comprehensive coverage for hospital, surgical, or medical care shall impose, and no insured shall be required to pay, copayments, coinsurance, or annual deductibles for an in-network service delivered via telehealth when such service would have been covered under the policy if it had been delivered in person.

(2) An insurer shall provide written notification to its in-network providers that they shall not collect any deductible, copayment, or coinsurance in accordance with this subdivision.

(3) Telehealth means the use of electronic information and communication technologies, including the telephone, by a health care provider to deliver health care services to an insured while such insured is located at a site that is different from the site where the health care provider is located, pursuant to Insurance Law sections 3217-h and 4306-g.

This notice is intended to serve only as an emergency adoption, to be valid for 90 days or less. This rule expires November 9, 2020.

Text of rule and any required statements and analyses may be obtained from: Tobias Len, Department of Financial Services, One Commerce Plaza, Albany, NY 12257, (518) 474-8975, email: Tobias.Len@dfs.ny.gov

Regulatory Impact Statement

1. Statutory authority: Financial Services Law sections 202 and 302 and Insurance Law sections 301, 3216, 3217, 3217-h, 3221, 4303, and 4306-g.

Financial Services Law section 202 establishes the office of the Superintendent of Financial Services ("Superintendent").

Financial Services Law section 302 and Insurance Law section 301, in pertinent part, authorize the Superintendent to prescribe regulations interpreting the Insurance Law and to effectuate any power granted to the Superintendent in the Insurance Law, Financial Services Law, or any other law.

Insurance Law section 3216 sets forth the standard provisions in individual accident and health insurance policies.

Insurance Law section 3217 authorizes the Superintendent to issue regulations to establish minimum standards for the form, content and sale of health insurance policies and subscriber contracts of corporations organized under Insurance Law Articles 32 and 43 and Public Health Law Article 44.

Insurance Law sections 3217-e and 4306-g provide that an insurer or corporation may not exclude from coverage a service that is otherwise covered under a policy or contract that provides comprehensive coverage for hospital, medical or surgical care because the service is delivered via telehealth.

Insurance Law section 3221 sets forth the standard provisions in group and blanket accident and health insurance policies.

Insurance Law section 4303 sets forth mandatory benefits in subscriber contracts issued by corporations organized under Insurance Law Article 43.

2. Legislative objectives: The statutory sections cited above establish the minimum standards for the form, content, and sale of health insurance, including standards of full and fair disclosure. This proposed amendment accords with the public policy objectives that the Legislature sought to advance in the foregoing sections of the Insurance Law by prohibiting copayments, coinsurance, or annual deductibles for an in-network service otherwise covered under the policy.

3. Needs and benefits: COVID-19 has spread to millions of people worldwide, with several hundred thousand confirmed cases in New York State. While the number of hospitalizations for COVID-19 has diminished sharply in New York, there are still numerous cases of New Yorkers testing positive for COVID-19. The Centers for Disease Control has confirmed that COVID-19 seems to spread easily and sustainably in communities in affected areas. Given the public health implications related to COVID-19, it is essential that insureds continue to have access to health care services in a way that limits the spread of COVID-19.

This amendment prohibits authorized insurers and health maintenance organizations (collectively, "health care plans") that provide comprehensive coverage for hospital, surgical, or medical care from imposing, and provides that no insured shall be required to pay, copayments, coinsurance, or annual deductibles for an in-network service otherwise covered under the policy when such service is delivered via telehealth.

The amendment requires every health care plan to provide written notification of the requirements of the amendment to its in-network health care providers ("providers") in order to ensure that the providers do not require any insured to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment. This notification should ensure that providers do not collect a copayment, coinsurance, or annual deductible for telehealth services.

The Department of Financial Services ("Department") expects every health care plan to reimburse a provider, including reimbursement for the insured's waived copayment, coinsurance, or annual deductible, with respect to any affected claims.

Given the public health implications relating to COVID-19, it is essential that New Yorkers continue to be able to access health care services in a way that limits the spread of COVID-19. The waiver of copayments, coinsurance, and annual deductibles for in-network telehealth services is necessary to ensure that people continue to have access to health care ser-

vices in a way that limits in-person exposure. Additionally, encouraging people who do not need emergency care to use telehealth services may alleviate the stress that COVID-19 puts on our health care system, in particular the increased number of patients in emergency departments. Failure to encourage the use of telehealth services could result in the further spread of this epidemic and could jeopardize the health and safety of the people of New York.

4. Costs: Health care plans may incur additional costs to comply with the amendment because they may need to file new policy and contract forms and rates and they will need to provide written notification to in-network providers regarding this amendment. However, any costs should be minimal because health care plans submit policy or contract form and rate filings and provide written notifications to providers as a part of the normal course of business.

This amendment may impose costs on providers because they will need to ensure that insureds are not charged a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment. However, any additional costs should be minimal because a provider should receive reimbursement, including the insured's copayment, coinsurance, or annual deductible, from the health care plan directly with respect to any affected claims.

This amendment may impose compliance costs on the Department because the Department will need to review amended policy and contract forms and rates. However, any additional costs incurred by the Department should be minimal, and the Department should be able to absorb the costs in its ordinary budget.

The amendment will not impose compliance costs on any local governments.

5. Local government mandates: The amendment does not impose any program, service, duty or responsibility on any county, city, town, village, school district, fire district or other special district.

6. Paperwork: Health care plans are required to provide written notification to their in-network providers that the providers may not collect any deductible, copayment, or coinsurance for telehealth services provided. This notification may be provided electronically as part of existing communications that occur between health care plans and in-network providers. Health care plans may also need to file new policy and contract forms and rates with the Superintendent.

Providers and local governments should not incur additional paperwork to comply with this amendment.

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

8. Alternatives: There are no significant alternatives to consider.

9. Federal standards: The amendment does not exceed any minimum standards of the federal government for the same or similar subject areas. If the policy or contract is a high deductible health plan as defined in Internal Revenue Code section 223(c)(2), in-network services delivered via telehealth may be subject to the annual deductible if otherwise required by federal law.

10. Compliance schedule: The rule will take effect immediately upon filing of the Notice of Emergency Adoption with the Secretary of State.

Regulatory Flexibility Analysis

1. Effect of rule: This rule affects health maintenance organizations and authorized insurers (collectively, "health care plans") and health care providers ("providers"). This amendment prohibits health care plans that provide comprehensive coverage for hospital, surgical, or medical care from imposing, and no insured shall be required to pay, copayments, coinsurance, or annual deductibles for an in-network service otherwise covered under the policy. The amendment requires every health care plan to provide written notification of the requirements of the amendment to its in-network providers to ensure that the providers do not require any insured to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment. This notification should ensure that providers do not collect a copayment, coinsurance, or annual deductible for telehealth services provided.

Industry asserts that certain health care plans subject to the amendment are small businesses. Providers also may be small businesses. As a result, certain health care plans and providers that are small businesses will be affected by this amendment.

This amendment does not affect local governments.

2. Compliance requirements: No local government will have to undertake any reporting, recordkeeping, or other affirmative acts to comply with this amendment because the amendment does not apply to any local government.

A health care plan that is a small business affected by this amendment, if any, may be subject to reporting, recordkeeping, or other compliance requirements as the health care plan may need to file new policy and contract forms and rates with the Superintendent of Financial Services and must provide written notification of the amendment to its in-network providers.

A provider that is a small business may be subject to reporting, recordkeeping, or other compliance requirements as the provider must ensure that an insured is not charged a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment.

3. Professional services: No local government will need professional services to comply with this amendment because the amendment does not apply to any local government. No health care plan or provider that is a small business affected by this amendment should need to retain professional services, such as lawyers or auditors, to comply with this amendment.

4. Compliance costs: No local government will incur any costs to comply with this amendment because the amendment does not apply to any local government. A health care plan that is a small business affected by this amendment, if any, may incur costs because it may need to file new policy or contract forms and rates and must provide written notification of the amendment to its in-network providers. However, any costs should be minimal because health care plans submit policy or contract form and rate filings and provide written notifications to providers as a part of the normal course of business.

A provider that is a small business may incur additional costs to comply with the amendment, which may include costs to ensure that the insured is not charged a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment. However, any additional costs should be minimal because a provider should receive reimbursement, including the insured's copayment, coinsurance, or annual deductible, from the health care plan directly with respect to any affected claims.

5. Economic and technological feasibility: This amendment does not apply to any local government; therefore, no local government should experience any economic or technological impact as a result of the amendment. A health care plan and a provider that is a small business should not incur any economic or technological impact as a result of the amendment.

6. Minimizing adverse impact: There will not be an adverse impact on any local government because the amendment does not apply to any local government. This amendment should not have an adverse impact on a health care plan or provider that is a small business affected by the amendment, if any, because the amendment uniformly affects all health care plans and providers. In addition, a provider that is a small business should receive reimbursement, including the insured's copayment, coinsurance, or annual deductible, from the health care plan directly with respect to any affected claims from the health care plan directly.

7. Small business and local government participation: The Department of Financial Services ("Department") notified trade associations representing health care plans that are small businesses that it intended to promulgate this amendment. Health care plans and providers that are small businesses also will have an opportunity to participate in the rulemaking process when the amendment is published in the State Register and posted on the Department's website.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas: Authorized insurers and health maintenance organizations (collectively, "health care plans") and health care providers ("providers") affected by this amendment operate in every county in this state, including rural areas as defined by State Administrative Procedure Act section 102(10).

2. Reporting, recordkeeping, and other compliance requirements; and professional services: A health care plan, including a health care plan in a rural area, may be subject to additional reporting, recordkeeping, or other compliance requirements because the health care plan may need to file new policy and contract forms and rates with the Department of Financial Services ("Department") and will be required to provide written notification of the amendment to its in-network providers.

A provider, including a provider in a rural area, may be subject to reporting, recordkeeping, or other compliance requirements as the provider must ensure that an insured is not required to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment.

A health care plan or provider, including those in a rural area, should not need to retain professional services, such as lawyers or auditors, to comply with this amendment.

3. Costs: Health care plans and providers, including those in rural areas, may incur additional costs to comply with the amendment. A health care plan may incur additional compliance costs as it may need to file new policy and contract forms and rates with the Department and will be required to provide written notification of the amendment to its in-network providers. However, any costs should be minimal because health care plans submit policy or contract form and rate filings and provide written notifications to providers as a part of the normal course of business.

Providers, including those in rural areas, may incur additional costs to

comply with the amendment. Those additional costs may include costs to ensure that the insured is not required to pay a copayment, coinsurance, or annual deductible that is prohibited from being imposed pursuant to the amendment. However, any additional costs should be minimal because a provider should receive reimbursement, including the insured's copayment, coinsurance, or annual deductible, from the health care plan directly with respect to any affected claims.

4. **Minimizing adverse impact:** This amendment uniformly affects health care plans and providers that are located in both rural and non-rural areas of New York State. The amendment should not have an adverse impact on rural areas.

5. **Rural area participation:** The Department notified trade associations representing health care plans that are in rural areas that it intended to promulgate this amendment. Health care plans and providers in rural areas will also have an opportunity to participate in the rulemaking process when the amendment is published in the State Register and posted on the Department's website.

Job Impact Statement

This amendment should not adversely impact jobs or employment opportunities in New York State. The amendment prohibits a policy or contract delivered or issued for delivery in this State that provides comprehensive coverage for hospital, surgical, or medical care from imposing, and provides that no insured shall be required to pay, copayments, coinsurance, or annual deductibles for an in-network service otherwise covered under the policy when such service is delivered via telehealth. As a result, there should be no impact on jobs or employment opportunities.

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Mental Health and Substance Use Disorder Treatment Parity Compliance Program

I.D. No. DFS-27-20-00002-A

Filing No. 606

Filing Date: 2020-09-15

Effective Date: 2020-12-29

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

Action taken: Addition of Part 230 (Regulation 218) to Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; Insurance Law, sections 301, 316, 1124, 3201, 3216, 3217, 3221, arts. 43 and 47

Subject: Mental Health and Substance Use Disorder Treatment Parity Compliance Program.

Purpose: To establish mental health and substance use disorder parity compliance program requirements.

Substance of final rule: Section 230.0 is the preamble, which sets forth the purpose and a statement about the requirements of the new Part.

Section 230.1 sets forth the health care plans to which the new Part applies.

Section 230.2 defines terms that apply to the new Part.

Section 230.3 provides that health care plans must adopt and implement a mental health and substance use disorder parity compliance program and provides the minimum requirements for such program, sets forth provisions regarding the prohibition of improper practices and annual certification requirements, and provides for exemptions from electronic filing and submission requirements under limited circumstances.

Final rule as compared with last published rule: Nonsubstantive changes were made in section 230.3(a)(4), (6) and (b)(1).

Text of rule and any required statements and analyses may be obtained from: Thomas Fusco, Department of Financial Services, 535 Washington Street, Suite 305, Buffalo, NY 14203, (716) 847-7619, email: Thomas.Fusco@dfs.ny.gov

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement are not required for the adoption of new Part 230 to 11 NYCRR (Insurance Regulation 218) because the non-substantive revisions to the regulation do not require a change to the previously published Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

In response to the publication of the proposed rule in the New York State Register, the New York State Department of Financial Services ("Department") received comments from associations that represent insurers and health maintenance organizations ("issuers"), associations that represent healthcare providers, and from advocacy organizations, including organizations that provide or promote mental health and substance use disorder health care services.

Interested parties submitted a number of comments, including comments that state that: the Department should amend the regulation to reference the Mental Health and Substance Use Disorder Parity Report Act ("Parity Report Act") and explicitly mandate compliance with the Parity Report Act; the regulation should provide information on the interplay between the data submission requirements of the Parity Report Act and the Mental Health and Substance Use Disorder Parity Compliance Program ("Parity Compliance Program"); the Department should require an attestation to be completed as part of the annual SERFF rate and form submission process; the regulation should require that the Department publish and make information regarding an issuer's remediation efforts available on the Department's website; the regulation should require an issuer to publish its compliance activities on its public facing website; the regulation should require that an issuer make available to the public its annual compliance certification by posting it on the issuer's public facing website; the regulation should state that civil penalties may be imposed on the issuers that engage in improper practices; section 230.3(a)(4)(iii), (iv), and (v) of the regulation should contain the phrase "and to ensure there is an adequate network of mental health and substance use disorder providers to provide services on an in-network basis," consistent with the language in the regulation proposed by the Department of Health; the requirement for issuers to provide training and education to its employees should specify that the training and education must relate to the requirements of federal and state mental health and substance use disorder parity laws and regulations; the regulation should include additional instances of improper practices; the Department should revise section 230.3(b)(1)(i) of the regulation to remove the reference to "different" standards and replace it with a reference to standards that are "not comparable to or applied more stringently than"; the Department should delete the public posting requirement contained in section 230.3(b)(3) of the regulation; the Department should clarify what constitutes "appropriately experienced" to ensure that the Parity Compliance Program is appropriately administered and amend the regulation to specify that "appropriately experienced" means "with a background or training in Parity Act compliance"; the Department should require issuers to make specific disclosures to consumers about their parity compliance efforts, including information about the parity compliance officer and the officer's role in providing required disclosures and securing parity compliant benefits and require issuers to provide annual reports of compliance activities, including comparative reviews, to plan members; the date by which issuers must certify compliance is both too far in the future and not far enough; the 60-day time period after discovery to remediate and report improper practices is both too long and too short; and the Superintendent of Financial Services should convene a work group to provide input into the drafting of the standard certification form or should allow stakeholders to review and comment on the form when developed.

The Department amended the rule to clarify certain language. The Department considers the clarifying language to constitute non-substantive changes. The Department did not make any substantive changes to the rule in light of the comments. The Department has posted on its website a complete assessment of the public comments that the Department received regarding the rule.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Financial Statement Filings and Accounting Practices and Procedures

I.D. No. DFS-39-20-00025-P

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

Proposed Action: Amendment of Part 83 (Regulation 172) of Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; Insurance Law, sections 107(a)(2), 301, 307, 308, 1109, 1301, 1302, 1308, 1404,

1405, 1407, 1411, 1414, 1501, 1505, 3233, 4117, 4233, 4239, 4301, 4310, 4321-a, 4322-a, 4327, 6404; Public Health Law, art. 44

Subject: Financial Statement Filings and Accounting Practices and Procedures.

Purpose: To make technical corrections and clarifications, add new subdivisions S. 83.4(t) and (u), and update incorporated references.

Substance of proposed rule (Full text is posted at the following State website: https://www.dfs.ny.gov/industry_guidance/regulations/proposed_insurance):

Section 83.2 is amended as follows:

(i) subdivision (a) is amended to clarify that the forms and annual and quarterly statement instructions prescribed by the Superintendent of Financial Services are the forms that have been adopted from time to time by the National Association of Insurance Commissioners ("NAIC");

(ii) subdivision (b) is amended to clarify that the forms and annual and quarterly statement instructions prescribed by the Commissioner of Health are the forms that have been adopted from time to time by the NAIC;

(iii) subdivision (c) is amended to adopt the most recent edition published by the National Association of Insurance Commissioners ("NAIC") of the Accounting Practices and Procedures Manual As of March 2020, replacing the rule's current reference to the Accounting Practices and Procedures Manual As of March 2017; and

(iv) subdivision (g)(4) is amended to delete the last sentence because it is obsolete.

Section 83.4 is amended as follows:

(i) subdivision (c) is repealed to conform to Insurance Law section 1301(a)(13)(B);

(ii) subdivisions (d) – (t) are re-lettered as subdivisions (c) – (s);

(iii) subdivision (d) is amended to clarify that the prohibition to loans to officers or directors as set forth in Insurance Law section 1411(f) is modified by the exception to the prohibition set forth in Insurance Law section 1411(h)(2), and to make a technical correction to a statutory citation;

(iv) subdivision (e) is amended to update the reference to SSAP No. 22 to read as SSAP No. 22R and delete the reference to paragraph 3 because it is obsolete;

(v) subdivision (f)(1) is amended to update the reference to paragraph 5 to read as paragraph 6; to update the title of SSAP No. 25; and to make a technical correction to a statutory citation. Subdivision (f)(2) is amended to update the references to paragraphs 7 and 8 of the statement of statutory accounting principle ("SSAP") No. 25 to read as paragraphs 9 and 10, to clarify that the prohibition to loans to officers or directors as set forth in Insurance Law section 1411(f) is modified by the exception to the prohibition set forth in Insurance Law section 1411(h)(2), and to make technical corrections to statutory citations;

(vi) subdivision (g) is amended to make a technical correction to a statutory citation;

(vii) subdivision (h) is amended to update the reference to SSAP No. 35 to read as 35R and to make technical corrections to statutory citations;

(viii) subdivision (i) is amended to update: the address and web address of the Appraisal Institute referenced therein, the reference in paragraph (2) to SSAP No. 40 to read as 40R, and the reference in paragraph (3) to "paragraph 11 of SSAP No. 40" to read as "paragraph 13 of SSAP No. 40R", and to make technical corrections to statutory citations;

(ix) subdivision (j) is amended to update the title of SSAP No. 97, to make technical corrections to statutory citations, and to correct for grammar;

(x) subdivision (k) is amended to make technical corrections to statutory citations and to correct for grammar;

(xi) subdivision (l) is amended to update the reference to SSAP No. 62 to read as 62R, the reference in paragraph (1) to "Paragraph 36 of SSAP No. 62" to read as "Paragraph 24 of SSAP No. 62R", the reference in paragraph (2) to "paragraphs 27 through 33 of SSAP No. 62" to read as "paragraphs 33 through 39 of SSAP No. 62R; to delete the reference to "paragraph 3 of SSAP No. 75" because it is obsolete; and to make technical corrections to statutory and regulatory citations;

(xii) subdivision (m) is amended to correct for grammar;

(xiii) subdivision (n) is amended to make a technical correction to a statutory citation;

(xiv) subdivision (o) is amended to clarify that the non-adoption of paragraph 7 of SSAP No. 68, "Business Combinations and Goodwill", does not apply to accident and health insurance companies;

(xv) subdivision (p) is amended to update the title of SSAP No. 73 and to replace the reference to the 2004 edition of the Estimated Useful Lives of Depreciable Hospital Assets to the current 2018 edition;

(xvi) subdivision (q) is amended to update the title of SSAP No. 74;

(xvii) subdivision (r) is amended to update the title of SSAP No. 84;

(xviii) subdivision (s) is amended to update the reference to SSAP No. 61 to read as 61R;

(xix) a new subdivision (t) is added to provide that the guidance prescribed in subparagraphs 4.a. and 4.b. of SSAP No. 26R, "Bonds", and the third sentence of Footnote 1 of SSAP No. 97, are not adopted;

(xx) a new subdivision (u) is added to provide that the guidance prescribed in paragraph 11, and Footnote 1 of SSAP No. 72, "Surplus and Quasi-Reorganizations", are not adopted.

Text of proposed rule and any required statements and analyses may be obtained from: Sally Geisel, NYS Department of Financial Services, One State Street, New York, NY 10004, (212) 480-7608, email: Sally.Geisel@dfs.ny.gov

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

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

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

Summary of Regulatory Impact Statement (Full text is posted at the following State website: <https://www.dfs.ny.gov/insurance/rproindx.htm>):

1. Statutory authority: Financial Services Law ("FSL") Sections 202 and 302 and Insurance Law ("IL") Sections 107(a)(2), 301, 307, 308, 1109, 1301, 1302, 1308, 1404, 1405, 1407, 1411, 1414, 1501, 1505, 3233, 4117, 4233, 4239, 4301, 4310, 4321-a, 4322-a, 4327 and 6404; and Public Health Law ("PHL") Article 44.

FSL Section 202 establishes the office of the Superintendent of Financial Services ("Superintendent").

FSL Section 302 and IL Section 301, in pertinent part, authorize the Superintendent to effectuate any power accorded to the Superintendent by the IL, FSL, or any other law, and to prescribe regulations interpreting the IL.

IL Section 107(a)(2) defines "accredited reinsurer."

IL Section 307 requires, among other things, authorized insurers to file annual statements with the Superintendent, showing the insurers' financial condition, on forms prescribed by the Superintendent and in accordance with instructions prescribed by the Superintendent.

IL Section 308 requires, at the Superintendent's direction, health maintenance organizations ("HMOs") and authorized insurers, among others, to file quarterly or other statements with the Superintendent in such form and containing such matters as the Superintendent prescribes.

IL Section 1109(a) provides that an organization complying with the provisions of PHL Article 44 is subject to various specified sections of the IL, including Section 308. IL Section 1109(e) authorizes the Superintendent to promulgate regulations to effectuate the purposes and provisions of the IL and PHL Article 44.

IL Sections 1301 and 1302 set forth what is allowed as an "admitted" and "not admitted" asset, respectively. IL Section 1301(a)(18) authorizes the Superintendent to modify, by regulation, any requirement of IL Section 1301(a) to conform to any subsequent amendment to the Accounting Practices and Procedures Manual ("Accounting Manual") of the National Association of Insurance Commissioners ("NAIC").

IL Section 1308 (in conjunction with IL Section 1301(a)(14)) allows an authorized insurer to reduce the amount that it must hold in its reserves through reinsurance with another authorized insurer or an accredited reinsurer.

IL Section 1404 establishes the types of reserve investments that may be used by domestic non-life insurers to satisfy reserve requirements.

IL Section 1405 establishes the types of surplus investments that may be used by domestic life insurers, after minimum capital and reserve requirements have been satisfied.

IL Section 1407 establishes the types of surplus investments that may be used by property/casualty and certain other insurers, after minimum capital and reserve requirements have been satisfied.

IL Section 1411 establishes the types of investments that domestic insurers are prohibited from making.

IL Section 1415 sets forth provisions concerning the valuation of various assets of insurers.

IL Section 1501 provides for an administrative determination of the existence or absence of control to determine whether an insurer is a member of a holding company system. IL Section 1505 establishes standards for transactions between a controlled insurer and other members of the holding company system to safeguard the interests of the insurer and policyholders.

IL Section 3233 sets forth provisions concerning the stabilization of health insurance markets and premium rates.

IL Section 4117 sets forth provisions concerning loss reserves and loss expense reserves of property/casualty insurers.

IL Section 4233 sets forth provisions concerning the annual statements of life insurers, including a provision that in addition to any other matter that may be required to be stated therein, either by law or by the Superintendent pursuant to law, every annual statement of every life insurer doing business in New York must conform substantially to the form of statement adopted from time to time by the NAIC and, together with such additions, omissions or modifications, similarly adopted from time to time, as approved by the Superintendent.

IL Section 4239 sets forth provisions concerning allocation and reporting of income and expenses of life insurers.

IL Section 4301 establishes requirements applicable to the formation and operation of a corporation furnishing medical expense indemnity, dental expense indemnity, hospital service, or health service. IL Section 4301(e)(5) authorizes the Superintendent to modify any regulatory requirement in order to encourage the development of HMOs in this state.

IL Section 4310 sets forth requirements applicable to investments, reserves, and the financial condition of not-for-profit health insurers and HMOs. IL Section 4310(g) permits IL Article 43 corporations and PHL Article 44 HMOs to construct or purchase a hospital or facility to provide health services.

IL Sections 4321-a, 4322-a, and 4327 establish state-funded stop loss pools to subsidize claim payments made by HMOs pursuant to policies issued in the individual market and the Healthy NY market.

IL Section 6404 sets forth provisions concerning the investments that may be used by title insurance corporations and the valuation of various assets of title insurers.

PHL Article 44 among other things, requires HMOs to file financial reports with the Commissioner of Health ("Commissioner") and the Superintendent and authorizes the Superintendent to establish standards governing the fiscal solvency of integrated delivery systems.

2. **Legislative objectives:** Authorized insurers and authorized fraternal benefit societies pursuant to IL Sections 307 and 308, and accredited reinsurers through IL Section 107 and 11 NYCRR Section 125.4, must file annual and quarterly financial statements with the Superintendent on forms prescribed by the Superintendent. The Superintendent has prescribed for use the forms and instructions that are adopted from time to time by the NAIC, and as applicable, supplemented by additional New York forms and instructions.

PHL Article 44 requires HMOs and integrated delivery systems to file financial statements with the Commissioner and Superintendent. PHL Article 44 also requires a prepaid health service plan and comprehensive HIV special needs plan to file financial statements with the Commissioner, and the Commissioner requires these financial statements to follow accounting procedures consistent with HMOs and integrated delivery systems. The Commissioner has prescribed for use the NAIC forms and instructions, as supplemented by additional New York forms and instructions.

This amendment to the rule implements and accords with the Legislature's public policy objectives by adopting the most recent version of the Accounting Manual, with certain exceptions, and making technical amendments.

The legislative public policy objectives for enacting the statutes that authorize this regulation are based in consumer protections: to make sure that insurers doing business in this State are financially stable, solvent and maintaining proper reserves to meet insureds' claims. Insurance Regulation 172 supports that public policy by providing rules (i.e., the accounting practices and procedures to be followed to complete annual and quarterly financial statements) that enhance the consistency of the accounting treatment of assets, liabilities, reserves, income and expenses. This amendment is necessary to ensure that the regulation remains up-to-date and consistent with New York law.

3. **Needs and benefits:** To assist authorized insurers, accredited reinsurers, authorized fraternal benefit societies and PHL Article 44 HMOs, integrated delivery systems, prepaid health services plans, and comprehensive HIV special needs plans (collectively, "insurers") with completing the annual and quarterly financial statements, the NAIC publishes the Accounting Manual, which provides a codification of Statements of Statutory Accounting Principles ("SSAPs"), the purpose of which is to produce a comprehensive guide for U.S. regulators, insurers, and auditors. The NAIC generally publishes a new edition of the Accounting Manual each year. In 2000, the Department of Financial Services ("Department") began incorporating the Accounting Manual by reference into Section 83.2 of the regulation (effective January 1, 2001) and, generally, has amended the regulation each year that the NAIC publishes a new edition of the Accounting Manual.

This amendment makes technical amendments and adopts the latest edition of the Accounting Manual (i.e. March 2020), with exceptions and modifications listed. The Accounting Manual does not preempt states' legislative or regulatory authority, and 11 NYCRR Section 83.4 sets out New York's "Conflicts and Exceptions" to the Accounting Manual, making clear that in instances of conflict or deviation, New York statutes, regulations and policies control.

Of note, Section 83.4 of the rule is amended by adding new subdivisions (t) and (u). Subdivision (t) takes an exception from the Accounting Manual's treatment of certain investments in exchange traded funds ("ETFs") and mutual funds as bonds instead of common stock. The Department has determined that bond treatment is not appropriate for all ETFs and bond mutual funds designated by the Accounting Manual for

such treatment. However, the Department recognizes that certain investments in ETFs and mutual funds may warrant treatment that is different from the common stock treatment currently required by 11 NYCRR 83 for those investments. Accordingly, the Department is analyzing investments in ETFs and mutual funds to determine what subset of those investments may warrant treatment that is different from common stock and what that treatment should be. The Department expects to promulgate a further amendment to 11 NYCRR 83 to implement appropriate changes to the treatment of investments in ETFs and mutual funds resulting from this analysis.

Subdivision (u) takes an exception from the Accounting Manual's characterization of dividends and returns of capital. The Insurance Law permits a parent company to remove funds from its insurer-subsidary by the taking of a dividend (either as an ordinary dividend, which is limited to the insurer-subsidary meeting certain financial benchmarks and does not require Department approval, or as an extraordinary dividend, which is subject to Department approval) and by the return of capital (either as a stock redemption and retirement or as a reorganization, both of which require Department approval). A core Department function is to ensure insurer solvency for the benefit of policyholders. The Accounting Manual's revision, in effect, blends the definitions of dividends and returns of capital, thus enabling an insurer-subsidary to effect a return of capital without the Department's approval. Additionally, the accounting for certain non-dividend returns of capital would not reduce the availability of funds for the parent company to take a further ordinary dividend (without Department approval), thereby allowing double dipping (i.e., by first taking a return of capital and then, after adding reinsurance, taking an ordinary dividend).

4. **Costs:** Insurers will need to acquire the Accounting Manual as of March 2020 to comply with the amendment. The Accounting Manual is available for purchase directly from the NAIC and costs \$500 for a paper copy or \$465 for an electronic version via a USB drive. The Department believes that most insurers will purchase, or will have already purchased, the Accounting Manual to comply with other states' requirements. Additionally, any IL Article 43 corporation or PHL Article 44 HMO that has constructed or purchased a hospital or facility for the purpose of providing health services, as permitted by IL Section 4310(g), that seeks to depreciate durable medical equipment, furniture, medical equipment and fixtures, and leasehold improvements will need to acquire the latest edition of the Estimated Useful Lives of Depreciable Hospital Assets (Revised 2018 Edition), published by Health Forum, Inc. The publication is available from the American Hospital Association and costs \$76 for members and \$88 for non-members.

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

6. **Paperwork:** No additional paperwork should result from this amendment.

7. **Duplication:** This amendment does not duplicate, overlap, or conflict with any existing New York or federal laws, rules, or other legal requirements.

8. **Alternatives:** The alternative was not to propose the amendment, but this alternative would have resulted in New York being inconsistent with accounting practices and procedures followed by most other states as of March 2020 and maintaining technically out-of-date language.

9. **Federal standards:** There are no minimum standards of the federal government for the same or similar subject areas.

10. **Compliance schedule:** The amendment will take effect immediately upon publication of the notice of adoption in the State Register.

Regulatory Flexibility Analysis

1. **Effect of rule:** This amendment applies to authorized insurers, accredited reinsurers, and authorized fraternal benefit societies, and Public Health Law ("PHL") Article 44 health maintenance organizations ("HMOs"), integrated delivery systems, prepaid health services plans and comprehensive HIV special needs plans (collectively, "insurers"). Some of these insurers may be small businesses as defined by State Administrative Procedures Act ("SAPA") Section 102(8) in that they are both independently owned and operated and have 100 or less employees.

The amendment does not apply to any local government. The basis for this finding is that this amendment is directed at insurers, as defined above, none of which is a local government.

2. **Compliance requirements:** While the amendment does not require insurers, including any insurer that is a small business, to comply with any new or additional reporting or recordkeeping requirements, it does require: (i) insurers to acquire the Accounting Practices and Procedures Manual As of March 2020 ("Accounting Manual") published by the National Association of Insurance Commissioners ("NAIC"), and (ii) any Insurance Law ("IL") Article 43 corporation or PHL Article 44 HMO that has constructed or purchased a hospital or facility for the purpose of providing health services, in accordance with IL Section 4310(g), that seeks to

depreciate durable medical equipment, furniture, medical equipment and fixtures, and leasehold improvements to acquire the Estimated Useful Lives of Depreciable Hospital Assets (Revised 2018 Edition) published by Health Forum, Inc. Both publications are incorporated by reference in the regulation, which are amended to ensure that the most current editions of the publications in use are referenced. Because the NAIC publishes updated Accounting Manuals annually, Section 83.2 is generally amended every year.

The Accounting Manual provides a codification of statutory accounting principles (SSAPs), the purpose of which is to produce a comprehensive guide for regulators, insurers and auditors across the states. However, to the extent that an SSAP or paragraph thereof conflicts with the IL, the conflicting SSAP or paragraph is not adopted or is modified, as provided in Section 83.4, to comply with the IL.

The addition of new subdivision (t) to Section 83.4 provides that the guidance prescribed in subparagraphs 4.a. and 4.b. of SSAP No. 26R, "Bonds", and the third sentence of Footnote 1 of SSAP No. 97, are not adopted and new subdivision (u) provides that guidance prescribed in paragraph 11, and Footnote 1 of SSAP No. 72, "Surplus and Quasi-Reorganizations", are not adopted. Therefore, new subdivisions (t) and (u) do not create any new or additional reporting or recordkeeping requirements for any insurer, including any insurer that is a small business.

No local government will have to undertake any reporting, recordkeeping, or other affirmative act to comply with the amendment because the amendment does not apply to local governments.

3. Professional services: The Department of Financial Services ("Department") does not anticipate that any insurer, including an insurer that is a small business, will need to retain professional services to comply with this amendment.

4. Compliance costs: Insurers have already been following the Accounting Manual for many years, thus there are few new costs. However, insurers, including any insurer that is a small business, will need to acquire the Accounting Manual in order to comply with the amendment, which is available for purchase directly from the NAIC and costs \$500, or \$465 for a USB drive. The Department believes that most insurers will purchase, or will have already purchased, the Accounting Manual to comply with other states' requirements, as much as New York's. Additionally, any IL Article 43 corporation or PHL Article 44 HMO that has constructed or purchased a hospital or facility for the purpose of providing health services, in accordance with IL Section 4310(g), that seeks to depreciate durable medical equipment, furniture, medical equipment and fixtures, and leasehold improvements will need to acquire the Estimated Useful Lives of Depreciable Hospital Assets (Revised 2018 Edition) published by Health Forum, Inc. The publication is available from the American Hospital Association and costs \$76 for members and \$88 for non-members.

The amendment does not impose any compliance costs on state or local governments.

5. Economic and technological feasibility: No insurer, including an insurer that is a small business, should experience any economic or technological impact as a result of the amendment.

6. Minimizing adverse impact: The Department believes that no insurer, including an insurer that is a small business, will be adversely affected by the amendment.

7. Small business and local government participation: The Department complied with SAPA section 202-b(6) by posting the proposed rule on its website for informal outreach and notifying trade organizations that represent the interests of small businesses that the proposed rule had been posted. The Department also will comply with SAPA section 202-b(6) by publishing the proposed amendment in the State Register and again posting the proposed amendment on its website.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas: The amendment to Sections 83.2 and 83.4 of 11 NYCRR applies to authorized insurers, accredited reinsurers, and authorized fraternal benefit societies, and Public Health Law ("PHL") Article 44 health maintenance organizations ("HMOs"), integrated delivery systems, prepaid health services plans and comprehensive HIV special needs plans (collectively, "insurers"). Insurers affected by the amendment operate in every county in this state, including rural areas as defined by State Administrative Procedure Act Section 102(10).

2. Reporting, recordkeeping and other compliance requirements; and professional services: While the amendment does not require insurers, including any insurer in a rural area, to comply with any new or additional reporting or recordkeeping requirements, it does require: (i) insurers to acquire the Accounting Practices and Procedures Manual As of March 2020 ("Accounting Manual") published by the National Association of Insurance Commissioners ("NAIC"), and (ii) any Insurance Law ("IL") Article 43 corporation or PHL Article 44 HMO that has constructed or purchased a hospital or facility for the purpose of providing health services, in accordance with IL Section 4310(g), that seeks to depreciate durable medical equipment, furniture, medical equipment and fixtures, and

leasehold improvements to acquire the Estimated Useful Lives of Depreciable Hospital Assets (Revised 2018 Edition) published by Health Forum, Inc. Both publications are incorporated by reference in the regulation, which are amended to ensure that the most current editions of the publications in use are referenced. Because the NAIC publishes updated Accounting Manuals annually, Section 83.2 is amended every year, with few exceptions.

The Accounting Manual provides a codification of statutory accounting principles (SSAPs), the purpose of which is to produce a comprehensive guide for regulators, insurers and auditors across the states. However, to the extent that an SSAP or paragraph thereof conflicts with the IL, the conflicting SSAP or paragraph is not adopted or is modified, as provided in Section 83.4, to comply with the IL.

The addition of new subdivision (t) provides that the guidance prescribed in subparagraphs 4.a. and 4.b. of SSAP No. 26R, "Bonds", and the third sentence of Footnote 1 of SSAP No. 97, are not adopted and new subdivision (u) provides that guidance prescribed in paragraph 11, and Footnote 1 of SSAP No. 72, "Surplus and Quasi-Reorganizations", are not adopted. Therefore, new subdivisions (t) and (u) do not create any new or additional reporting or recordkeeping requirements for any insurer in a rural area.

An insurer in a rural area should not need to retain professional services to comply with this amendment.

3. Costs: Insurers have already been following the Accounting Manual for many years and there are few new costs. However, insurers, including any insurer in a rural area, will need to acquire the Accounting Manual in order to comply with the amendment, which is available for purchase directly from the NAIC and costs \$500, or \$465 for a USB drive. The Department of Financial Services ("Department") believes that most insurers will purchase, or will have already purchased, the Accounting Manual to comply with other states' requirements, as much as New York's. Additionally, any IL Article 43 corporation or PHL Article 44 HMO that has constructed or purchased a hospital or facility for the purpose of providing health services, in accordance with IL Section 4310(g), that seeks to depreciate durable medical equipment, furniture, medical equipment and fixtures, and leasehold improvements will need to acquire the Estimated Useful Lives of Depreciable Hospital Assets (Revised 2018 Edition) published by Health Forum, Inc. The publication is available from the American Hospital Association and costs \$76 for members and \$88 for non-members.

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

5. Rural area participation: Insurers had an opportunity to participate in the rule making process when the Department posted the proposed rule on its website on September 3, 2020 for one week for informal outreach and notified trade organizations that the proposed rule had been posted. Insurers, including those in rural areas, also will have an opportunity to participate in the rulemaking process when the proposed rule is published in the State Register and again posted on the Department's website.

Job Impact Statement

The Department of Financial Services ("Department") believes that this rulemaking will not have an impact on jobs or employment opportunities, including self-employment opportunities. Subdivisions (a) and (b) of Section 83.2 are amended to provide clarifying language. Subdivision (c) of Section 83.2 is amended to adopt the most recent edition published by the National Association of Insurance Commissioners of the Accounting Practices and Procedures Manual As of March 2020, replacing the rule's current reference to the Accounting Practices and Procedures Manual As of March 2017. Section 83.4 is amended to (i) repeal subdivision (c) to conform to Insurance Law Section 1301(a)(13)(B) and re-letter current subdivisions (d) – (t) as subdivisions (c) – (s); (ii) make technical corrections to statutory and regulatory citations; (iii) revise titles, numbers and paragraphs of referenced statements of statutory accounting principles ("SSAPs") – the accounting guidelines contained in the Accounting Practices and Procedures Manuals – to those in actual, current use; (iv) revise the address and web address of the Appraisal Institute referenced in the regulation; (v) replace the reference to the 2004 edition of the Estimated Useful Lives of Depreciable Hospital Assets to the current 2018 edition; (vi) clarify in subdivisions (d)(2) and (f)(2) that Insurance Law Section 1411(f) prohibits loans to officers or directors, except as permitted under Insurance Law Section 1411(h)(2); (vii) add a new subdivision (t) to provide that the guidance prescribed in subparagraphs 4.a. and 4.b. of SSAP No. 26R, "Bonds", and the third sentence of Footnote 1 of SSAP No. 97, are not adopted; and (viii) add a new subdivision (u) to provide that guidance prescribed in paragraph 11, and Footnote 1 of SSAP No. 72, "Surplus and Quasi-Reorganizations", are not adopted.

Therefore, this rulemaking should have no impact on jobs and employment opportunities.

Department of Health

ERRATUM

A Notice of Emergency Adoption, ID No. HLT-38-20-00001-E, published in the September 23, 2020 issue of the *State Register* and relating to Investigation of Communicable Disease; Isolation and Quarantine inadvertently omitted the amendment of Part 2 in the Action Taken section of the rule making notice. The full text of the rule, including the amendment to Part 2, was posted to the Department of Health's website at <https://regs.health.ny.gov/regulations/emergency>.

The full text of the Action Taken should read as follows: Amendment of Part 2, section 405.3; addition of section 58-1.14 to Title 10 NYCRR.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Reduce Hospital Capital Rate Add-On and Reduce Hospital Capital Reconciliation Payment

I.D. No. HLT-39-20-00003-EP

Filing No. 586

Filing Date: 2020-09-09

Effective Date: 2020-09-09

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

Proposed Action: Amendment of section 86-1.25 of Title 10 NYCRR.

Statutory authority: Public Health Law, section 2807-c(35)(b)

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

Specific reasons underlying the finding of necessity: The proposed amendment implements a capital rate and payment reduction as required in Public Health Law Section 2807-c(8)(c), pursuant to the State Fiscal Year 2020-21 Budget. Public Health Law Section 2807-c(35)(b) provides the Commissioner of Health with authority to issue these regulations as emergency regulations. These regulations are required to reduce the hospital inpatient budgeted and actual capital rate add-on by five percent (5%) effective April 1, 2020 and adjust the budgeted to actual capital reconciliation payout or recoupment by ten percent (10%) for any capital reconciliation that occurs after April 1, 2020.

Subject: Reduce Hospital Capital Rate Add-on and Reduce Hospital Capital Reconciliation Payment.

Purpose: To include a five percent reduction to the budgeted and actual capital add-on in Article 28 hospital inpatient reimbursement rates.

Text of emergency/proposed rule: Pursuant to the authority vested in the Commissioner of Health by Section 2807-c(35)(b) of the Public Health Law, paragraphs (e)(1) and (2) of Section 86-1.25 of Title 10 (Health) of the Official Compilation of Codes, Rules and Regulations of the State of New York are amended to be effective upon publication of the Notice of Adoption in the New York State Register, to read as follows:

(e) Payment for budgeted allocated capital costs.

(1) Capital per diem for exempt units and hospitals shall be calculated by dividing the budgeted capital costs allocated to such rates in paragraph (d) of this section by the *budgeted* exempt unit days, reconciled to *actual* rate year days and actual rate year exempt unit or hospital-approved capital expense. *Effective on or after April 1, 2020 and thereafter, the budgeted and actual capital per diem rates shall be reduced by five percent (5%). Additionally, for capital per diem rates reconciled on or after April 1, 2020, if the difference between the budgeted and actual capital per diem rate results in a positive rate adjustment, that rate adjustment shall be reduced by ten percent (10%). Conversely, if the difference between the budgeted and actual capital per diem rate results in a negative rate adjustment, that rate adjustment shall be increased by ten percent (10%).*

(2) Capital payments for *Acute* DRG case rates shall be determined by dividing the budgeted capital allocated to such rates in paragraph (d) of this section by the hospital's budgeted [non-exempt unit]*Acute* discharges, reconciled to *actual* rate year discharges and actual rate year [non-exempt unit]*Acute* or hospital-approved capital expense. *Effective on or after April 1, 2020 and thereafter, the budgeted and actual capital Acute DRG case rates shall be reduced by five percent (5%). Additionally, for Acute DRG case rates reconciled on or after April 1, 2020, if the difference between*

the budgeted and actual capital Acute DRG case rate results in a positive rate adjustment, that rate adjustment shall be reduced by ten percent (10%). Conversely, if the difference between the budgeted and actual capital Acute DRG case rate results in a negative rate adjustment, that rate adjustment shall be increased by ten percent (10%).

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 December 7, 2020.

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

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

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

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

Regulatory Impact Statement

Statutory Authority:

The statutory authority for this regulation is contained in Section 2807-c(8)(c) of the Public Health Law (PHL), which was amended as part of the State Fiscal Year 2020-21 Budget. Section 2807-c(35)(b) authorizes the Commissioner to promulgate regulations, including emergency regulations, regarding Medicaid reimbursement rates for Hospital inpatient services. Such rate regulations are set forth in Subpart 86-1 of Title 10 (Health) of the Official Compilation of Codes, Rules, and Regulations of the State of New York (NYCRR).

Legislative Objectives:

The legislative objective of the amendment to Section 2807-c(8)(c) of the PHL is to reduce hospital inpatient capital payments by five percent (5%) and adjust the hospital inpatient budgeted to actual capital reconciliation by ten percent (10%).

Needs and Benefits:

Hospital capital costs have become a significant expense for the Medicaid budget. Hospitals are required to submit a budgeted capital report to facilitate reimbursement for appropriate capital costs for inpatient services within the specified year. Where actual expenses exceed budgeted expenses, the hospital receives a reconciliation payment. In many instances, these reconciliation payments have grown, due to chronic underbudgeting. By adjusting the reconciliation payments, the Department of Health expects that capital budgets submitted by hospitals will more accurately reflect actual expenses. Further, reducing the inpatient capital add-ons by five percent (5%) will help to contain capital cost expenditures.

Costs:

Costs to Private Regulated Parties:

There will be no additional costs to private regulated parties.

Costs to State Government:

There is no cost to State Government for this proposed regulation.

Costs of Local Government:

There is no cost to Local Government for this proposed regulation.

Costs to the Department of Health:

There will be no additional costs to the Department of Health as a result of this proposed regulation.

Local Government Mandates:

The proposed regulation does not impose any new programs, services, duties or responsibilities upon any county, city, town, village, school district, fire district or other special district.

Paperwork:

No additional paperwork is required of providers.

Duplication:

This regulation does not duplicate any existing federal, state or local government regulation.

Alternatives:

The alternative would be to not issue regulations and rely solely on the statutory authority in PHL § 2807-c(8)(c). However, because it is preferable that the regulations mirror the statutes that govern rate setting, this alternative was rejected.

Federal Standards:

The proposed regulation does not exceed any minimum standards of the federal government for the same or similar subject areas.

Compliance Schedule:

Public Health Law requires the Department of Health to reduce the hospital inpatient budgeted and actual capital rate add-on by five percent (5%) effective April 1, 2020 and adjust the hospital inpatient budgeted to actual capital reconciliation payout or recoupment by ten percent (10%) for any capital reconciliation that occurs after April 1, 2020.

Regulatory Flexibility Analysis

Effect of rule:

The amendment to Section 2807-c(8)(c) of the PHL will reduce

inpatient capital payments by five percent (5%) and adjust the inpatient budgeted to actual capital reconciliations by ten percent (10%). Although a reduction would not directly be targeted at counties/sponsoring local governments, certain counties and New York City operate public hospitals and provide at least a portion of ongoing financial support. These reductions impact public hospitals; however, there is no direct reduction to dollars paid directly to counties. Out of 181 hospitals in New York State, 5 are considered small businesses and 19 governmental.

Compliance requirements:

There are no new reporting, recordkeeping or other compliance requirements are being imposed as a result of the proposed regulation.

Professional services:

There are no new or additional professional services are required in order to comply with the proposed regulation.

Compliance costs:

There are no initial capital cost will be imposed as a result of this rule, nor is there an annual cost of compliance.

Economic and Technological Feasibility:

As the proposed amendment affects only the amounts reimbursed for existing services, the process to comply by small businesses and local governments is not expected to have any economic or technological implications.

Minimizing adverse impact:

These regulations are necessary to achieve conformance with recent statutory changes. The impact is limited, as the capital reduction is 5% of total allowable inpatient capital costs and does not affect outpatient capital payments. In addition, the 10% reconciliation adjustment can be avoided if hospitals submit an accurate budgeted capital projection. These regulations are also required to conform with recently enacted law.

Small business and local government participation:

The proposed regulation arises from a change in State law pursuant to Chapter 56 of the Laws of 2020. The initiatives were recommended by the MRT II following a series of public meetings where stakeholders had the opportunity to comment and collaborate on ideas to address the efficacy of these services.

Rural Area Flexibility Analysis

No rural flexibility analysis is required pursuant to section 202-bb(4)(a) of the State Administrative Procedure Act. The proposed regulations do not impose an adverse impact on facilities in rural areas, and they do not impose reporting, record keeping or other compliance requirements on facilities in rural areas.

Job Impact Statement

A Job Impact Statement is not required pursuant to Section 201-a(2)(a) of the State Administrative Procedure Act. The proposed rule will not have a substantial adverse impact on jobs or employment opportunities, nor does it have adverse implications for job opportunities.

NOTICE OF ADOPTION

Cardiac Services

I.D. No. HLT-53-19-00011-A

Filing No. 605

Filing Date: 2020-09-15

Effective Date: 2020-09-30

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

Action taken: Amendment of section 709.14 of Title 10 NYCRR.

Statutory authority: Public Health Law, section 2803

Subject: Cardiac Services.

Purpose: To amend existing Certificate of Need requirements for approval of adult cardiac surgery centers.

Text or summary was published in the December 31, 2019 issue of the Register, I.D. No. HLT-53-19-00011-P.

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

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

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The New York State Department of Health ("Department") received correspondence from one public commenter containing several comments

in response to the proposed rulemaking amending section 709.14 of Title 10 of the Codes, Rules and Regulations of the State of New York. The comments and the Department's responses are summarized below.

Comment: The commenter agrees that the threshold volume for hospitals seeking to be certified for cardiac surgery should be lowered from the current 500 surgical cases, but believes that the 300 cases in the proposed rule is too low. The commenter recommends a threshold of 350-400 cases to allow a margin for safety and account for applicant overestimation.

Response: Using data from the Cardiac Surgery Reporting System, which is the Department's clinical registry for cardiac surgery, the Department found that risk-adjusted mortality was statistically significantly higher than the statewide average when program volume was less than 300 cases per year. The Department determined that this volume reflects the appropriate threshold for minimum volume requirements.

Comment: The commenter recommends abandoning the removal of the requirement that each existing adult cardiac surgery center in the planning area is operating and expected to continue to operate at the minimum volume (currently 500 procedures per year; proposed 300 procedures per year) to be able to consider approving a new program. The commenter cites limited cases being distributed amongst more programs, endangering volume at existing facilities and thus quality while increasing resources devoted to those same number of cases. The commenter asserts that if this volume threshold for existing programs is removed, the Department could be creating an environment where large integrated health systems squeeze out smaller systems or individual hospitals that are currently performing cardiothoracic surgery and are of high quality, but have a vulnerable case volume.

Response: Significant advances in technology and medical practice have made cardiac surgery procedures safer. In addition, standalone community hospitals are increasingly becoming part of integrated regional health care networks that are anchored by large academic medical centers, increasing the potential for expanded access to quality cardiac care in these communities. Such networks improve the coordination and delivery of health care services and help improve quality and ensure the financial sustainability of community hospitals within the network. The result will be greater, more convenient access to safe, quality cardiac services. The existing regulations have the effect of limiting new program entrants into geographic markets and are not aligned with these industry trends.

Comment: The commenter asserts that including transcatheter aortic valve replacement (TAVR) procedures in cardiac thoracic surgery volume numbers used for the thresholds inflates those numbers while requiring a very different skill set.

Response: The analyses the Department performed that supports the recommendation of a 300 procedures threshold does not include TAVR procedures.

Based on the comments received, the Department has made no revisions to the proposed rulemaking.

NOTICE OF ADOPTION

Development of Mental Health and Substance Use Disorder Parity Compliance Programs

I.D. No. HLT-27-20-00007-A

Filing No. 607

Filing Date: 2020-09-16

Effective Date: 2020-12-29

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

Action taken: Addition of Subpart 98-4 to Title 10 NYCRR.

Statutory authority: Public Health Law, section 4403

Subject: Development of Mental Health and Substance Use Disorder Parity Compliance Programs.

Purpose: To establish standards for a mental health and substance use disorder parity compliance program.

Substance of final rule: This rule establishes mental health and substance use disorder parity compliance program requirements to ensure that managed care organizations (MCOs) are providing coverage for benefits for the treatment of mental health and substance use disorder that is comparable to other health benefits provided by the MCO, as required under both state and federal law. The rule requires that such programs establish corporate governance for parity compliance, identify discrepancies in coverage of services for the treatment of mental health conditions and substance use disorder, provide mental health and substance use disorder training and education for employees and agents, and ensure appropriate identification and remediation of improper practices. Pursuant to the rule,

MCOs are required to provide written notification to affected enrollees and the Commissioner regarding any identified improper practice. Failure to remediate improper practices under the rule may result in a civil penalty that would be deposited in a fund established pursuant to section 99-hh of the State Finance Law.

Final rule as compared with last published rule: Nonsubstantive changes were made in section 98-4.4(a)(4)(vi), (6) and (b)(1)(i).

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

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

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

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2023, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

In response to the publication of the proposed rule in the New York State Register, the New York State Department of Health (Department) received comments from associations that represent managed care organizations (MCOs), associations that represent healthcare providers, and advocacy organizations that provide or promote mental health and substance use disorder health care services.

Interested parties submitted a number of comments, including comments that state that: the Department should amend the regulation to reference the Mental Health and Substance Use Disorder Parity Report Act (Parity Report Act) and explicitly mandate compliance with the Parity Report Act; the regulation should provide information on the interplay between the data submission requirements of the Parity Report Act and the Mental Health and Substance Use Disorder Parity Compliance Program (Parity Compliance Program); the regulation should require that the Department publish and make information regarding an MCO's remediation efforts available on the Department's website; the regulation should require an MCO to publish its compliance activities on its public facing website; the regulation should require that an MCO make available to the public its annual compliance certification by posting it on the MCO's public facing website; the regulation should state that civil penalties may be imposed on the MCOs that engage in improper practices; section 98-4.4(a)(4)(iii), (iv), and (v) of the regulation should contain the phrase "and to ensure there is an adequate network of mental health and substance use disorder providers to provide services on an in-network basis," consistent with the language in the regulation proposed by the Department of Health; the requirement for MCOs to provide training and education to its employees should specify that the training and education must relate to the requirements of federal and state mental health and substance use disorder parity laws and regulations; the regulation should include additional instances of improper practices; the Department should revise section 98-4.4(b)(1)(i) of the regulation to remove the reference to "different" standards and replace it with a reference to standards that are "not comparable to or applied more stringently than"; the Department should delete the public posting requirement contained in section 98-4.4(b)(3) of the regulation; the Department should clarify what constitutes "appropriately experienced" to ensure that the Parity Compliance Program is appropriately administered and amend the regulation to specify that "appropriately experienced" means "with a background or training in Parity Act compliance"; the Department should require MCOs to make specific disclosures to enrollees about their parity compliance efforts, including information about the parity compliance officer and the officer's role in providing required disclosures and securing parity compliant benefits and require MCOs to provide annual reports of compliance activities, such as comparative reviews, to plan enrollees; the date by which MCOs must certify compliance is both too far in the future and not far enough; the 60-day time period after discovery to remediate and report improper practices is both too long and too short; and the Department should convene a work group to provide input into the drafting of the standard certification form or should allow stakeholders to review and comment on the form when developed.

The Department amended the rule to clarify certain language. The Department did not make any substantive changes to the rule in light of the comments. The Department has posted on its website a complete assessment of the public comments that the Department received regarding the rule.

Division of Housing and Community Renewal

EMERGENCY RULE MAKING

Schedule of Reasonable Costs for Major Capital Improvements in Rent Regulated Housing Accommodations

I.D. No. HCR-26-20-00012-E

Filing No. 593

Filing Date: 2020-09-14

Effective Date: 2020-09-14

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

Action taken: Addition of sections 2102.11, 2202.28, 2502.10 and 2522.11 to Title 9 NYCRR.

Statutory authority: Admin. Code of NYC, sections 26-511(b) and 26-518(a); L. 1974, ch. 576; Omnibus Housing Act, section 10a; L. 1983, ch. 403; Admin. Code of NYC, sections 26-405(g), 28; L. 1946, ch. 274, subdivision 4(a), as amended by L. 1950, ch. 250, as amended by L. 1964, ch. 244; Housing Stability and Tenant Protection Act of 2019, L. 2019, ch. 36, part K, L. 2019, ch. 39, part 36

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

Specific reasons underlying the finding of necessity: On June 14, 2019, the law which is commonly known as the "Housing Stability and Tenant Protection Act of 2019" or "HSTPA" (Ch. 36 of the Laws of 2019) was enacted. On June 25, 2019, change amendments were enacted, commonly referred to as the "Clean-up Legislation" (Part Q, Ch. 39 of the Laws of 2019). The Legislature has determined that, because of a serious public emergency, the regulation of residential rents and evictions is necessary to prevent the exaction of unreasonable rents and rent increases and to forestall other disruptive practices that would produce threats to public health, safety and general welfare. HSTPA serves to reform and strengthen the rent laws and provide greater protection for tenants. As relevant herein, section K of HSTPA as amended by the Clean Up Legislation modified the requirements landlords must meet to receive rent increases based on major capital improvements and individual apartment improvements. The legislation mandated that the Division of Housing and Community Renewal ("DHCR") promulgate rules and regulations applicable to all rent regulated units that, among other things and as is relevant to this proposed rule, establish a schedule of reasonable costs for major capital improvements which sets a cap on the costs that can be recovered through a temporary major capital improvement increase, based on the type of improvement and its rate of depreciation. The Clean-up Legislation directed the amendment and/or repeal of any rule or regulation necessary for the implementation of HSTPA on and after June 14, 2019 to be made immediately and completed on or before June 14, 2020, provided, however, that in the absence of such rules and regulations, DHCR shall immediately commence and continue implementation of all provisions of HSTPA. Consequently, the proposed rulemaking is immediately necessary to conform with the statutory amendments and to provide the public with the rules necessary to comply with the current legislation. For the aforementioned reasons, DHCR finds that immediate adoption of the rule is necessary for the preservation of the general welfare, and that compliance with the rulemaking procedures set forth in State Administrative Procedure Act section 202(1) would be contrary to the public interest. Given the upcoming statutory deadline, emergency adoption is needed for timely compliance with the legislation. Thus, DHCR finds that the regulation must be adopted and implemented effective June 16, 2020 on an emergency basis, and compliance with the minimum periods of notice, public comment and other requirements of State Administrative Procedure Act section 202(1) would be contrary to the public interest.

Subject: Schedule of Reasonable Costs for Major Capital Improvements in rent regulated housing accommodations.

Purpose: Provide a schedule of reasonable costs for Major Capital Improvements in rent regulated housing accommodations.

Substance of emergency rule (Full text is posted at the following State website: <https://hcr.ny.gov/regulatory-information>): These regulations add Section 2522.11 of the Rent Stabilization Code, Section 2502.10 of the Tenant Protection Regulations, Section 2102.11 of the State Rent and

Eviction Regulations and Section 2202.28 of the New York City Rent and Eviction Regulations (herein after referred to as the regulations). The regulations establish a reasonable cost schedule for major capital improvements (MCI) and surrounding procedures for its implementation.

Subdivision (a) provides that the schedule will be set forth in an operational bulletin for three main categories: (1) major systems, (2) façade, parapet and roof, and (3) other systems.

Subdivision (b) provides that each class of MCI may list more detailed types of capital improvements inclusive of additional eligible cost.

Subdivision (c) provides that each MCI cost will be listed by an appropriate unit of measure.

Subdivision (d) notes that the maximum reasonable costs shall be based on DHCR's survey of such costs and shall be published and made available in conjunction with the publication of the regulation.

Subdivision (e) provides there will be a review of the schedule every year.

Subdivision (f) sets forth: (1) the minimal owner requirements for submission and (2) notes that the MCI submission must meet all other regulatory requirements.

Subdivisions (g) and (h) set forth the process to seek a waiver of the schedule with categories for (1) non-landmarked buildings, (2) landmarked buildings, (3) work performed under the auspices of another government agency, and (4) emergency capital improvements. There are also interim rules in this subdivision for pending cases on waiver requests and time limits for making such an application.

Subdivisions (i) and (j) provide that the waiver procedures require expert engineering proof and bids with additional and alternative levels of proof where an owner claims emergency work.

Subdivision (k) provides that the denial of a waiver will limit the amount recoverable to that in the reasonable cost schedule, subject to all other MCI recoupment requirements.

Subdivision (l) notes the location of the DHCR operational bulletin on DHCR's website.

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. HCR-26-20-00012-EP, Issue of July 1, 2020. The emergency rule will expire November 12, 2020.

Text of rule and any required statements and analyses may be obtained from: Michael Berrios, NYS Homes and Community Renewal, 92-31 Union Hall Street, Jamaica, NY 11433, (718) 262-4816, email: michael.berrios@nyscr.org

Regulatory Impact Statement

A regulatory impact statement is not submitted with this notice because this rule is subject to a consolidated regulatory impact statement that was previously printed under a notice of emergency rule making, I.D. No. HCR-26-20-00012-EP, Issue of July 1, 2020.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not submitted with this notice because this rule is subject to a consolidated regulatory flexibility analysis that was previously printed under a notice of emergency rule making, I.D. No. HCR-26-20-00012-EP, Issue of July 1, 2020.

Rural Area Flexibility Analysis

A rural area flexibility analysis is not submitted with this notice because this rule is subject to a consolidated rural area flexibility analysis that was previously printed under a notice of emergency rule making, I.D. No. HCR-26-20-00012-EP, Issue of July 1, 2020.

Job Impact Statement

A job impact statement is not submitted with this notice because this rule is subject to a consolidated job impact statement that was previously printed under a notice of emergency rule making, I.D. No. HCR-26-20-00012-EP, Issue of July 1, 2020.

Long Island Railroad Company

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Requiring Wearing Masks Over the Nose and Mouth When Using Terminals, Stations, and Trains Operated by Long Island Rail Road

I.D. No. LIR-39-20-00005-EP

Filing No. 588

Filing Date: 2020-09-11

Effective Date: 2020-09-11

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

Proposed Action: Amendment of Part 1097 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, section 1266(4) and (5)

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

Specific reasons underlying the finding of necessity: The emergency amendment is necessary to safeguard public health and safety and to ensure through mandated mask wearing covering the nose and mouth that the public, health care providers, first responders, and other essential workers who rely on subways and trains to get to and from work and also our employees are protected during the COVID-19 outbreak.

Subject: Requiring wearing masks over the nose and mouth when using terminals, stations, and trains operated by Long Island Rail Road.

Purpose: To safeguard the public health and safety on terminals, stations and trains operated by Long Island Rail Road.

Text of emergency/proposed rule: Subdivision (j) of section 1097.2 is amended to read as follows:

(j) Police officer [refers to] *means* any [member of the LIRR Police Department and any] *person so designated* [other police officer duly appointed] pursuant to New York Criminal Procedure Law, section 1.20 who, pursuant to [his] their authority, has jurisdiction within a terminal, station or train *including without limitation any member of the MTA Police Department, and also any Bridge and Tunnel Officer authorized to issue notices of violation pursuant to New York Public Authorities Law, section 553(7-a).*

New subdivisions (e) and (f) are added to section 1097.4 to read as follows:

(e) *The maximum amount of time in any calendar day that a person may use benches, chairs or other furniture designed for sitting in the public or designated ticketed passenger-only areas of any terminal or station is ninety (90) minutes, provided that LIRR may extend such time period in instances of significant delay or other exigent circumstances.*

(f) *Shelters on train platforms are for the sole use of customers waiting to board a train who may remain in the shelter no more than ninety (90) minutes in any calendar day, provided that LIRR may extend such time period in instances of significant delay or other exigent circumstances.*

Subdivisions (a), (d), (o) and (q) of section 1097.5 are amended and new subdivisions (r), (s) and (t) are added to read as follows:

No person in a terminal, station or train shall:

(a) block free movement of another person or persons; lie on the floor, platforms, stairs, tables, benches, chairs or other furniture designed for sitting, counters or landings; or occupy more than one seat;

(d) drink any alcoholic beverage or possess any opened or unsealed container of alcoholic beverage, [except in premises or areas allowing the sale or consumption of alcoholic beverages, such as on trains or platforms or in bars or restaurants] *except in such areas and at such times as may be permitted from time to time by LIRR in its discretion;*

(o) Burn a lighted cigarette, cigar, pipe, or any other matter or substance which contains tobacco or any tobacco substitute, *or use an electronic cigarette ("vaping") on a train or in any indoor area within a terminal or station or in an outdoor ticketing, boarding or platform area of a terminal or station.*

(q) engage in noncommercial activities, except as authorized by subdivision (d) of this section[.];

(r) *sit on the platforms, stairs, tables, counters or landings;*

(s) *utilize a wheeled cart greater than thirty inches in either length or width, including but not limited to shopping or grocery store carts or*

baskets but excluding any stroller which is being utilized for children, except for authorized deliveries to tenants in the terminal or station in areas designated for deliveries; and

(t) perform any act that interferes with the provision of transportation service, obstructs the flow of traffic in or on facilities, platforms or conveyances, interferes with access onto or off of an escalator, stairway, elevator or train, or otherwise interferes with the safe and efficient operation of the facilities.

Subdivision (c) of section 1097.15 is amended to read as follows:

(c) Violation of these rules shall constitute an offense punishable by a fine [not exceeding \$50] or imprisonment [for not more than 30 days] or both but no such fine or imprisonment shall exceed the maximum fine or imprisonment permitted under Public Authorities Law, section 1266(4).

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 December 9, 2020.

Text of rule and any required statements and analyses may be obtained from: Peter Sistrom, Metropolitan Transportation Authority, 2 Broadway, New York, New York 10004, (212) 878-7176, email: psistrom@mtahq.org

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

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

Regulatory Impact Statement

Statutory authority: Section 1204(5-a) of the Public Authorities Law provides that the New York City Transit Authority may adopt rules and regulations governing the conduct and safety of the public as it may deem necessary, convenient or desirable for the use and operation of the transit facilities under its jurisdiction; Sections 1266(4) and (5) of the Public Authorities Law provide that the Metropolitan Transportation Authority and its subsidiary public benefit corporations may adopt rules and regulations governing the conduct and safety of the public as they may deem necessary, convenient or desirable for the use of any transportation facility and related services operated by it or its subsidiaries.

Legislative objectives: The Legislature has conferred on the New York City Transit Authority and the Metropolitan Transportation Authority and their subsidiaries the authority to ensure the safety of their passengers and employees. Both have exercised that authority to adopt rules of conduct governing the conduct and safety of the public in the use of their facilities; these amended rules further the Legislature's objective by safeguarding public health and safety, especially during the State disaster emergency related to the COVID-19 outbreak and after.

Needs and benefits: The proposed amendments are necessary to safeguard public health and safety and to ensure immediately that health care providers, first responders, and other essential workers who rely on subways and trains to get to and from work and also our employees are able to maintain social distancing during the COVID-19 outbreak.

Costs:

(a) Regulated parties. The proposed amendments to the rules governing conduct and safety do not impose new costs on passengers or others.

(b) State and local government. The proposed amendments to the rules governing conduct and safety will not impose any new costs on State or local governments.

Local government mandates: The proposed amended rules do not impose any new programs, services, duties or responsibilities on local government. The New York City Police Department's Transit Bureau is already responsible with others in enforcing the New York City Transit Authority's Rules Governing the Conduct and Safety of the Public, and the MTA Police Department is responsible for enforcing the comparable rules and regulations governing the conduct and safety of the public on trains and stations operated by the MTA's two commuter railroads.

Paperwork: The proposed amended rules do not impose any new reporting requirements.

Duplication: The proposed amended rules do not duplicate, overlap, or conflict with any State or Federal rule.

Alternatives: The proposed amended rules seek to improve enforcement of rules governing the public's use of the MTA's facilities and conveyances. No significant alternatives to these amendments were considered.

Federal standards: The proposed amended rules do not exceed any Federal minimum standards.

Compliance schedule: There is no compliance schedule imposed by these proposed amended rules. Once adopted, the emergency amendments to the existing rules governing the conduct and safety of the public will be effective immediately.

Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A regulatory flexibility statement for small business and local governments, a rural flexibility analysis, and a job impact statement are not required for this rulemaking proposal because it will not adversely affect small businesses, local governments, rural areas, or jobs.

This proposed rulemaking will amend The Long Island Railroad Company's existing rules of conduct governing the conduct and safety of the public in the use of its facilities and conveyances. Due to its narrow focus, this proposed rule will not impose an adverse economic impact or reporting, recordkeeping, or other compliance requirements on small businesses or local governments in rural or urban areas or on jobs and employment opportunities.

Manhattan and Bronx Surface Transit Operating Authority

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Requiring Mask Wearing Covering the Nose and Mouth When Using Facilities and Conveyances Operated by the MaBSTOA

I.D. No. MBA-39-20-00007-EP

Filing No. 590

Filing Date: 2020-09-11

Effective Date: 2020-09-11

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

Proposed Action: Amendment of Part 1050 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, sections 1204(5-a), 1266(4) and (5)

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

Specific reasons underlying the finding of necessity: The emergency amendments are necessary to safeguard public health and safety and to ensure through mandated mask wearing that the public, health care providers, first responders, and other essential workers who rely on subways and trains to get to and from work and also our employees are protected during the COVID-19 outbreak.

Subject: Requiring mask wearing covering the nose and mouth when using facilities and conveyances operated by the MaBSTOA.

Purpose: To safeguard the public health and safety by amending existing rules to require use of masks when using the transit system.

Text of emergency/proposed rule: Subdivision (d)(1) of section 1050.6 is amended to read as follows:

(d) All persons on or in any facility or conveyance of the authority shall:

(1) comply with all lawful orders and directives of any police officer, peace officer or any employee of the authority or the MTA acting within the scope of their employment[;], including one pursuant to an order or directive issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or by the MTA that includes requiring the wearing of masks or face coverings by an individual who is over the age of two and is able to medically tolerate a face-covering. Masks or face coverings must be worn in a manner covering the nose and mouth. Any person who does not comply with such an order or directive requiring wearing of masks or face coverings in a manner covering the nose and mouth may be barred from entering or remaining on or in any facility or conveyance of the authority, in addition to a fine of \$50.

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 December 9, 2020.

Text of rule and any required statements and analyses may be obtained from: Peter Sistrom, Metropolitan Transportation Authority, 2 Broadway, New York, NY 10004, (212) 878-7176, email: psistrom@mtahq.org

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

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

Regulatory Impact Statement

Statutory authority: Section 1204(5-a) provides that the New York City Transit Authority may adopt rules and regulations governing the conduct and safety of the public as it may deem necessary, convenient or desirable for the use and operation of the transit facilities under its jurisdiction; Sections 1266(4) and (5) of the Public Authorities Law provide that the Met-

Metropolitan Transportation Authority and its subsidiary public benefit corporations may adopt rules and regulations governing the conduct and safety of the public as they may deem necessary, convenient or desirable for the use of any transportation facility and related services operated by it or its subsidiaries. Under the Executive Law, the Governor has declared a state disaster emergency and has issued Executive Order 202.18, which requires “any person utilizing public or private transportation carriers or other for-hire vehicles, who is over age two and able to medically tolerate a face covering, [to] wear a mask or face covering over the nose and mouth during any such trip.”

Legislative objectives: The Legislature has conferred on the New York City Transit Authority and the Metropolitan Transportation Authority and their subsidiaries the authority to ensure the safety of their passengers and employees. Both have exercised that authority to adopt rules of conduct governing the conduct and safety of the public in the use of their facilities; this amended rule furthers the Legislature’s objective by safeguarding public health and safety during the State disaster emergency related to the COVID-19 outbreak and after.

Needs and benefits: The proposed amendment is necessary to safeguard public health and safety to ensure that persons who rely on subways to get to and from work comply with the public health guidance to wear a mask or face covering to try to limit the transmission of COVID-19.

Costs:

(a) Regulated parties. The proposed amendments to the rules governing conduct and safety do not impose new costs on passengers or others.

(b) State and local government. The proposed amendments to the rules governing conduct and safety will not impose any new costs on State or local governments.

Local government mandates: The proposed amended rules do not impose any new programs, services, duties or responsibilities on local government. The New York City Police Department’s Transit Bureau is already responsible with others in enforcing the New York City Transit Authority’s Rules Governing the Conduct and Safety of the Public, and the MTA Police Department is responsible for enforcing the comparable rules and regulations governing the conduct and safety of the public on trains and stations operated by the Metropolitan Transportation Authority’s two commuter railroads.

Paperwork: The proposed amended rules do not impose any new reporting requirements.

Duplication: The proposed amended rules do not duplicate, overlap, or conflict with any State or Federal rule.

Alternatives: No significant alternatives to these amendments were considered.

Federal standards: The proposed amended rule does not exceed any Federal minimum standards.

Compliance schedule: There is no compliance schedule imposed by these proposed amended rules. Once adopted, the emergency amendment to the existing rules governing the conduct and safety of the public will be effective immediately.

Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A regulatory flexibility statement for small business and local governments, a rural flexibility analysis, and a job impact statement are not required for this rulemaking proposal because it will not adversely affect small businesses, local governments, rural areas, or jobs.

This rulemaking will authorize law enforcement officers and designated employees of the Metropolitan Transportation Authority, New York City Transit Authority, and Manhattan and Bronx Surface Transit Authority to enforce compliance with orders and directives issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or the Metropolitan Transportation Authority requiring persons in their facilities and conveyances to wear masks or face coverings in a manner covering the nose and mouth. Due to its narrow focus, this proposed emergency rule will not impose an adverse economic impact or reporting, record keeping, or other compliance requirements on small businesses or local governments in rural or urban areas or on jobs and employment opportunities.

Metro-North Commuter Railroad

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Requiring Mask Wearing Covering the Nose and Mouth When Using Terminals, Stations, and Trains Operated by Metro-North Railroad

I.D. No. MCR-39-20-00004-EP

Filing No. 587

Filing Date: 2020-09-11

Effective Date: 2020-09-11

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

Proposed Action: Amendment of Part 1085 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, section 1266(4) and (5)

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

Specific reasons underlying the finding of necessity: The emergency amendment is necessary to safeguard public health and safety and to ensure through mandated mask wearing covering the nose and mouth that the public, health care providers, first responders, and other essential workers who rely on subways and trains to get to and from work and also our employees are protected during the COVID-19 outbreak.

Subject: Requiring mask wearing covering the nose and mouth when using terminals, stations, and trains operated by Metro-North Railroad.

Purpose: To safeguard the public health and safety by amending the rules to require use of masks when using Metro-North facilities.

Text of emergency/proposed rule: Section 1085.4 is amended to add a new subdivision (e) to read as follows:

(e) All persons in a terminal, station or train shall comply with all lawful orders and directives of any police officer, peace officer or any Metro-North Railroad or Authority employee acting within the scope of their employment, including one pursuant to an order or directive issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or an order or directive issued by the Authority that includes requiring the wearing of masks or face coverings by any individual who is over the age of two and is able to medically tolerate a face-covering. Masks or face coverings must be worn in a manner covering the nose and mouth. Any person who does not comply with such an order or directive requiring wearing of masks or face coverings in a manner covering the nose and mouth may be barred from entering, or be ejected from, any terminal, station, or train, in addition to a fine of \$50.00.

This notice is intended: to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire December 9, 2020.

Text of rule and any required statements and analyses may be obtained from: Peter Sistrom, Metropolitan Transportation Authority, 2 Broadway, New York, New York, (212) 878-7176, email: psistrom@mtahq.org

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

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

Regulatory Impact Statement

Statutory authority: Section 1204(5-a) provides that the New York City Transit Authority may adopt rules and regulations governing the conduct and safety of the public as it may deem necessary, convenient or desirable for the use and operation of the transit facilities under its jurisdiction; Sections 1266(4) and (5) of the Public Authorities Law provide that the Metropolitan Transportation Authority and its subsidiary public benefit corporations may adopt rules and regulations governing the conduct and safety of the public as they may deem necessary, convenient or desirable for the use of any transportation facility and related services operated by it or its subsidiaries. Under the Executive Law, the Governor has declared a state disaster emergency and has issued Executive Order 202.18, which requires “any person utilizing public or private transportation carriers or other for-hire vehicles, who is over age two and able to medically tolerate a face covering, [to] wear a mask or face covering over the nose and mouth during any such trip.”

Legislative objectives: The Legislature has conferred on the New York City Transit Authority and the Metropolitan Transportation Authority and their subsidiaries the authority to ensure the safety of their passengers and employees. Both have exercised that authority to adopt rules of conduct governing the conduct and safety of the public in the use of their facilities; this amended rule furthers the Legislature's objective by safeguarding public health and safety during the State disaster emergency related to the COVID-19 outbreak and after.

Needs and benefits: The proposed amendment is necessary to safeguard public health and safety to ensure that persons who rely on subways to get to and from work comply with the public health guidance to wear a mask or face covering to try to limit the transmission of COVID-19.

Costs: (a) Regulated parties. The proposed amendments to the rules governing conduct and safety do not impose new costs on passengers or others. (b) State and local government. The proposed amendments to the rules governing conduct and safety will not impose any new costs on State or local governments.

Local government mandates: The proposed amended rules do not impose any new programs, services, duties or responsibilities on local government. The New York City Police Department's Transit Bureau is already responsible with others in enforcing the New York City Transit Authority's Rules Governing the Conduct and Safety of the Public, and the MTA Police Department is responsible for enforcing the comparable rules and regulations governing the conduct and safety of the public on trains and stations operated by the Metropolitan Transportation Authority's two commuter railroads.

Paperwork: The proposed amended rules do not impose any new reporting requirements.

Duplication: The proposed amended rules do not duplicate, overlap, or conflict with any State or Federal rule.

Alternatives: No significant alternatives to these amendments were considered.

Federal standards: The proposed amended rule does not exceed any Federal minimum standards.

Compliance schedule: There is no compliance schedule imposed by these proposed amended rules. Once adopted, the emergency amendment to the existing rules governing the conduct and safety of the public will be effective immediately.

Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A regulatory flexibility analysis for small businesses and local governments, a rural area flexibility analysis, and a job impact statement are not required for this rulemaking because it will not adversely affect small businesses, local governments, rural areas, or jobs.

This rulemaking will authorize law enforcement officers and designated employees of the Metropolitan Transportation Authority and Metro-North Railroad to enforce compliance with orders and directives issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or the Metropolitan Transportation Authority requiring persons in a terminal, station or train to wear masks or face coverings in a manner covering the nose and mouth. Due to its narrow focus, this proposed emergency rule will not impose an adverse economic impact or reporting, recordkeeping, or other compliance requirements on small businesses or local governments in rural or urban areas or on jobs and employment opportunities.

Metropolitan Transportation Agency

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Requiring Mask Wearing Covering the Nose and Mouth When Using the Facilities and Conveyances Operated by MTA Bus Company

I.D. No. MTA-39-20-00009-EP

Filing No. 592

Filing Date: 2020-09-11

Effective Date: 2020-09-11

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

Proposed Action: Amendment of Part 1044 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, section 1266(4) and (5)

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

Specific reasons underlying the finding of necessity: The emergency amendments are necessary to safeguard public health and safety and to ensure through mandated mask wearing that the public, health care providers, first responders, and other essential workers who rely on subways and trains to get to and from work and also our employees are protected during the COVID-19 outbreak.

Subject: Requiring mask wearing covering the nose and mouth when using the facilities and conveyances operated by MTA Bus Company.

Purpose: To safeguard the public health and safety by amending rules to require use of masks when using MTA Bus facilities and conveyance.

Text of emergency/proposed rule: A new subdivision (f) is added to section 1044.4 to read as follows:

(f) All persons on or in any facility or conveyance shall comply with all lawful orders and directives of any police officer, peace officer or any MTABC or Authority employee acting within the scope of their employment, including one pursuant to an order or directive issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or an order or directive issued by the Authority that includes requiring the wearing of masks or face coverings by any individual who is over the age of two and is able to medically tolerate a face-covering. Masks or face coverings must be worn in a manner covering the nose and mouth. Any person who does not comply with such an order or directive requiring wearing of masks or face coverings in a manner covering the nose and mouth may be barred from entering, or be ejected from any facility or conveyance, in addition to a fine of \$50.

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 December 9, 2020.

Text of rule and any required statements and analyses may be obtained from: Peter Siström, Metropolitan Transportation Authority, 2 Broadway, New York, NY 10004, (212) 878-7176, email: psistrom@mtahq.org

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

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

Regulatory Impact Statement

Statutory authority: Section 1204(5-a) provides that the New York City Transit Authority may adopt rules and regulations governing the conduct and safety of the public as it may deem necessary, convenient or desirable for the use and operation of the transit facilities under its jurisdiction; Sections 1266(4) and (5) of the Public Authorities Law provide that the Metropolitan Transportation Authority and its subsidiary public benefit corporations may adopt rules and regulations governing the conduct and safety of the public as they may deem necessary, convenient or desirable for the use of any transportation facility and related services operated by it or its subsidiaries. Under the Executive Law, the Governor has declared a state disaster emergency and has issued Executive Order 202.18, which requires "any person utilizing public or private transportation carriers or other for-hire vehicles, who is over age two and able to medically tolerate a face covering, [to] wear a mask or face covering over the nose and mouth during any such trip."

Legislative objectives: The Legislature has conferred on the New York City Transit Authority and the Metropolitan Transportation Authority and their subsidiaries the authority to ensure the safety of their passengers and employees. Both have exercised that authority to adopt rules of conduct governing the conduct and safety of the public in the use of their facilities; this amended rule furthers the Legislature's objective by safeguarding public health and safety during the State disaster emergency related to the COVID-19 outbreak and after.

Needs and benefits: The proposed amendment is necessary to safeguard public health and safety to ensure that persons who rely on subways to get to and from work comply with the public health guidance to wear a mask or face covering to try to limit the transmission of COVID-19.

Costs:

(a) Regulated parties. The proposed amendments to the rules governing conduct and safety do not impose new costs on passengers or others.

(b) State and local government. The proposed amendments to the rules governing conduct and safety will not impose any new costs on State or local governments.

Local government mandates: The proposed amended rules do not impose any new programs, services, duties or responsibilities on local government. The New York City Police Department's Transit Bureau is already responsible with others in enforcing the New York City Transit Authority's Rules Governing the Conduct and Safety of the Public, and the MTA Police Department is responsible for enforcing the comparable rules and regulations governing the conduct and safety of the public on

trains and stations operated by the Metropolitan Transportation Authority's two commuter railroads.

Paperwork: The proposed amended rules do not impose any new reporting requirements.

Duplication: The proposed amended rules do not duplicate, overlap, or conflict with any State or Federal rule.

Alternatives: No significant alternatives to these amendments were considered.

Federal standards: The proposed amended rule does not exceed any Federal minimum standards.

Compliance schedule: There is no compliance schedule imposed by these proposed amended rules. Once adopted, the emergency amendment to the existing rules governing the conduct and safety of the public will be effective immediately.

Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A regulatory flexibility statement for small business and local governments, a rural flexibility analysis, and a job impact statement are not required for this rulemaking proposal because it will not adversely affect small businesses, local governments, rural areas, or jobs.

This proposed rulemaking will authorize law enforcement officers and designated employees of the Metropolitan Transportation Authority and Metropolitan Transit Authority Bus Company to enforce compliance with orders and directives issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or the Metropolitan Transportation Authority requiring persons in its facilities and conveyances to wear masks or face coverings in a manner covering the nose and mouth. Due to its narrow focus, this proposed emergency rule will not impose an adverse economic impact or reporting, record keeping, or other compliance requirements on small businesses or local governments in rural or urban areas or on jobs and employment opportunities.

New York City Transit Authority

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Requiring Mask Wearing Covering the Nose and Mouth When Using Facilities and Conveyances Operated by NYC Transit Authority

I.D. No. NTA-39-20-00006-EP

Filing No. 589

Filing Date: 2020-09-11

Effective Date: 2020-09-11

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

Proposed Action: Amendment of Part 1050 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, sections 1204(5-a), 1266(4) and (5)

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

Specific reasons underlying the finding of necessity: The emergency amendments are necessary to safeguard public health and safety and to ensure through mandated mask wearing that the public, health care providers, first responders, and other essential workers who rely on subways and trains to get to and from work and also our employees are protected during the COVID-19 outbreak.

Subject: Requiring mask wearing covering the nose and mouth when using facilities and conveyances operated by NYC Transit Authority.

Purpose: To safeguard the public health and safety by amending existing rules to require use of masks when using the transit system.

Text of emergency/proposed rule: Subdivision (d)(1) of section 1050.6 is amended to read as follows:

(d) All persons on or in any facility or conveyance of the authority shall:
(1) comply with all lawful orders and directives of any police officer, peace officer or any employee of the authority or the MTA acting within the scope of their employment[;], including one pursuant to an order or

directive issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or by the MTA that includes requiring the wearing of masks or face coverings by an individual who is over the age of two and is able to medically tolerate a face-covering. Masks or face coverings must be worn in a manner covering the nose and mouth. Any person who does not comply with such an order or directive requiring wearing of masks or face coverings in a manner covering the nose and mouth may be barred from entering or remaining on or in any facility or conveyance of the authority, in addition to a fine of \$50.

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 December 9, 2020.

Text of rule and any required statements and analyses may be obtained from: Peter Sistrom, Metropolitan Transportation Authority, 2 Broadway, New York, NY 10004, (212) 878-7176, email: psistrom@mtahq.org

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

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

Regulatory Impact Statement

Statutory authority: Section 1204(5-a) provides that the New York City Transit Authority may adopt rules and regulations governing the conduct and safety of the public as it may deem necessary, convenient or desirable for the use and operation of the transit facilities under its jurisdiction; Sections 1266(4) and (5) of the Public Authorities Law provide that the Metropolitan Transportation Authority and its subsidiary public benefit corporations may adopt rules and regulations governing the conduct and safety of the public as they may deem necessary, convenient or desirable for the use of any transportation facility and related services operated by it or its subsidiaries. Under the Executive Law, the Governor has declared a state disaster emergency and has issued Executive Order 202.18, which requires "any person utilizing public or private transportation carriers or other for-hire vehicles, who is over age two and able to medically tolerate a face covering, [to] wear a mask or face covering over the nose and mouth during any such trip."

Legislative objectives: The Legislature has conferred on the New York City Transit Authority and the Metropolitan Transportation Authority and their subsidiaries the authority to ensure the safety of their passengers and employees. Both have exercised that authority to adopt rules of conduct governing the conduct and safety of the public in the use of their facilities; this amended rule furthers the Legislature's objective by safeguarding public health and safety during the State disaster emergency related to the COVID-19 outbreak and after.

Needs and benefits: The proposed amendment is necessary to safeguard public health and safety to ensure that persons who rely on subways to get to and from work comply with the public health guidance to wear a mask or face covering to try to limit the transmission of COVID-19.

Costs:

(a) Regulated parties. The proposed amendments to the rules governing conduct and safety do not impose new costs on passengers or others.

(b) State and local government. The proposed amendments to the rules governing conduct and safety will not impose any new costs on State or local governments.

Local government mandates: The proposed amended rules do not impose any new programs, services, duties or responsibilities on local government. The New York City Police Department's Transit Bureau is already responsible with others in enforcing the New York City Transit Authority's Rules Governing the Conduct and Safety of the Public, and the MTA Police Department is responsible for enforcing the comparable rules and regulations governing the conduct and safety of the public on trains and stations operated by the Metropolitan Transportation Authority's two commuter railroads.

Paperwork: The proposed amended rules do not impose any new reporting requirements.

Duplication: The proposed amended rules do not duplicate, overlap, or conflict with any State or Federal rule.

Alternatives: No significant alternatives to these amendments were considered.

Federal standards: The proposed amended rule does not exceed any Federal minimum standards.

Compliance schedule: There is no compliance schedule imposed by these proposed amended rules. Once adopted, the emergency amendment to the existing rules governing the conduct and safety of the public will be effective immediately.

Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A regulatory flexibility statement for small business and local governments, a rural flexibility analysis, and a job impact statement are not required for this rulemaking proposal because it will not adversely affect small businesses, local governments, rural areas, or jobs.

This rulemaking will authorize law enforcement officers and designated employees of the Metropolitan Transportation Authority, New York City Transit Authority, and Manhattan and Bronx Surface Transit Authority to enforce compliance with orders and directives issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or the Metropolitan Transportation Authority requiring persons in their facilities and conveyances to wear masks or face coverings in a manner covering the nose and mouth. Due to its narrow focus, this proposed emergency rule will not impose an adverse economic impact or reporting, record keeping, or other compliance requirements on small businesses or local governments in rural or urban areas or on jobs and employment opportunities.

Niagara Frontier Transportation Authority

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Procurement Guidelines of the Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc

I.D. No. NFT-39-20-00023-P

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

Proposed Action: This is a consensus rule making to amend sections 1159.4 and 1159.5 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, section 1299-t

Subject: Procurement Guidelines of the Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc.

Purpose: To amend procurement guidelines to reflect changes in law and clarifying language.

Substance of proposed rule (Full text is posted at the following State website: www.nfta.com): Section 1159.4(a)(1)(ii) is hereby amended to add a new clause (i) immediately following clause (h), as follows:

(i) Develop MWBE and SDVOB participation goals, monitor MWBE and SDOV participation, and report MWBE and SDVOB utilization to appropriate state agencies.

Section 1159.4(a)(2)(ii) is hereby amended as follows:

(ii) For the procurement of any product or service of \$25,000, or more, the user department shall prepare a written requisition and submit same to the procurement department a minimum of three months prior to the desired delivery, bid opening, performance, or proposal due date. For purchases under \$25,000, the requisitions shall be submitted to the procurement department 10 days in advance. The requisition shall serve as the mechanism by which the user department communicates its specific procurement need to the procurement department and it represents the beginning of the procurement process.

Section 1159.4(a)(3)(ii)(6) is hereby amended as follows:

(6) EEO/diversity development department. The Office of EEO/ Diversity Development shall develop DBE goals. EEO/diversity development will monitor DBE participation for Federal and State funded project. The EEO/diversity development department will also report DBE utilization to appropriate Federal and State agencies.

Section 1159.4(d)(1) is hereby amended as follows:

(1) Federal requirements. Procurements which include Federal funds are subject to Federal Buy America requirements. Generally, this means that steel, iron, and/or manufactured products which are incorporated in public works or product purchases are to have been produced in the United States, unless a waiver has been granted by a Federal agency or the project is subject to a general waiver (see, 49 CFR 661.7 appendix A) or included in the FAA Nationwide Buy America Waivers Issued list. General waivers have been established for microcomputer equipment, including software, and purchases for less than \$150,000 or less. Rolling stock must have a 65 percent domestic content in years 2018 and 2019 and a 70 percent domestic content in 2020 and beyond. Final assembly must take place in the United States.

Section 1159.4(j)(3)(v) is hereby amended as follows:

(v) the published selection criteria for procurements less than \$250,000 shall be as follows: professional services, 40 percent qualifications and experience, 30 percent technical criteria and 30 percent cost; revenue generating and other services, 20 percent qualifications and experience, 30

percent technical criteria and 50 percent cost; technical/operation sensitive services, 20 percent qualifications and experience, 40 percent technical criteria and 40 percent cost; specialty vehicles, equipment and technical products, 20 percent qualifications and experience, 50 percent technical criteria and 30 percent cost;

Diversity practices will be assessed for procurements anticipated to be \$250,000 or greater when it is practical, feasible and appropriate. Published section criteria shall be as follows: professional services, 35 percent qualifications and experience, 30 percent technical criteria, 30 percent cost and 5 percent diversity practices; revenue generating and other services, 20 percent qualifications and experience, 30 percent technical criteria and 50 percent cost; technical/operation sensitive services, 20 percent qualifications and experience, 40 percent technical criteria, 35 percent cost and 5 percent diversity practices; specialty vehicles, equipment and technical products, 20 percent qualifications and experience, 45 percent technical criteria, 30 percent cost and 5 percent diversity practices.

Section 1159.4(u)(2) is hereby amended as follows:

(2) An updated list of all DBE certified firms in New York State may be obtained from the New York State Unified Certification Program website at www.biznet.nysucp.net. A directory of MWBE certified firms may be obtained from the New York State MWBE website at www.nylovesmwbe.ny.gov. A list of all SDVOB certified firms in New York State may be obtained from the New York State Office of General Services website at <http://www.ogs.ny.gov/Core/SDVOBA.asp>. The procurement department shall be responsible for referencing such lists prior to the publication of a notice of procurement opportunity to determine the availability of certified ACDBE, MBE and WBE entities. The Office of Equal Opportunity / Diversity Development shall be responsible for referencing such lists prior to the publication of a notice of procurement opportunity to determine the availability of certified DBE's.

Section 1159.4(u)(3) is hereby amended as follows:

(3) The Procurement Manager shall ensure that the authority establishes appropriate goals for participation by MWBEs and SDVOBs in procurement contracts awarded by the authority and for the utilization of MWBEs and SDVOBs as subcontractors and suppliers by entities having procurement contracts with the authority. Statewide numerical participation target goals shall be established by the authority based on the findings of the most current disparity study.

Section 1159.4(u)(4) is hereby amended as follows:

(4) Every effort will be made to achieve the MWBE and SDVOB goals assigned to projects. The authority's procurement solicitation documents shall include MWBE and SDVOB goals as appropriate. These documents are advertised and posted on the authority's website. MWBE and SDVOB utilization will be monitored and reported by the Procurement department with assistance from the Engineering department.

A new Section 1159.4(ag) is hereby added to read as follows:

Contract Management and Monitoring. The responsibility for contract management and monitoring rests with the Executive Director acting in consultation with the Executive Director's Management Team. This responsibility includes, but is not limited to, decisions to terminate a contract, and/or invoking breach, default or other provisions of a contract. In keeping with the proper separation of Board oversight and Executive Management functions as recognized by the New York Authority Budget Office, the Executive Director should carry out appropriate policies, make day-to-day decisions and keep the Board informed with sufficient information of actions, issues of concern, potential risks, and liabilities while the Board as a separate responsibility to provide active oversight of management, and an obligation to make reasonable inquiry of activities when appropriate. See, NY Authority Budget Policy Guidance No. 06-02.

Section 1159.5(g)(1) is hereby amended as follows:

(1) All advertising placed in facilities and vehicles owned and operated by the Authority must reflect a high level of good taste, decency and community standards in copy and art. All advertising should harmonize with the environment of its placement.

Section 1159.5(g)(4) is hereby amended as follows:

(4) Testimonials should be authentic and should honestly reflect the response of the person making them. The advertising sales contract provides for the indemnification of the Authority against any action by any person quoted or referred to in any advertisement placed in Authority-owned facilities and vehicles.

Section 1159.5(g)(8) is hereby amended as follows:

(8) Use of Authority graphics or representations in advertising is subject to approval by the Executive Director or other proper official.

Section 1159.5(g)(9) is hereby amended as follows:

(9) No implied or declared endorsement of any product or service by the Authority is permitted.

Text of proposed rule and any required statements and analyses may be obtained from: Michelle Maniccia, Esq., Niagara Frontier Transportation Authority, 181 Ellicott St., Buffalo, New York 14203, (716) 855-7000, email: michelle_maniccia@nfta.com

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

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

Consensus Rule Making Determination

No person is likely to object to the adoption of the rule, as written, because the changes made are technical in nature and limited to (i) memorializing recent changes in the law with respect to contracting and procurement opportunities, with which the NFTA is legally required to comply, (ii) reflecting an immaterial increase in the purchasing authority of certain members of management, (iii) making conforming changes for purposes of consistency throughout the rule and (iv) making clarifying changes that are expected to be beneficial to individuals who participate in the NFTA contracting and procurement processes. In addition, the changes made to the referenced rule are not expected to adversely impact jobs or employment opportunities, nor are they expected to adversely impact any business or industry that participates, or is eligible to participate, in the NFTA contracting and/or procurement processes.

Job Impact Statement

1. Nature of Impact:

The Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc. (together, the NFTA) are amending 21 NYCRR Part 1159, Section 1159.4 and 1159.5 in order to (i) memorializing recent changes in the law with respect to contracting and procurement opportunities, with which the NFTA is legally required to comply, (ii) reflecting an immaterial increase in the purchasing authority of certain members of management, (iii) making conforming changes for purposes of consistency throughout the rule and (iv) making clarifying changes that are expected to be beneficial to individuals who participate in the NFTA contracting and procurement processes.

The changes to the referenced regulation are not expected to adversely impact jobs or employment opportunities as the overall level of NFTA contracting and procurement opportunities will not be adversely impacted by the changes made.

2. Categories and numbers affect:

The changes made to the referenced regulation are not expected to adversely impact any business or industry that participates, or is eligible to participate in, the NFTA contracting and procurement processes. The changes are not expected to result in any competitive disadvantage to any business or industry that participates in the NFTA contracting and procurement processes.

3. Regions of adverse impact:

No region of New York State is expected to be adversely impacted by the changes made to the referenced regulation.

4. Minimizing adverse impact:

The changes made to the referenced regulation are not expected to adversely impact any business or industry that participates, or is eligible to participate, in the NFTA contracting and/or procurement processes as the changes made apply to all businesses and industries equally and compliance is not expected to impose additional costs on any business or industry that participates, or is eligible to participate in, the NFTA contracting/or procurement processes.

5. Self-employment opportunities:

The NFTA is currently unaware of any adverse impact on self-employment as a result of the changes made to the referenced regulation.

Statutory authority: Mental Hygiene Law sections 13.07, 13.09(b), 13.15(a) and 16.00

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

Specific reasons underlying the finding of necessity: The emergency adoption of amendments that outline the required operating certificates for providers who intend to provide Care Coordination and Crisis Intervention services for individuals with developmental disabilities, is necessary to protect the health, safety, and welfare of individuals who receive these services. This regulation must be issued by emergency regulation because OPWDD has new statutory authority to regulate these entities, effective 7/2/2020.

The emergency amendments amend Title 14 NYCRR Parts 619, 624, 625, 633, and 635 to specify the requirements for operating certificates for providers of Care Coordination and Crisis Intervention services. The regulations must be filed on an emergency basis given OPWDD's new statutory authority to regulate these entities under chapter 58 of the laws of 2020.

Subject: Operating Certificates.

Purpose: Outlines the required operating certificates for providers who intend to provide care coordination and crisis intervention.

Text of emergency rule: • Amendment to the title of existing Part 619 to read as follows:

PART 619. CERTIFICATION OF FACILITIES AND [HOME AND COMMUNITY BASED SERVICES (HCBS)] SERVICES

• Amendment to existing section 619.1 to read as follows:

This Part applies to all facilities and [HCBS waiver] services certified by OPWDD.

• Amendment to existing of subdivision (c) of section 619.2 to read as follows:

(c) For the purposes of this Part, an operating certificate means a document pertinent to the appropriate class of facility or [HCBS waiver] service that conveys authorization by OPWDD of a provider of services to operate specific facilities or [HCBS waiver] to deliver certain services identified on or as an attachment to such document.

• Addition of a new paragraph (10) of subdivision (d) of section 619.2 to read as follows:

(10) Services approved in a Medicaid state plan that are designated for individuals with intellectual or developmental disabilities.

(i) Such Medicaid state plan services include:

(a) Comprehensive Health Home Care Management;

(b) Basic Home and Community Based Services (HCBS) Plan Support; and

(c) Crisis Services for Individuals with Intellectual and/or Developmental Disabilities.

• Amendment to existing subdivision (d) of section 619.3 to read as follows:

(d) The initial certification and amendments to all classes of operating certificates, except those services enumerated in paragraph ten of subdivision d of section 619.2 of this Part that were certified effective July 2, 2020, must be in accordance with certification of need and terms of approval requirements in Part 620 of this title. Beginning July 3, 2020, initial certification of those exempt services and amendments to those services, must comply with certification of need and terms of approval requirements in Part 620 of this title.

• Amendment to existing subdivision (g) of section 619.3 to read as follows:

(g) The certification or recertification of facilities and/or [HCBS waiver] services may be contingent on the receipt of an acceptable plan of corrective action in a form and format specified by OPWDD.

• Amendment to existing subdivision (d) of section 624.1 to read as follows:

(d) Programs that are certified under sections 16.03(a)(4) or 16.03(a)(5) of the Mental Hygiene Law and are funded by OPWDD, but that are not operated by OPWDD, are not considered to be "facilities and programs that are certified or operated by OPWDD" as that phrase is used throughout this Part. The requirements of Part 624 apply to reportable incidents and notable occurrences that are under the auspices (see glossary, section 624.20 of this Part) of such programs, except that such programs are not required to report incidents to the Justice Center's Vulnerable Persons' Central Register (VPCR).

• Amendment to existing subdivision (j) of section 624.2 to read as follows:

(j) Facilities and programs that are certified or operated by OPWDD, except those programs that are certified under paragraphs 16.03(a)(4) or 16.03(a)(5) of the Mental Hygiene Law, are required to comply with relevant provisions of Article 20 of the Executive Law (Protection of People with Special Needs) and Article 11 of the Social Services Law (Protection of People with Special Needs), and to implement regulations promulgated

Office for People with Developmental Disabilities

EMERGENCY RULE MAKING

Operating Certificates

I.D. No. PDD-29-20-00002-E

Filing No. 604

Filing Date: 2020-09-15

Effective Date: 2020-09-15

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

Action taken: Amendment of Parts 619, 624, 625, 633, 635; repeal of sections 635-5.1, 635-5.2, 635-5.3 of Title 14 NYCRR.

by the Justice Center for the Protection of People with Special Needs (Justice Center).

- Amendment to existing paragraph (1) of subdivision (d) of section 624.5 to read as follows:

(1) Facilities and programs that are operated or certified by OPWDD must report all reportable incidents to the VPCR. (Non-certified programs that are not State operated, and programs certified under sections 16.03(a)(4) or 16.03(a)(5) of the Mental Hygiene Law that are not State operated, are not required to report to the VPCR).

- Amendment to existing subparagraph (ii) of paragraph (3) of subdivision (h) of section 624.5 to read as follows:

(ii) In other cases (e.g., incidents in non-certified programs that are not operated by OPWDD or in programs certified under sections 16.03(a)(4) or 16.03(a)(5) of the Mental Hygiene Law that are not operated by OPWDD), the agency will determine whether the incident is to be reclassified and must report any reclassification in IRMA. (This reclassification is subject to review by OPWDD.)

- Amendment to existing paragraph (1) of subdivision (o) of section 624.5 to read as follows:

(1) for reportable incidents of abuse and neglect in programs that are not certified or operated by OPWDD, or are certified under sections 16.03(a)(4) or 16.03(a)(5) of the Mental Hygiene Law and not operated by OPWDD, and for reportable significant incidents and notable occurrences in all facilities and programs certified, operated, or funded by OPWDD:

- Amendment to existing paragraph (4) of subdivision (e) of section 624.7 to read as follows:

(4) Concerning facilities and programs that are not operated by OPWDD, including non-certified programs and programs certified under sections 16.03(a)(4) or 16.03(a)(5) of the Mental Hygiene Law, the IRC must monitor all actions taken to implement recommendations made by the Central Office of OPWDD or the Justice Center.

- Amendment to existing subdivision (e) of section 625.1 to read as follows:

(e) Programs that are certified under sections 16.03(a)(4) or 16.03(a)(5) of the Mental Hygiene Law and are funded by OPWDD, but that are not operated by OPWDD, are required to report and address events and situations that are not under the auspices of an agency in accordance with this Part. Such certified programs are not, however, required to report deaths to the Justice Center.

- Amendment to the title of existing Part 633 to read as follows:

PART 633. PROTECTION OF INDIVIDUALS RECEIVING SERVICES IN FACILITIES AND SERVICES OPERATED AND/OR CERTIFIED BY OPWDD

- Amendment to existing subdivision (c) of section 633.1 to read as follows:

(c) This Part contains requirements applicable to all facilities and services operated or certified by the Office for People With Developmental Disabilities, hereinafter referred to as OPWDD (see glossary section 633.99 of this Part). In a family care home, the sponsoring agency (see glossary) and the holder of the operating certificate shall be responsible for ensuring compliance with this Part.

- Amendment to existing subdivision (d) of section 633.1 to read as follows:

(d) The implementation date for compliance with this Part shall be January 31, 1988. For services certified pursuant to paragraph (10) of subdivision (d) of section 619.2 of this Title, the implementation date for compliance with this Part shall be July 2, 2020, except that, for such services, the implementation date for compliance with sections 633.5, 633.6 and 633.8 of this Part shall be January 1, 2021.

- Amendment to existing subdivision (e) of section 633.1 to read as follows:

(e) In every instance in this regulation, the terms people, person/persons or individual/individuals shall refer to those who have met the admission criteria for an OPWDD operated or certified facility and who have been admitted, or who have applied to and been screened for services and for whom a clinical record is maintained or processed by such facility as well as those individuals receiving services certified by OPWDD.

- Amendment to existing subdivision (d) of section 633.2 to read as follows:

(d) The OPWDD certification process defined in subdivision 633.2(c) of this section is superseded by requirements in Part 619 of this Title, Certification of Facilities and Services [Home and Community Based Services (HCBS), effective on the effective date of these regulations].

- Amendment to existing subparagraph (i) of paragraph (1) of subdivision (a) of section 633.22 to read as follows:

(i) facilities holding an operating certificate issued by OPWDD (e.g., residences, family care homes, day treatment, day training, sheltered workshops), home and community based waiver services, [Medicaid Service Coordination] state plan services enumerated in paragraph ten of

subdivision d of section 619.2 of this Title, family support services, individual support services; and

- Amendment to existing clause (g) of subparagraph (i) of paragraph (2) of subdivision (d) of section 633.22 to read as follows:

(g) a [service coordinator] care manager and a supervisor of a [service coordinator] care manager [, including a Medicaid Service Coordinator (MSC) and a MSC supervisor]; and

- Amendment to existing paragraph (2) subdivision (b) of section 635-4.1 to read as follows:

(2) Services for the purposes of this Subpart, services shall mean ICF/DD services (Intermediate Care Facilities for Persons with Developmental Disabilities), *Comprehensive Health Home Care Management, Basic HCBS Plan Support, Crisis Services for Individuals with Intellectual and/or Developmental Disabilities* [Medicaid service coordination], day treatment services, clinic treatment facilities (see Part 679 of this Title), and all HCBS waiver services.

- Amendment to existing subdivision (d) of section 635-4.4 to read as follows:

(d) The reduction in reimbursement shall equal two percent of the total billed price(s), rate(s) and/or fee(s) in the payment systems beginning on the due date of the cost report, or the revised due date of the cost report if OPWDD has approved the provider's request for a waiver of the reduction in reimbursement in accordance with paragraph (c)(4) of this section, and continuing until the next regularly scheduled payment cycle following the last day of the month in which the cost report is received. For a provider subject to this sanction, the reduction shall apply to reimbursements for the following services: Intermediate Care Facilities for Persons with Developmental Disabilities, *Comprehensive Health Home Care Management, Basic HCBS Plan Support, Crisis Services for Individuals with Intellectual and/or Developmental Disabilities* [Medicaid Service Coordination], Day Treatment, Clinic Treatment Facilities, residential habilitation in individualized residential alternatives (IRAs) and community residences (CRs), and all other HCBS waiver services.

- Existing Sections 635-5.1, 5.2, and 5.3 are repealed.

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. PDD-29-20-00002-EP, Issue of July 22, 2020. The emergency rule will expire November 13, 2020

Text of rule and any required statements and analyses may be obtained from: Mary Beth Babcock, Office for People With Developmental Disabilities, 44 Holland Ave, 3rd Floor, Albany, NY 12209, (518) 474-7700, email:rau.unit@opwdd.ny.gov

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. The Office for People With Developmental Disabilities (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 intellectual and developmental disabilities, as stated in the New York State (NYS) Mental Hygiene Law (MHL) 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 MHL Section 13.09(b).

c. OPWDD has the statutory authority to adopt regulations concerned with the operation of programs and the provision of services, as stated in the NYS MHL Section 16.00. The regulation also ensures compliance by OPWDD certified and operated residences with the proper provision of services.

2. Legislative Objectives: The proposed regulations further legislative objectives embodied in MHL sections 13.07, 13.09(b), and 16.00. The regulations amend Title 14 New York Codes Rules and Regulations (NYCRR) Parts 619, 624, 635, 633, and repeal sections 635-5.1, 635-5.2, and 635-5.3 relating to operating certificates for providers intending to provide care coordination and crisis intervention services. These are technical changes being made out of necessity as OPWDD was granted additional authority under Part RR of Chapter 58 of the Laws of 2020 to oversee providers of care coordination and crisis intervention services.

3. Needs and Benefits: The proposed regulations amend Title 14 NYCRR Parts 619, 624, 635, 633, and repeal sections 635-5.1, 635-5.2, and 635-5.3 to make technical changes based on new authority granted to OPWDD under Part RRR of Chapter 58 of the Laws of 2020. These technical changes are necessary to fulfill the purpose of the statute which require OPWDD take a more proactive role in supervising providers of care coordination and crisis intervention services. The technical regulation

changes match the statutory requirements for these types of services. Furthermore, the intention of the statute is to protect vulnerable individuals who are receiving these enhanced services. Without the additional oversight as granted by statute OPWDD would have concerns regarding the health and welfare of the individuals receiving services from OPWDD regulated providers.

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.

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.

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. The amendments/additions modify the requirements for providers looking to provide care coordination and crisis intervention services to receive an operating certificate.

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.

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. The regulations are necessary to comply with newly enacted state law (chapter 58 of the laws of 2020).

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 plans to adopt the regulations as an Emergency Adoption. The effective date for enforcement of the regulation will be July 2, 2020. The proposed regulations were discussed with and reviewed by representatives of providers in advance of this proposal. OPWDD expects that providers will be in compliance with the proposed requirements at the time of their effective date(s).

Regulatory Flexibility Analysis

1. Effect of Rule:

a. This rule would not apply to local governments. This rule would only apply to OPWDD providers providing care coordination or crisis intervention services. As these are specialized services, there are less than 50 providers that perform these enhanced services.

2. Compliance Requirements: These regulations do not require additional reporting requirements. Rather, any entities that provide care coordination or crisis intervention services will be required to follow OPWDD regulations.

3. Professional Services: Local governments will not be impacted by this rule. For entities that provide care coordination or crisis intervention services they will not require additional professional services as they all already have compliance managers or staff tasked with following other OPWDD regulations.

4. Compliance Costs:

a. There will be no additional compliance costs.

5. Economic and Technological Feasibility: The entities required to comply with this rule already have the technological capability to comply with this rule. Additionally, there are no additional costs for compliance.

6. Minimizing Adverse Impact: There will be no adverse impact as a result of this rule because the rule applies to all providers of these services regardless of size. Furthermore, these requirements already apply to providers of other types of services under OPWDD's purview and thus this rule requires all providers to follow the same rules.

7. Small Business and Local Government Participation: This rule does not have any impact on local governments. Small businesses will have an opportunity to comment during the comment period of the rule making process as well as various OPWDD stakeholder meetings where regulations are presented to providers for thoughts and comments.

8. Establishment or Modification of Penalties: The rule does not modify or establish any new penalties.

9. Initial Review of the Rule: OPWDD will again review the rule within the third calendar year after filing.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis for these amendments is not being submitted because the regulation 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 proposed regulation.

The proposed regulation is amending Title 14 NYCRR Parts 619, 624, 625, 633 and repeals sections 635-5.1, 635-5.2, and 635-5.3. These amendments will make consistent changes to the regulations based on new authority issued to OPWDD by chapter 58 of the laws of 2020. The regulation will not result in an adverse impact on rural communities because the regulation only proposes technical terminology changes and changes to all those seeking operating certificates. The proposed regulation will not result in costs for regulated parties. These requirements coincide with existing federal requirements thus, no new compliance is required by the state. Therefore, the amendments will not have any adverse effects on providers in rural areas and local governments.

Job Impact Statement

A Job Impact Statement for the proposed regulation is not being submitted because it is apparent from the nature and purpose of the regulation that they will not have a substantial adverse impact on jobs and/or employment opportunities.

The proposed regulation is amending Title 14 NYCRR Parts 619, 624, 625, 633 and repeals sections 635-5.1, 635-5.2, and 635-5.3. These amendments will make consistent changes to the regulations based on new authority issued to OPWDD by chapter 58 of the laws of 2020. The regulation will not result in new compliance requirements for providers. Additionally, the scope of the regulation is limited to those seeking operating certificates. The regulation will not have a substantial impact on jobs or employment opportunities in New York State.

Assessment of Public Comment

The agency received no public comment.

Public Service Commission

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Tariff Filing

I.D. No. PSC-39-20-00014-P

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

Proposed Action: The Commission is considering a tariff filing by New York State Electric & Gas Corporation to determine if it is consistent with recent changes to the Public Authorities Law.

Statutory authority: Public Service Law, sections 66 and 67

Subject: Tariff filing.

Purpose: To determine if New York State Electric & Gas Corporation's tariff filing is consistent with the law and in the public interest.

Substance of proposed rule: The Commission is considering a tariff filing by New York State Electric & Gas Corporation (NYSEG) to determine if it is consistent with recent changes to the Public Authorities Law (PAL).

On July 29, 2020, the Commission issued a Notice of Tariff Filings Due to Amendment of the Public Authorities Law, that announced certain changes to PAL § 1005 that authorize the New York Power Authority to contribute to existing economic development customers and serve new governmental customers. The Notice instructed the State's electric and municipal utilities under the Commission's jurisdiction to file tariff revisions to comply with the revised PAL § 1005.

On August 31, 2020, NYSEG filed the required revisions. In its filing, the Company states that customers receiving an allocation of power under the RNY Power Program and selecting NYPA to provide the remainder of their power supply requirement will continue to receive exemptions from certain delivery-related surcharges for their RNY Power Program allocations. However, the Company proposes that these delivery-related surcharge exemptions not be extended beyond the current provisions. The Commission is considering whether the tariff revisions, as proposed by the Company, is consistent with the PAL and in the public interest.

The full text of the tariff filing and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6517, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0376SP3)

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

Compensation of Distributed Energy Resources

I.D. No. PSC-39-20-00015-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 petition filed by Borrego Solar Systems Inc. regarding the determination of whether two or more distributed generation projects are “separate projects” for the purpose of the 5 MW capacity limit in the VDER program.

Statutory authority: Public Service Law, sections 5(1)(b), (2), 65(1), (2), (3), 66(2), (5), 66-j, 66-l and 66-p

Subject: Compensation of distributed energy resources.

Purpose: To ensure just and reasonable rates, including compensation, for distributed energy resources.

Substance of proposed rule: The Public Service Commission is considering the Petition for a Declaratory Ruling or Clarification Regarding the Separate Site Requirement for the 5 MW Aggregated Generation Capacity Limit (Petition) filed by the Borrego Solar Systems, Inc. (Borrego or Petitioners) on September 3, 2020.

The petition states participation in the Value of Distributed Energy Resources (VDER) program is limited to resources with a rated capacity of 5 MW or less. The petition further states that the Commission has directed the use of a three-factor test to determine whether two or more projects are separate projects for the purpose of this limit: (a) each facility must be separately metered and interconnected; (b) each facility must be operationally independent; and, (c) each facility must be located on a separate site. The petition explains that in applying the “separate site” requirement, the utilities administering the VDER program have, in at least some cases, required that each project be on a separate deeded parcel. The petition asserts that at times a utility has initially stated that a separate deeded parcel is not needed but then changed course during a project’s development. The petition requests that the Commission either: (a) issue a declaratory ruling finding that the requirements for net metering and Value Stack eligibility are met where projects have a unique SBL number, a separate lease and a separate metes and bounds description recorded via a separate memo of lease; or, (b) clarify that the definition of a “separate site” is not limited to those projects with a separate deed but also includes projects with a unique SBL number, separate leases and a metes and bounds description recorded via a separate memorandums of lease. The petition argues that either finding would be consistent with the underlying requirements and previous Commission orders and would avoid impeding the development of clean, distributed generation through an unnecessary administrative requirement. In the alternative, the petition requests that the Commission find that nine Borrego projects are entitled to relief from the separate deed requirement based on the utility’s initial representation to them that a separate deed was not required.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(15-E-0751SP33)

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

Tariff Filing

I.D. No. PSC-39-20-00016-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 a tariff filing by Central Hudson Gas & Electric Corporation to determine if it is consistent with recent changes to the Public Authorities Law.

Statutory authority: Public Service Law, sections 66 and 67

Subject: Tariff filing.

Purpose: To determine if Central Hudson Gas & Electric Corporation’s tariff filing is consistent with the law and in the public interest.

Substance of proposed rule: The Commission is considering a tariff filing by Central Hudson Gas & Electric Corporation (Central Hudson) to determine if it is consistent with recent changes to the Public Authorities Law (PAL).

On July 29, 2020, the Commission issued a Notice of Tariff Filings Due to Amendment of the Public Authorities Law, that announced certain changes to PAL § 1005 that authorize the New York Power Authority to contribute to existing economic development customers and serve new governmental customers. The Notice instructed the State’s electric and municipal utilities under the Commission’s jurisdiction to file tariff revisions to comply with the revised PAL § 1005.

On August 31, 2020, Central Hudson filed the required revisions. In its filing, the Company states that customers receiving an allocation of power under the RNY Power Program and selecting NYPA to provide the remainder of their power supply requirement will continue to receive exemptions from certain delivery-related surcharges for their RNY Power Program allocations. However, the Company proposes that these delivery-related surcharge exemptions not be extended beyond the current provisions. The Commission is considering whether the tariff revisions, as proposed by the Company, is consistent with the PAL and in the public interest.

The full text of the tariff filing and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6517, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0376SP1)

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

Tariff Filing

I.D. No. PSC-39-20-00017-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 tariff filing by Niag-

ara Mohawk Power Corporation d/b/a National Grid to determine if it is consistent with recent changes to the Public Authorities Law.

Statutory authority: Public Service Law, sections 66 and 67

Subject: Tariff filing.

Purpose: To determine if National Grid's tariff filing is consistent with the law and in the public interest.

Substance of proposed rule: The Commission is considering a tariff filing by Niagara Mohawk Power Corporation d/b/a National Grid (National Grid) to determine if it is consistent with recent changes to the Public Authorities Law (PAL).

On July 29, 2020, the Commission issued a Notice of Tariff Filings Due to Amendment of the Public Authorities Law, that announced certain changes to PAL § 1005 that authorize the New York Power Authority to contribute to existing economic development customers and serve new governmental customers. The Notice instructed the State's electric and municipal utilities under the Commission's jurisdiction to file tariff revisions to comply with the revised PAL § 1005.

On August 31, 2020, National Grid filed the required revisions. In its filing, the Company states that customers receiving an allocation of power under the RNY Power Program and selecting NYPA to provide the remainder of their power supply requirement will continue to receive exemptions from certain delivery-related surcharges for their RNY Power Program allocations. However, the Company proposes that these delivery-related surcharge exemptions not be extended beyond the current provisions. The Commission is considering whether the tariff revisions, as proposed by the Company, is consistent with the PAL and in the public interest.

The full text of the tariff filing and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6517, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0376SP2)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Tariff Filing

I.D. No. PSC-39-20-00018-P

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

Proposed Action: The Commission is considering a tariff filing by Rochester Gas and Electric Corporation to determine if it is consistent with recent changes to the Public Authorities Law.

Statutory authority: Public Service Law, sections 66 and 67

Subject: Tariff filing.

Purpose: To determine if Rochester Gas and Electric Corporation's tariff filing is consistent with the law and in the public interest

Substance of proposed rule: The Commission is considering a tariff filing by Rochester Gas and Electric Corporation (RG&E) to determine if it is consistent with recent changes to the Public Authorities Law (PAL).

On July 29, 2020, the Commission issued a Notice of Tariff Filings Due to Amendment of the Public Authorities Law, that announced certain changes to PAL § 1005 that authorize the New York Power Authority to contribute to existing economic development customers and serve new governmental customers. The Notice instructed the State's electric and municipal utilities under the Commission's jurisdiction to file tariff revisions to comply with the revised PAL § 1005.

On August 31, 2020, RG&E filed the required revisions. In its filing, the Company states that customers receiving an allocation of power under the

RNY Power Program and selecting NYPA to provide the remainder of their power supply requirement will continue to receive exemptions from certain delivery-related surcharges for their RNY Power Program allocations. However, the Company proposes that these delivery-related surcharge exemptions not be extended beyond the current provisions. The Commission is considering whether the tariff revisions, as proposed by the Company, is consistent with the PAL and in the public interest.

The full text of the tariff filing and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6517, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0376SP4)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Tariff Filing

I.D. No. PSC-39-20-00019-P

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

Proposed Action: The Commission is considering a tariff filing by Orange and Rockland Utilities, Inc. to determine if it is consistent with recent changes to the Public Authorities Law.

Statutory authority: Public Service Law, sections 66 and 67

Subject: Tariff filing.

Purpose: To determine if Orange and Rockland Utilities, Inc.'s tariff filing is consistent with the law and in the public interest.

Substance of proposed rule: The Commission is considering a tariff filing by Orange and Rockland Utilities, Inc. (O&R) to determine if it is consistent with recent changes to the Public Authorities Law (PAL).

On July 29, 2020, the Commission issued a Notice of Tariff Filings Due to Amendment of the Public Authorities Law, that announced certain changes to PAL § 1005 that authorize the New York Power Authority to contribute to existing economic development customers and serve new governmental customers. The Notice instructed the State's electric and municipal utilities under the Commission's jurisdiction to file tariff revisions to comply with the revised PAL § 1005.

On August 31, 2020, O&R filed the required revisions. In its filing, the Company states that customers receiving an allocation of power under the RNY Power Program and selecting NYPA to provide the remainder of their power supply requirement will continue to receive exemptions from certain delivery-related surcharges for their RNY Power Program allocations. However, the Company proposes that these delivery-related surcharge exemptions not be extended beyond the current provisions. The Commission is considering whether the tariff revisions, as proposed by the Company, is consistent with the PAL and in the public interest.

The full text of the tariff filing and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6517, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0376SP5)

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

Tariff Filing

I.D. No. PSC-39-20-00020-P

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

Proposed Action: The Commission is considering a tariff filing by Consolidated Edison Company of New York, Inc. to determine if it is consistent with recent changes to the Public Authorities Law.

Statutory authority: Public Service Law, sections 66 and 67

Subject: Tariff filing.

Purpose: To determine if Consolidated Edison Company of New York's tariff filing is consistent with the law and in the public interest.

Substance of proposed rule: The Commission is considering a tariff filing by Consolidated Edison Company of New York, Inc. (Con Edison) to determine if it is consistent with recent changes to the Public Authorities Law (PAL).

On July 29, 2020, the Commission issued a Notice of Tariff Filings Due to Amendment of the Public Authorities Law, that announced certain changes to PAL § 1005 that authorize the New York Power Authority to contribute to existing economic development customers and serve new governmental customers. The Notice instructed the State's electric and municipal utilities under the Commission's jurisdiction to file tariff revisions to comply with the revised PAL § 1005.

On August 31, 2020, Con Edison filed the required revisions. In its filing, the Company states that customers receiving an allocation of power under the RNY Power Program and selecting NYPA to provide the remainder of their power supply requirement will continue to receive exemptions from certain delivery-related surcharges for their RNY Power Program allocations. However, the Company proposes that these delivery-related surcharge exemptions not be extended beyond the current provisions. The Commission is considering whether the tariff revisions, as proposed by the Company, is consistent with the PAL and in the public interest.

The full text of the tariff filing and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6517, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0376SP6)

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

Authority to Issue to Long-Term Debt

I.D. No. PSC-39-20-00021-P

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

Proposed Action: The Commission is considering a petition filed by Corn-

ing Natural Gas Corporation (Corning) requesting authority to issue long-term debt in the aggregate amount of \$29,472,526.

Statutory authority: Public Service Law, section 69

Subject: Authority to issue to long-term debt.

Purpose: To consider Corning's request for authority to issue long-term debt.

Substance of proposed rule: The Public Service Commission is considering a petition filed on September 4, 2020 by Corning Natural Gas Corporation (Corning), requesting authority to issue long-term debt in the aggregate amount of \$29,472,526.

Corning states the proceeds of this transaction would be used to fund: the acquisition of property; the construction, completion, extension or improvement of facilities; the improvement or maintenance of service; the discharging or refunding of obligations; the reimbursement of money expended from income or other sources not obtained from the issuance of stocks, bonds, notes or other evidence of indebtedness; and/or for any other lawful purpose that may be authorized by the Commission.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, modify, or reject, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-G-0442SP1)

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

Notice of Intent to Submeter Electricity and Waiver of Energy Audit

I.D. No. PSC-39-20-00022-P

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

Proposed Action: The Commission is considering the notice of intent of 825 Dekalb LLC to submeter electricity at 825 Dekalb Avenue, Brooklyn, New York and a waiver request of 16 NYCRR section 96.5(k)(3), a waiver of an energy audit.

Statutory authority: Public Service Law, sections 2, 4(1), 30, 32-48, 52, 53, 65(1), 66(1), (2), (3), (4), (12) and (14)

Subject: Notice of intent to submeter electricity and waiver of energy audit.

Purpose: To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.

Substance of proposed rule: The Commission is considering the notice of intent, filed by 825 Dekalb LLC on September 8, 2020, to submeter electricity at 825 Dekalb Avenue, Brooklyn, New York, located in the Territory of Consolidated Edison Company of New York, Inc.

In the notice of intent, 825 Dekalb LLC requests authorization to take electric service from Con Edison and then distribute and meter that electricity to its tenants. Submetering of electricity to residential tenants is allowed so long as it complies with the protections and requirements of the Commission's regulations in 16 NYCRR Part 96. The Commission is also considering the Owner's request for 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 owner states that because the building is new construction, it must comply with the current New York City Energy Conservation Construction Code, which provides strict energy conservation requirements for new and renovated buildings, therefore an energy audit is not appropriate in this case.

The full text of the notice of intent and waiver request and the full rec-

ord of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(20-E-0443SP1)

State University of New York

NOTICE OF ADOPTION

Proposed Amendments to the Traffic and Parking Regulations at State University of New York College at Old Westbury

I.D. No. SUN-53-19-00002-A

Filing No. 585

Filing Date: 2020-09-09

Effective Date: 2020-09-30

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

Action taken: Amendment of Part 581 of Title 8 NYCRR.

Statutory authority: Education Law, section 360(1)

Subject: Proposed amendments to the traffic and parking regulations at State University of New York College at Old Westbury.

Purpose: Amend existing regulations to update traffic and parking regulations at State University of New York College at Old Westbury.

Text or summary was published in the December 31, 2019 issue of the Register, I.D. No. SUN-53-19-00002-P.

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

Text of rule and any required statements and analyses may be obtained from: Lisa S. Campo, State University of New York, State University Plaza, Albany, NY 12246, (518) 320-1400, email: Lisa.Campo@SUNY.edu

Assessment of Public Comment

The agency received no public comment.

Staten Island Rapid Transit Operating Authority

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Requiring Mask Wearing Covering the Nose and Mouth When Using Terminals, Stations and Trains Operated by SIRTOA

I.D. No. SIR-39-20-00008-EP

Filing No. 591

Filing Date: 2020-09-11

Effective Date: 2020-09-11

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

Proposed Action: Amendment of Part 1040 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, section 1266(4) and (5)

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

Specific reasons underlying the finding of necessity: The emergency amendments are necessary to safeguard public health and safety and to ensure through mandated mask wearing that the public, health care providers, first responders, and other essential workers who rely on subways and trains to get to and from work and also our employees are protected during the COVID-19 outbreak.

Subject: Requiring mask wearing covering the nose and mouth when using terminals, stations and trains operated by SIRTOA.

Purpose: To safeguard the public health and safety by amending rules to require the use of masks when using terminals and stations.

Text of emergency/proposed rule: A new subdivision (g) is added to section 1040.4 to read as follows:

(g) All persons in a terminal, station or train shall comply with all lawful orders and directives of any police officer, peace officer or any SIRTOA or Authority employee acting within the scope of their employment, including one pursuant to an order or directive issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or an order or directive issued by the Authority that includes requiring the wearing of masks or face coverings by any individual who is over the age of two and is able to medically tolerate a face-covering. Masks or face coverings must be worn in a manner covering the nose and mouth. Any person who does not comply with such an order or directive requiring wearing of masks or face coverings in a manner covering the nose and mouth may be barred from entering, or remaining on or in any terminal, station, or train, in addition to a fine of \$50.

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 December 9, 2020.

Text of rule and any required statements and analyses may be obtained from: Peter Sistrom, Metropolitan Transportation Authority, 2 Broadway, New York, NY 10004, (212) 878-7176, email: psistrom@mtahq.org

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

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

Regulatory Impact Statement

Statutory authority: Section 1204(5-a) provides that the New York City Transit Authority may adopt rules and regulations governing the conduct and safety of the public as it may deem necessary, convenient or desirable for the use and operation of the transit facilities under its jurisdiction; Sections 1266(4) and (5) of the Public Authorities Law provide that the Metropolitan Transportation Authority and its subsidiary public benefit corporations may adopt rules and regulations governing the conduct and safety of the public as they may deem necessary, convenient or desirable for the use of any transportation facility and related services operated by it or its subsidiaries. Under the Executive Law, the Governor has declared a state disaster emergency and has issued Executive Order 202.18, which requires "any person utilizing public or private transportation carriers or other for-hire vehicles, who is over age two and able to medically tolerate a face covering, [to] wear a mask or face covering over the nose and mouth during any such trip."

Legislative objectives: The Legislature has conferred on the New York City Transit Authority and the Metropolitan Transportation Authority and their subsidiaries the authority to ensure the safety of their passengers and employees. Both have exercised that authority to adopt rules of conduct governing the conduct and safety of the public in the use of their facilities; this amended rule furthers the Legislature's objective by safeguarding public health and safety during the State disaster emergency related to the COVID-19 outbreak and after.

Needs and benefits: The proposed amendment is necessary to safeguard public health and safety to ensure that persons who rely on subways to get to and from work comply with the public health guidance to wear a mask or face covering to try to limit the transmission of COVID-19.

Costs:

(a) Regulated parties. The proposed amendments to the rules governing conduct and safety do not impose new costs on passengers or others.

(b) State and local government. The proposed amendments to the rules governing conduct and safety will not impose any new costs on State or local governments.

Local government mandates: The proposed amended rules do not impose any new programs, services, duties or responsibilities on local government. The New York City Police Department's Transit Bureau is already responsible with others in enforcing the New York City Transit Authority's Rules Governing the Conduct and Safety of the Public, and

the MTA Police Department is responsible for enforcing the comparable rules and regulations governing the conduct and safety of the public on trains and stations operated by the Metropolitan Transportation Authority's two commuter railroads.

Paperwork: The proposed amended rules do not impose any new reporting requirements.

Duplication: The proposed amended rules do not duplicate, overlap, or conflict with any State or Federal rule.

Alternatives: No significant alternatives to these amendments were considered.

Federal standards: The proposed amended rule does not exceed any Federal minimum standards.

Compliance schedule: There is no compliance schedule imposed by these proposed amended rules. Once adopted, the emergency amendment to the existing rules governing the conduct and safety of the public will be effective immediately.

Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A regulatory flexibility statement for small business and local governments, a rural flexibility analysis, and a job impact statement are not required for this rulemaking proposal because it will not adversely affect small businesses, local governments, rural areas, or jobs.

This rulemaking will authorize law enforcement officers and designated employees of the Metropolitan Transportation Authority and Staten Island Rapid Transit Operating Authority to enforce compliance with orders and directives issued by the Governor of the State of New York pursuant to a state disaster emergency relating to public health or the Metropolitan Transportation Authority requiring persons in a terminal, station or train to wear masks or face coverings in a manner covering the nose and mouth. Due to its narrow focus, this proposed emergency rule will not impose an adverse economic impact or reporting, record keeping, or other compliance requirements on small businesses or local governments in rural or urban areas or on jobs and employment opportunities.

Office of Temporary and Disability Assistance

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Standard Utility Allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP)

I.D. No. TDA-39-20-00024-EP

Filing No. 603

Filing Date: 2020-09-15

Effective Date: 2020-10-01

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

Proposed Action: Amendment of section 387.12(f)(3)(v)(a)-(c) of Title 18 NYCRR.

Statutory authority: Social Services Law, sections 17(a)-(b), (k), 20(3)(d), 95; 7 United States Code, section 2014(e)(6)(C); 7 Code of Federal Regulations, section 273.9(d)(6)(iii)

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

Specific reasons underlying the finding of necessity: It is of great importance that the federally-approved standard utility allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP) are applied to SNAP benefit calculations effective October 1, 2020, and thereafter until new amounts eventually are approved by the United States Department of Agriculture (USDA). It is equally important that the new federally-approved SUA amount for the Heating/Cooling SUA in New York City be implemented by the October 1, 2020 deadline. The use of a SUA that is not authorized by the USDA could result in severe fiscal sanctions by the federal government against the State. These emergency amendments protect the public health and general welfare by setting forth the federally-approved SUAs effective as of October 1, 2020, and by helping to prevent such hardships.

As stated above, there is no federal authority to use past SUAs after the

October 1, 2020 effective date of the new federally-approved allowance amounts. For New York to continue the State option to use the SUA in lieu of the actual utility cost portion of SNAP household shelter expenses, new allowances must be in place. Otherwise, the State may be forced to use the actual utility cost portion of the shelter expenses of each SNAP household. This policy would result in all 58 social services districts (districts) in New York State having to require up to 1.6 million SNAP households to provide verification of the actual utility cost portions of their shelter expenses. This policy would create a tremendous burden on both districts as well as recipient households. In addition, as actual utility costs are generally significantly less than the SUAs, SNAP households would have a much smaller shelter deduction resulting in a sizeable reduction in their SNAP benefits. This reduction in SNAP benefits for up to 1.6 million SNAP households would result in significant harm to the health and welfare of these households.

It is noted that the regulatory amendments are being promulgated pursuant to a combined Notice of Emergency Adoption and Proposed Rule Making, instead of a Notice of Proposed Rule Making, due to time constraints. On August 3, 2020, the USDA approved the Office of Temporary and Disability Assistance's (OTDA's) SUA calculation methodology and the resulting federal fiscal year 2020 SUAs for heating/air conditioning and for basic utilities effective October 1, 2020. This did not provide sufficient time for OTDA to publish a Notice of Proposed Rule Making and for the new SUA for Heating/Cooling in New York City to become effective on October 1, 2020. An emergency adoption is necessary to have the new SUA be effective on October 1, 2020. Although these regulations are being promulgated on an emergency basis to protect the public health and general welfare, OTDA will receive public comments on its combined Notice of Emergency Adoption and Proposed Rule Making until 60 days after publication of this notice.

Subject: Standard Utility Allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP).

Purpose: These regulatory amendments set forth the federally-approved SUAs as of 10/1/20.

Text of emergency/proposed rule: Clauses (a)-(c) of subparagraph (v) of paragraph (3) of subdivision (f) of § 387.12 of Title 18 NYCRR is amended to read as follows:

(a) The standard allowance for heating/cooling consists of the costs for heating and/or cooling the residence, electricity not used to heat or cool the residence, cooking fuel, sewage, trash collection, water fees, fuel for heating hot water and basic service for one telephone. The standard allowance for heating/cooling is available to households which incur heating and/or cooling costs separate and apart from rent and are billed separately from rent or mortgage on a regular basis for heating and/or cooling their residence, or to households entitled to a Home Energy Assistance Program (HEAP) payment or other Low Income Home Energy Assistance Act (LIHEAA) payment. A household living in public housing or other rental housing which has central utility meters and which charges the household for excess heating or cooling costs only is not entitled to the standard allowance for heating/cooling unless they are entitled to a HEAP or LIHEAA payment. Such a household may claim actual costs which are paid separately. Households which do not qualify for the standard allowance for heating/cooling may be allowed to use the standard allowance for utilities or the standard allowance for telephone. As of October 1, [2018] 2020, but subject to subsequent adjustments as required by the United States Department of Agriculture ("USDA"), the standard allowance for heating/cooling for SNAP applicant and recipient households residing in New York City is \$800; for households residing in either Suffolk or Nassau Counties, it is \$744; and for households residing in any other county of New York State, it is \$661.

(b) The standard allowance for utilities consists of the costs for electricity not used to heat or cool the residence, cooking fuel, sewage, trash collection, water fees, fuel for heating hot water and basic service for one telephone. It is available to households billed separately from rent or mortgage for one or more of these utilities other than telephone. The standard allowance for utilities is available to households which do not qualify for the standard allowance for heating/cooling. Households which do not qualify for the standard allowance for utilities may be allowed to use the standard allowance for telephone. As of October 1, [2018] 2020, but subject to subsequent adjustments as required by the USDA, the standard allowance for utilities for SNAP applicant and recipient households residing in New York City is \$316; for households residing in either Suffolk or Nassau Counties, it is \$292; and for households residing in any other county of New York State, it is \$268.

(c) The standard allowance for telephone consists of the cost for basic service for one telephone. The standard allowance for telephone is available to households which do not qualify for the standard allowance for heating/cooling or the standard allowance for utilities. As of October 1, [2017] 2020, but subject to subsequent adjustments as required by the

USDA, the standard allowance for telephone for all SNAP applicant and recipient households residing in New York State is \$30.

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 December 13, 2020.

Text of rule and any required statements and analyses may be obtained from: Richard P. Rhodes, Jr., NYS Office of Temporary and Disability Assistance, 40 North Pearl Street, 16-C, Albany, NY 12243-0001, (518) 486-7503, email: richard.rhodesjr@otda.ny.gov

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

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

Regulatory Impact Statement

1. Statutory authority:

The United States Code (U.S.C.), at 7 U.S.C. § 2014(e)(6)(C), provides that in computing shelter expenses for budgeting under the federal Supplemental Nutrition Assistance Program (SNAP), a State agency may use a standard utility allowance (SUA) as provided in federal regulations.

The Code of Federal Regulations (C.F.R.), at 7 C.F.R. § 273.9(d)(6)(iii), provides for SUAs in accordance with SNAP. Clause (A) of this subparagraph states that with federal approval from the Food and Nutrition Services (FNS) of the United States Department of Agriculture (USDA), a State agency may develop SUAs to be used in place of actual costs in calculating a household's excess shelter deduction. Federal regulations allow for the following types of SUAs: a SUA for all utilities that includes heating or cooling costs; a limited utility allowance that includes electricity and fuel for purposes other than heating or cooling, water, sewerage, well and septic tank installation and maintenance, telephone, and garbage or trash collection; and an individual standard for each type of utility expense. Clause (B) of the subparagraph provides that a State agency must review the SUAs annually and adjust them to reflect changes in costs. State agencies also must provide the amounts of the SUAs to the FNS when the SUAs are changed and submit the methodologies used in developing and updating the SUAs to the FNS for approval whenever the methodologies are developed or changed.

Social Services Law (SSL) § 17(a)-(b) and (k) provide, in part, that the Commissioner of the Office of Temporary and Disability Assistance (OTDA) shall "exercise such other powers and perform such other duties as may be imposed by law."

SSL § 20(3)(d) authorizes OTDA to promulgate regulations to carry out its powers and duties.

SSL § 95 authorizes OTDA to administer SNAP in New York State (NYS) and to perform such functions as may be appropriate, permitted or required by or pursuant to federal law.

2. Legislative objectives:

It was the intent of the Legislature to implement the federal SNAP Act in NYS in order to provide SNAP benefits to eligible NYS residents.

3. Needs and benefits:

The regulatory amendments set forth the SUAs within NYS as of October 1, 2020. OTDA is amending its SUAs in 18 NYCRR § 387.12(f)(3)(v)(a) to reflect an increase in fuel and utility costs, which is indicated in the Consumer Price Index (CPI) fuel and utilities values (which includes components for water, sewage and trash collection). Specifically, OTDA is amending the standard allowance for heating/cooling for SNAP applicant and recipient households residing in New York City from \$800 to \$801; the standard allowance for heating/cooling for such households residing in either Nassau or Suffolk Counties and for such households residing in any other county of NYS remain unchanged from FFY 2020 (from October 1, 2019 through September 31, 2020), at \$744 and \$661, respectively. The standard allowances for utilities and telephone also remain unchanged from FFY 2020 through FFY 2021 (from October 1, 2020 through September 31, 2021) across NYS.

The following chart sets forth the SUA categories; the past SUAs ("Past SUA") that were in effect for federal fiscal year (FFY) 2020, from October 1, 2019 through September 31, 2020; and the new SUAs ("New SUA") that are in effect for FFY 2021, effective October 1, 2020:

	New York City		Nassau/Suffolk Counties		Rest of State	
	Past SUA	New SUA	Past SUA	New SUA	Past SUA	New SUA
Heating/Air Conditioning SUA	\$800	\$801	\$744	\$744	\$661	\$661
Basic Utility SUA	\$316	\$316	\$292	\$292	\$268	\$268
Phone SUA	Past SUA: \$30 (for all Counties) (Unchanged for all Counties)					

The aforementioned values have been determined in accordance with the current methodology approved by USDA for adjusting NYS's SUA values. To determine the Heating/Cooling and Limited Utility SUA values for FFY 2021, normally, the Consumer Price Index (CPI) Fuel and Utility value for All Urban Consumers, Not Seasonally Adjusted, for June 2020 would be compared to the same CPI Fuel and Utility value for June 2019. (The June 2019 CPI value was used to determine the adjustment for the current FFY 2020 SUA values.) There was no change in SUA amounts from FFY 2019 to FFY 2020 because of the small change in the CPI. Therefore, OTDA used June 2018 CPI as the base for this year's calculations. The percentage change between June 2018 and June 2020 was then applied to OTDA's current SUA figures and rounded as shown below. The June 2020 CPI-U Fuel and Utility value is 0.064% higher than the June 2018 value; consequently, the SUA figures provided above are 0.064% higher than the current FFY 2020 SUA. Rounded to the nearest whole dollar, the resultant values are reflected in the chart above.

To determine the Telephone SUA value for FFY 2021, the Consumer Price Index (CPI) Telephone Services value for All Urban Consumers, Not Seasonally Adjusted, for June 2020 was compared to the same CPI Telephone Services value for June 2019, the CPI value that was used to determine the current FFY 2020 SUA value. The percentage change between June 2019 and June 2020 was then applied to OTDA's current SUA figure and rounded; the June 2020 CPI-U Telephone Services value is 1.394% higher than the June 2019 value. Rounded to the nearest whole dollar, this means that the Telephone SUA value for FFY 2021 is unchanged from the current FFY 2020 SUA.

OTDA has all required approvals from the FNS pertaining to these changes and is required to apply the SUAs for FFY 2021 in its SNAP budgeting effective October 1, 2020. As of October 1, 2020, OTDA does not have federal approval or authority to apply past SUAs in its prospective SNAP budgeting.

It is of great importance that the federally-approved SUAs for the SNAP are applied to SNAP benefit calculations effective October 1, 2020, and thereafter until new amounts eventually are approved by the USDA. It is equally important that the new federally-approved SUA amount for Heating/Cooling in New York City be implemented by the October 1, 2020 deadline. The use of a SUA that is not authorized by the USDA could result in severe fiscal sanctions by the federal government against the State. These emergency amendments protect the public health and general welfare by setting forth the federally-approved SUAs effective as of October 1, 2020, and by helping to prevent such hardships.

As stated above, there is no federal authority to use past SUAs after the October 1, 2020 effective date of the new federally-approved allowance amounts. For New York to continue the State option to use the SUA in lieu of the actual utility cost portion of SNAP household shelter expenses, new allowances must be in place. Otherwise, the State may be forced to use the actual utility cost portion of the shelter expenses of each SNAP household. This policy would result in all 58 social services districts (districts) in NYS having to require up to 1.6 million SNAP households to provide verification of the actual utility cost portions of their shelter expenses. This policy would create a tremendous burden on both districts as well as recipient households. In addition, as actual utility costs are generally significantly less than the SUAs, SNAP households would have a much smaller shelter deduction resulting in a sizeable reduction in their SNAP benefits. This reduction in SNAP benefits for up to 1.6 million SNAP households would result in significant harm to the health and welfare of these households.

4. Costs:

The regulatory amendments will not result in any impact to the State financial plan, they will not impose costs upon the districts because SNAP benefits are 100 percent federally-funded, and they comply with federal statute and regulation to implement federally-approved SUAs.

5. Local government mandates:

The regulatory amendments do not impose any mandates upon districts since the amendments simply set forth the federally-approved SUAs, effective October 1, 2020. Additionally, the calculation of SNAP budgets, which incorporates the SUAs, and the resulting issuances of SNAP benefits are mostly automated processes in New York City and the rest of the State using OTDA's Welfare Management System. To the extent that these processes are not automated, the regulatory amendments do not impose any additional requirements upon the districts in terms of calculating SNAP budgets.

6. Paperwork:

The regulatory amendments do not impose any new forms, new reporting requirements or other paperwork upon the State or the districts.

7. Duplication:

The regulatory amendments do not duplicate, overlap or conflict with any existing State or federal statutes or regulations.

8. Alternatives:

An alternative to the regulatory amendments would be to refrain from

implementing the revised SUAs. However, this alternative is not a viable option because if NYS were to opt not to implement the new SUAs or were otherwise judicially precluded from doing so, then NYS would be out of compliance with federal statutory and regulatory requirements.

9. Federal standards:

The regulatory amendments do not conflict with or exceed minimum standards of the federal government.

10. Compliance schedule:

Since the regulatory amendments set forth the federally-approved SUAs effective October 1, 2020, the State and all districts will be in compliance with the regulatory amendments upon the adoption date of the regulatory amendments.

Regulatory Flexibility Analysis

1. Effect of rule:

The regulatory amendments will have no effect on small businesses. The regulatory amendments do not impose any mandates upon social services districts (districts) since the amendments simply set forth the federally-approved standard utility allowance (SUA) amounts, effective October 1, 2020. The calculation of Supplemental Nutrition Assistance Program (SNAP) budgets, which incorporates the SUAs, and the resulting issuances of SNAP benefits are mostly automated processes in New York City and the rest of the State using the Office of Temporary and Disability Assistance's (OTDA's) Welfare Management System, and to the extent these processes are not automated, the regulatory amendments do not impose any additional requirements upon the districts in terms of calculating SNAP budgets.

2. Compliance requirements:

The regulatory amendments do not impose any reporting, recordkeeping or other compliance requirements on districts.

3. Professional services:

The regulatory amendments do not require districts to hire additional professional services to comply with the new regulations.

4. Compliance costs:

The regulatory amendments do not impose initial costs or any annual costs upon districts because SNAP benefits are 100 percent federally-funded, and these regulatory amendments also comply with federal statute and regulation to implement federally-approved SUAs.

5. Economic and technological feasibility:

All districts have the economic and technological abilities to comply with the regulatory amendments.

6. Minimizing adverse impact:

The regulatory amendments will not have an adverse impact on districts.

7. Small business and local government participation:

On September 2, 2020, OTDA provided a General Information System (GIS) release to districts in New York State setting forth, in part, the SUAs for SNAP effective October 1, 2020 (see GIS 20 TA/DC087, Upstate and NYC – Updated Supplemental Nutrition Assistance Program [SNAP] Standards for October 2020). Since the release of OTDA's GIS reflecting the SUAs effective October 1, 2020, districts have not raised any concerns or objections related to the implementation of the new SUAs. The GIS is also posted to OTDA's internet website.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

The regulatory amendments have no effect on small businesses in rural areas. The regulatory amendments do not impose any mandates upon the 44 social services districts (districts) in rural areas of the State. Rather, the regulatory amendments simply set forth the federally-approved standard utility allowance (SUA) amounts for the Supplemental Nutrition Assistance Program (SNAP), effective October 1, 2020. The calculation of SNAP budgets, which incorporates the SUAs, and the resulting issuances of SNAP benefits are mostly automated processes in New York City and the rest of the State using the Office of Temporary and Disability Assistance's (OTDA's) Welfare Management System. To the extent these processes are not automated, the regulatory amendments do not impose any additional requirements upon the districts in terms of calculating SNAP budgets.

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

The regulatory amendments do not impose any reporting, recordkeeping or other compliance requirements on the districts in rural areas. Districts in rural areas do not need to hire additional professional services to comply with the regulations.

3. Costs:

The regulatory amendments do not impose initial capital costs or any annual costs upon the districts in rural areas because SNAP benefits are 100 percent federally-funded, and these regulatory amendments comply with federal statute and regulation to implement federally-approved SUAs.

4. Minimizing adverse impact:

The regulatory amendments do not have an adverse impact on the districts in rural areas.

5. Rural area participation:

On September 2, 2020, OTDA provided a General Information System (GIS) release to districts in New York State setting forth, in part, the SUAs for SNAP effective October 1, 2020 (see GIS 20 TA/DC087, Upstate and NYC – Updated Supplemental Nutrition Assistance Program [SNAP] Standards for October 2020). Since the release of OTDA's GIS reflecting the SUAs effective October 1, 2020, districts have not raised any concerns or objections related to the implementation of the new SUAs. The GIS is also posted to OTDA's internet website.

Job Impact Statement

A Job Impact Statement is not required for the regulatory amendments. It is apparent from the nature and the purpose of the regulatory amendments that they do not have a substantial adverse impact on jobs and employment opportunities in either the public or the private sectors in New York State (NYS). The regulatory amendments have no effect on small businesses. The regulatory amendments do not affect, in any significant way, the jobs of the workers in the social services districts (districts) or the State. These regulatory amendments set forth the federally-approved standard utility allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP) as of October 1, 2020. The calculation of SNAP budgets, which incorporates the SUAs, and the resulting issuances of SNAP benefits are mostly automated processes in New York City and the rest of the State using the Office of Temporary and Disability Assistance's Welfare Management System. To the extent these processes are not automated, the regulatory amendments do not impose any additional requirements upon the districts in terms of calculating SNAP budgets. Thus, the regulatory amendments do not have any adverse impact on jobs and employment opportunities in either the public or private sectors of NYS.

Workers' Compensation Board

NOTICE OF EXPIRATION

The following notice has expired and cannot be reconsidered unless the Workers Compensation Board publishes a new notice of proposed rule making in the *NYS Register*.

Applications for reopenings

I.D. No.	Proposed	Expiration Date
WCB-37-19-00002-P	September 11, 2019	September 10, 2020

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Environmental Conservation, Department of		
ENV-33-20-00007-P	Emissions Limits for 2030 and 2050, as a Percentage of 1990 Levels, Required by Climate Leadership and Community Protection Act	<p>Electronic webinar—Oct. 20, 2020, 2:00 p.m. and 6:00 p.m.</p> <p>A public comment hearing webinar for the proposed rule will be held before Administrative Law Judge (ALJ) Molly T. McBride via electronic webinar as follows and, accordingly, is reasonably accessible to persons with impaired mobility.</p> <p>Instructions on how to “join” the hearing webinar and provide an oral statement will be published in the Department’s electronic Environmental Notice Bulletin (ENB), and posted on the Department’s events calendar and proposed regulations webpage by Wednesday, October 7, 2020. The Department’s ENB may be accessed at https://www.dec.ny.gov/enb/enb.html. The Department’s events calendar may be accessed at https://www.dec.ny.gov/calendar/. The proposed regulations webpage for Part 496 may be accessed at https://www.dec.ny.gov/regulations/propregulations.html.</p> <p>Persons who wish to receive email instructions on how to join the hearing webinar via Webex may register at https://www.eventbrite.com/e/nysdec-hearing-webinar-re-regs-part-496-greenhouse-gas-emission-limits-registration-115516961341. Persons who wish to receive the instructions by mail or telephone may call the Department at 518-402-9003. Please provide your first and last name, address, and telephone number and reference the Part 496 public comment hearing.</p> <p>The Department will provide interpreter services for hearing impaired persons at no charge upon written request submitted no later than October 9, 2020. The written request must be addressed to ALJ McBride, NYS DEC Office of Hearings and Mediation Services, 625 Broadway, 1st Floor, Albany, NY 12233-1550 or emailed to ALJ McBride at ohms@dec.ny.gov.</p>
Long Island Power Authority		
LPA-37-20-00008-P	Authority’s Annual Budget, as Reflected in the Rates and Charges in the Tariff for Electric Service	<p>Long Island Power Authority, 333 Earle Ovington Blvd., 4th Fl., Uniondale, NY—November 18, 2020, 2:00 p.m.</p> <p>H. Lee Dennison Bldg., 100 Veterans Memorial Hwy., Hauppauge, NY—November 19, 2020, 10:00 a.m.</p>
LPA-37-20-00009-P	Consolidated Billing for Community Distributed Generation	<p>Long Island Power Authority, 333 Earle Ovington Blvd., 4th Fl., Uniondale, NY—November 18, 2020, 2:00 p.m.</p> <p>H. Lee Dennison Bldg., 100 Veterans Memorial Hwy., Hauppauge, NY—November 19, 2020, 10:00 a.m.</p>
LPA-37-20-00010-P	To Modify the RDM and DSA to Address the Unforeseen Impact of COVID-19	<p>Long Island Power Authority, 333 Earle Ovington Blvd., 4th Fl., Uniondale, NY—November 18, 2020, 2:00 p.m.</p>

LPA-37-20-00011-P	New Optional TOU Rates as Proposed in PSEG Long Island's 2018 Utility 2.0 Filing and Subsequent Filing Updates	H. Lee Dennison Bldg., 100 Veterans Memorial Hwy., Hauppauge, NY—November 19, 2020, 10:00 a.m.
LPA-37-20-00012-P	Authority's Implementation of Public Service Law Section 66-p in the Tariff for Electric Service	Long Island Power Authority, 333 Earle Ovington Blvd., 4th Fl., Uniondale, NY—November 18, 2020, 2:00 p.m.
LPA-37-20-00013-EP	Terms of Deferred Payment Agreements Available to LIPA's Commercial Customers	H. Lee Dennison Bldg., 100 Veterans Memorial Hwy., Hauppauge, NY—November 19, 2020, 10:00 a.m.
State, Department of		Long Island Power Authority, 333 Earle Ovington Blvd., 4th Fl., Uniondale, NY—November 18, 2020, 2:00 p.m.
DOS-37-20-00016-P	Siting Permits for Major Renewable Energy Facilities	H. Lee Dennison Bldg., 100 Veterans Memorial Hwy., Hauppauge, NY—November 19, 2020, 10:00 a.m.
		Jacqueline Vito LoRusso Alumni & Visitor Center, SUNY Buffalo State, 667 Grant St., Buffalo, NY—November 17, 2020, 5:00 p.m.*
		Rochester City Hall, City Council Chambers, 30 Church St., Rochester, NY—November 18, 2020, 5:00 p.m.*
		Clayton Opera House, 405 Riverside Dr., Clayton, NY—November 19, 2020, 5:00 p.m.*
		McDonough Sports Complex, Hudson Valley Community College, North Drive, Troy, NY—November 20, 2020, 5:00 p.m.*
		Suffolk County Legislature - William H. Rogers Building, Rose Y. Caracappa Auditorium, 725 Veterans Memorial Hwy., Smithtown, NY—November 23, 2020, 5:00 p.m.*
		To register for in-person public statement hearings: Any person wishing to comment on the proposed regulations on the record at the in-person hearings must register by sending an email to General@Ores.ny.gov no later than 5 P.M. on Friday, November 13, 2020. The Administrative Law Judge will use a registration list to call each person who has requested to provide a statement. The hearings will continue until everyone wishing to speak has been heard or other reasonable arrangements have been made to include their comments in the record. Reasonable time limits may be set for each speaker as necessary to afford all attendees an opportunity to be heard. It is recommended that lengthy comments be submitted in writing and summarized for oral presentation. A verbatim transcript of the hearings will be made for inclusion in the record.

Persons with disabilities requiring special accommodations should call (518) 474-2520 as soon as possible. TDD users may request a sign language interpreter by placing a call through the New York Relay Service at 711. Individuals with difficulty understanding or reading English are encouraged to call 1-800-342-3377 for free language assistance services regarding this notice.

Virtual Public Statement Hearings

Electronic Access: www.webex.com, Event Number: 173 227 2771, Password: 11.24PSH, Phone Access: 518-549-0500, Access Code: 173 227 2771—November 24, 2020, 5:00 p.m.*

Electronic Access: www.webex.com, Event Number: 173 845 2365, Password: 11.30PSH, Phone Access: 518-549-0500, Access Code: 173 845 2365—November 30, 2020, 5:00 p.m.*

To register for virtual public statement hearings electronically: Participants who would like login to a hearing electronically to provide a statement must register to do so by visiting www.webex.com by November 20, 2020, clicking “Join” at the top right-hand corner of the screen, and entering the appropriate event number listed above, and providing all requested information.

When logging in to a hearing on the appropriate date and time of the hearing, participants should visit www.webex.com, click “Join” at the top right-hand corner of the screen, and input the appropriate event number for the hearing. Participants will be asked to “select audio system.” It is recommended that participants opt to have the system “call me” or “call using computer.” The “call me” option will require participants to enter their phone numbers.

To register for virtual public statement hearings by phone: Any participant who is not able to login to a hearing electronically may participate by phone. Call-in participants wishing to provide a statement must register to do so by November 20, 2020 by calling 1-800-342-3330, where they should follow prompts to the appropriate hearing and provide the following information: first and last name, address, and phone number. On the appropriate date and time of a hearing, all call-in users should dial (518) 549-0500 and enter the relevant access code listed above to join the hearing.

All electronic and call-in participants will be muted upon entry into the hearing. The Administrative Law Judge will call each person who has requested to provide a statement to speak. Each public statement hearing will be held open until everyone who has registered to speak has been heard or other reasonable arrangements to submit comments into the record have been made. Time limits may be set for each speaker as necessary. It is recommended that lengthy comments be submitted in writing and summarized for oral presentation. A verbatim transcript of the hearing will be made for inclusion in the record.

Persons with disabilities requiring special accommodations should call (518) 474-2520 as soon as possible. TDD users may request a sign language interpreter by placing a call through the New York Relay Service at 711. Individuals with difficulty understanding or reading English are encouraged to call 1-800-342-3377 for free language assistance services regarding this notice.

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*In the event that a public statement hearing needs to be canceled, rescheduled or postponed, notification of any changes will be available at the ORES Web Site (www.ores.ny.gov).

ACTION PENDING INDEX

The action pending index is a list of all proposed rules which are currently being considered for adoption. A proposed rule is added to the index when the notice of proposed rule making is first published in the *Register*. A proposed rule is removed from the index when any of the following occur: (1) the proposal is adopted as a permanent rule; (2) the proposal is rejected and withdrawn from consideration; or (3) the proposal's notice expires.

Most notices expire in approximately 12 months if the agency does not adopt or reject the proposal within that time. The expiration date is printed in the second column of the action pending index. Some notices, however, never expire. Those notices are identified by the word "exempt" in the second column. Actions pending for one year or more are preceded by an asterisk(*).

For additional information concerning any of the proposals

listed in the action pending index, use the identification number to locate the text of the original notice of proposed rule making. The identification number contains a code which identifies the agency, the issue of the *Register* in which the notice was printed, the year in which the notice was printed and the notice's serial number. The following diagram shows how to read identification number codes.

Agency code	Issue number	Year published	Serial number	Action Code
AAM	01	12	00001	P

Action codes: P — proposed rule making; EP — emergency and proposed rule making (expiration date refers to proposed rule); RP — revised rule making

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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AGRICULTURE AND MARKETS, DEPARTMENT OF

AAM-12-20-00006-P	03/25/21	Calibrating and testing of certain weights and measures standards and devices.	To allow the Dept. to increase the fees it charges in calibrating and testing certain weights & measures standards and devices.
AAM-21-20-00002-P	05/27/21	Milk and Milk Products	To incorporate federal requirements applicable to the processing and manufacture of milk and milk products

ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF

ASA-19-20-00001-P	05/13/21	General service standards applicable to outpatient substance use disorder programs	To set-forth the minimum regulatory requirements for certified outpatient substance use disorder treatment programs.
ASA-28-20-00013-P	07/15/21	Patient Rights	To set-forth the minimum regulatory requirements for patient rights in OASAS certified, funded or otherwise authorized programs
ASA-28-20-00014-P	07/15/21	Specialized Services	To replace the term "chemical dependence" with "addiction"
ASA-28-20-00016-P	07/15/21	Designated Services	To set-forth the minimum regulatory requirements for certified programs to seek an Office designation

CHILDREN AND FAMILY SERVICES, OFFICE OF

CFS-46-19-00002-P	12/03/20	Behavioral health services, elimination of room isolation and authority to operate de-escalation rooms	To implement standards for behavioral health services and the operation of de-escalation rooms and to eliminate room isolation
CFS-49-19-00001-P	12/03/20	Limits on executive compensation	To remove the soft cap limit on executive compensation
CFS-04-20-00009-P	01/28/21	Host Family Homes	The proposed regulations would establish standards for the approval and administration of host family homes.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-24-20-00014-EP	06/17/21	To implement and enforce emergency health guidance as put forward by the Executive Chamber and DOH.	To implement and enforce emergency health guidance as put forward by the Executive Chamber and DOH.
CFS-31-20-00001-EP	08/05/21	To require districts to authorize up to eight hours of child care assistance, as needed, to assist parents or caretakers	To require districts to authorize up to eight hours of child care assistance, as needed, to assist parents or caretakers
CFS-36-20-00001-EP	09/09/21	Define "non-school hours" and "those periods of the year in which school is not in session"	To include virtual and/or remote learning as in school hours
CFS-36-20-00003-P	09/09/21	Requires training on adverse childhood experiences (ACEs), focused on understanding trauma and on nurturing resiliency	Requires training on adverse childhood experiences (ACEs), focused on understanding trauma and on nurturing resiliency
CIVIL SERVICE, DEPARTMENT OF			
CVS-51-19-00002-P	01/02/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-51-19-00003-P	01/02/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-51-19-00004-P	01/02/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00005-P	01/02/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00006-P	01/02/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00007-P	01/02/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00008-P	01/02/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00009-P	01/02/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00010-P	01/02/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-51-19-00011-P	01/02/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-51-19-00012-P	01/02/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00013-P	01/02/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00014-P	01/02/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-03-20-00003-P	01/21/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-03-20-00004-P	01/21/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-03-20-00005-P	01/21/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-03-20-00006-P	01/21/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-03-20-00007-P	01/21/21	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-06-20-00001-P	02/11/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-06-20-00002-P	02/11/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-06-20-00003-P	02/11/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-06-20-00004-P	02/11/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-06-20-00005-P	02/11/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-06-20-00006-P	02/11/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-06-20-00007-P	02/11/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class and to delete positions from the non-competitive class
CVS-06-20-00008-P	02/11/21	Jurisdictional Classification	To delete a subheading and positions from and to classify a subheading and positions in the exempt and non-competitive classes
CVS-13-20-00002-P	04/01/21	Supplemental military leave benefits	To extend the availability of supplemental military leave benefits for certain New York State employees until December 31, 2020
CVS-13-20-00009-P	04/01/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00010-P	04/01/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-13-20-00011-P	04/01/21	Jurisdictional Classification	To delete positions from the exempt class
CVS-13-20-00012-P	04/01/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-13-20-00013-P	04/01/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-13-20-00014-P	04/01/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00015-P	04/01/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-13-20-00016-P	04/01/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00017-P	04/01/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00018-P	04/01/21	Jurisdictional Classification	To classify a position in the exempt class

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Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-13-20-00019-P	04/01/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-13-20-00020-P	04/01/21	Jurisdictional Classification	To delete positions in the non-competitive class
CVS-13-20-00021-P	04/01/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-13-20-00022-P	04/01/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-13-20-00023-P	04/01/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-13-20-00024-P	04/01/21	Jurisdictional Classification	To classify positions in the exempt and the non-competitive classes.
CVS-13-20-00025-P	04/01/21	Jurisdictional Classification	To delete a position from and classify positions in the non-competitive class
CVS-18-20-00004-P	05/06/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-18-20-00005-P	05/06/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-20-00006-P	05/06/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-18-20-00007-P	05/06/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-18-20-00008-P	05/06/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-18-20-00009-P	05/06/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-20-00010-P	05/06/21	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-24-20-00002-P	06/17/21	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-24-20-00003-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-24-20-00004-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-24-20-00005-P	06/17/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-24-20-00006-P	06/17/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-24-20-00007-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-24-20-00008-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-24-20-00009-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-24-20-00010-P	06/17/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-28-20-00004-P	07/15/21	Jurisdictional Classification	To classify positions in the exempt class
CVS-28-20-00005-P	07/15/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-28-20-00006-P	07/15/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-28-20-00007-P	07/15/21	Jurisdictional Classification	To delete a position from the exempt class
CVS-28-20-00008-P	07/15/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-28-20-00009-P	07/15/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-28-20-00010-P	07/15/21	Jurisdictional Classification	To classify positions in the non-competitive class.
CVS-28-20-00011-P	07/15/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-28-20-00012-P	07/15/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-32-20-00003-P	08/12/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-32-20-00004-P	08/12/21	Jurisdictional Classification	To classify positions in the exempt and the non-competitive classes
CVS-32-20-00005-P	08/12/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-32-20-00006-P	08/12/21	Jurisdictional Classification	To classify a position in the exempt class
CORRECTION, STATE COMMISSION OF			
*CMC-35-19-00002-P	01/02/21	Disciplinary and administrative segregation of inmates in special housing.	Prohibit the segregation of vulnerable inmates, and to standardize allowable uses and duration of special housing segregation.
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
*CCS-35-19-00001-RP	12/03/20	Special Housing Units	Revisions have been made in order to be in compliance with new laws regarding special housing units and solitary confinement use
CCS-34-20-00001-P	08/26/21	Family Reunion Program	To clarify for logic and consistency, and make additional changes to the current Family Reunion Program
CCS-38-20-00002-P	09/23/21	Parole Revocation Process and Disposition	Harmonize revocation process with recent amendments to conditions and guidelines and clarify certain delinquency dates

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CRIMINAL JUSTICE SERVICES, DIVISION OF			
*CJS-30-19-00010-ERP	01/02/21	Use of Force	Set forth use of force reporting and recordkeeping procedures
CJS-19-20-00010-P	05/13/21	Part 364 - Conditional release conditions.	Conform to the recent changes made by the Legislature by removing the term "gravity knife".
ECONOMIC DEVELOPMENT, DEPARTMENT OF			
EDV-09-20-00007-RP	03/04/21	Minority and Women-Owned Business Enterprise Program	Update the regulations of the Division of Minority and Women's Business Development
EDV-37-20-00003-P	09/16/21	Excelsior Jobs program	Update regulations to include newly enhanced tax credits for green economy projects
EDUCATION DEPARTMENT			
*EDU-17-19-00008-P	01/02/21	To require study in language acquisition and literacy development of English language learners in certain teacher preparation	To ensure that newly certified teachers enter the workforce fully prepared to serve our ELL population
*EDU-27-19-00010-P	01/02/21	Substantially Equivalent Instruction for Nonpublic School Students	Provide guidance to local school authorities to assist them in fulfilling their responsibilities under the Compulsory Ed Law
EDU-11-20-00013-RP	03/23/21	Special Education Impartial Hearing Officers and the Special Education Due Process System Procedures	To address volume of special education due process complaints in the New York City due process system
EDU-16-20-00002-ERP	04/22/21	Addressing the COVID-19 Crisis	To provide flexibility for certain regulatory requirements in response to the COVID-19 crisis
EDU-20-20-00008-ERP	05/20/21	Addressing the COVID-19 Crisis	To provide flexibility for certain regulatory requirements in response to the COVID-19 crisis
EDU-25-20-00008-ERP	06/24/21	Eligibility for Participation of Students With Section 504 or ADA Plans in Interschool Competition and Inclusive Athletics	To clarify the eligibility requirements for participation of students with section 504 or ADA plans in interschool competition
EDU-30-20-00002-P	07/29/21	Creating a transitional J Certificate for Military Spouses	To create a Transitional J certificate for spouses of individuals on full-time active duty with the Armed Forces
EDU-30-20-00003-P	07/29/21	Creating Safety Nets for the Arts Content Specialty Tests (CSTs)	To create a safety net for the Arts Content Specialty Tests (CSTs)
EDU-30-20-00004-ERP	07/29/21	Addressing the COVID-19 crisis and planning for the reopening of schools	To provide regulatory flexibility due to the COVID-19 crisis and to plan for the reopening of schools
EDU-30-20-00005-P	07/29/21	Creating a Safety Net for the School Building Leader Assessment	To create a safety net for the School Building Leader Assessment
EDU-39-20-00010-P	09/30/21	Financial Transparency Requirement Reporting Deadlines	To permit the Department to establish the financial transparency reporting requirement deadline administratively
EDU-39-20-00011-P	09/30/21	Continuing Education Requirements for Psychologists	To implement Chapter 436 of the 2018 requiring continuing education for psychologists

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-39-20-00012-EP	09/30/21	Addressing the COVID-19 Crisis and the Reopening of Schools	To address the COVID-19 crisis and to prepare for the reopening of schools
EDU-39-20-00013-P	09/30/21	Authorize NY higher education institutions to participate in SARA & the approval of out-of-state institutions to provide distance education	To align the Commissioner's regulations with national SARA policy and federal regulations
ENERGY RESEARCH AND DEVELOPMENT AUTHORITY, NEW YORK STATE			
ERD-19-20-00012-P	05/13/21	CO2 Allowance Auction Program	Continued administration and implementation of the CO2 allowance auctions and programs under Part 507
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
*ENV-36-19-00003-P	01/02/21	Stationary Combustion Installations	Update permit references, rule citations, monitoring, record keeping, reporting requirements, and lower emission standards.
*ENV-37-19-00003-RP	03/03/21	Clarifying determination of jurisdiction under the Endangered and Threatened Fish and Wildlife regulations	To improve the review of projects by removing some project types that are known not to cause harm from the review stream
ENV-53-19-00016-P	03/09/21	Certain substances that contain hydrofluorocarbons, highly-potent greenhouse gases	Remove greenhouse gas emission sources that endanger public health and the environment
ENV-04-20-00004-EP	01/28/21	Regulations governing commercial fishing of quota managed species.	To improve efficiency, reduce waste, and increase safety in marine commercial fisheries.
ENV-05-20-00001-P	04/10/21	Use of Ultra Low Sulfur Diesel Fuel and Best Available Retrofit Technology for Heavy Duty Vehicles	Updating to meet with statutory deadline
ENV-05-20-00002-P	04/10/21	Sulfur-in Fuel Limitations	Limit sulfur in liquid and solid fuels throughout NYS
ENV-06-20-00018-P	04/16/21	The repeal and replacement of 6 NYCRR Part 230 Gasoline Dispensing Sites and Transport Vehicles	To further reduce harmful volatile organic compounds (VOCs) emitted into the atmosphere.
ENV-06-20-00019-P	04/16/21	Consumer Products	Reduce Volatile Organic Compound emissions from Consumer Products - those products used in the average household.
ENV-06-20-00020-P	04/16/21	New Source Review requirements for proposed new major facilities and major modifications to existing facilities.	To conform to federal NSR rule requirements and related court rulings, correct typographical errors, and clarify rule language.
ENV-12-20-00001-EP	03/25/21	Regulations governing commercial fishing of Tautog (blackfish).	To revise regulations concerning the commercial harvest of Tautog in New York State.
ENV-17-20-00005-P	04/29/21	The above referenced Parts make up the Department's air pollution control permitting program.	The purpose of this rulemaking is to improve the clarity and consistency of the Department's air pollution permitting program
ENV-17-20-00006-P	04/29/21	Emission Statements	The purpose of this rule making is to require electronic submittal of annual emission statements beginning in 2022.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-17-20-00007-P	04/29/21	CO2 Budget trading program	To lower the emissions cap established under Part 242.
ENV-21-20-00003-EP	05/27/21	Regulations governing the recreational harvest of bluefish	To revise regulations concerning the recreational harvest of bluefish in New York State
ENV-22-20-00004-P	06/03/21	Amendments to New York State mink, muskrat, and beaver trapping season dates	To align existing mink, muskrat and beaver trapping season start dates and adjust the seasons to trapper-preferred dates
ENV-33-20-00005-P	08/19/21	Repeal of Section 485.1	To remove outdated and redundant references in the Department's regulations
ENV-33-20-00007-P	10/20/21	Emissions limits for 2030 and 2050, as a percentage of 1990 levels, required by Climate Leadership and Community Protection Act	To limit greenhouse gas emissions that endanger public health and the environment
ENV-36-20-00002-P	09/09/21	Deer Hunting Seasons	Establish a bow and muzzleloader deer hunting season in the Southern Zone during the Christmas and New Year holiday week
FINANCIAL SERVICES, DEPARTMENT OF			
*DFS-17-16-00003-P	exempt	Plan of Conversion by Commercial Travelers Mutual Insurance Company	To convert a mutual accident and health insurance company to a stock accident and health insurance company
*DFS-25-18-00006-P	exempt	Plan of Conversion by Medical Liability Mutual Insurance Company	To convert a mutual property and casualty insurance company to a stock property and casualty insurance company
*DFS-33-19-00004-RP	01/03/21	Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards for Full and Fair Disclosure	To set forth minimum standards for the content of health insurance identification cards.
DFS-43-19-00017-P	01/02/21	Independent Dispute Resolution for Emergency Services and Surprise Bills	To require notices and consumer disclosure information related to surprise bills and bills for emergency service to be provided
DFS-36-20-00007-P	09/09/21	Superintendent's Regulations: Information Subject to Confidential Treatment	Provide rules concerning publication or disclosure of information subject to confidential treatment
DFS-39-20-00025-P	09/30/21	Financial Statement Filings and Accounting Practices and Procedures	To make technical corrections and clarifications, add new subdivisions S. 83.4(t) and (u), and update incorporated references
GAMING COMMISSION, NEW YORK STATE			
SGC-22-20-00008-P	06/03/21	Permit harness horses to race without qualifying in extraordinary circumstances	To enhance harness racing in New York and promote a reasonable return for government
SGC-22-20-00009-P	06/03/21	Technical changes to correct cross-references in the regulations	To correct cross-references in the regulations
SGC-33-20-00006-P	08/19/21	Agency rule for the protection of trade secrets submitted to the Gaming Commission	To prescribe the manner of safeguarding against any unauthorized access to records containing trade secrets

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
GAMING COMMISSION, NEW YORK STATE			
SGC-34-20-00009-P	08/26/21	Qualification time in harness racing	To improve harness pari-mutuel wagering and generate reasonable revenue for the support of government
SGC-35-20-00002-P	09/02/21	Addition of feature to the Quick Draw lottery game called "Money Dots"	To raise additional revenue for education
SGC-35-20-00003-P	09/02/21	Triple wager in harness racing	To improve harness pari-mutuel wagering and generate reasonable revenue for the support of government
SGC-35-20-00004-P	09/02/21	Restricting NSAID use in Thoroughbred racing	To improve integrity, health and safety of Thoroughbred horse racing
SGC-35-20-00005-P	09/02/21	Furosemide use and practice	To enhance horse racing in New York and generate reasonable revenue for the support of government
SGC-35-20-00006-P	09/02/21	Jackpot Super High Five wager for harness racing	To improve harness pari-mutuel wagering and generate reasonable revenue for the support of government
SGC-35-20-00007-P	09/02/21	EIPH protections for Thoroughbred horses	EIPH protections for Thoroughbred horses
SGC-35-20-00008-P	09/02/21	Medical fitness of Thoroughbred horse riders and Steeplechase jockey licensing	To improve the health and safetyThoroughbred pari-mutuel racing
SGC-35-20-00009-P	09/02/21	Backstretch housing standards at racetracks	To enhance the integrity of racing and safety of pari-mutuel racing
SGC-35-20-00010-P	09/02/21	Log of drugs administered by Thoroughbred horse trainers	To enhance the integrity and safety of thoroughbred horse racing
SGC-35-20-00011-P	09/02/21	Pick-six jackpot wager for harness racing	To improve harness pari-mutuel wagering and generate reasonable revenue for the support of government
SGC-35-20-00012-P	09/02/21	Restrictions on wagering by key employees of casino vendors	To maintain the integrity of the gaming facilities
SGC-35-20-00014-P	09/02/21	Amend the out-of-competition testing rule for thoroughbred racing	To enhance the integrity and safety of thoroughbred horse racing
HEALTH, DEPARTMENT OF			
*HLT-14-94-00006-P	exempt	Payment methodology for HIV/AIDS outpatient services	To expand the current payment to incorporate pricing for services
*HLT-36-19-00006-P	01/02/21	Limits on Executive Compensation	Removes "Soft Cap" prohibition on covered executive salaries.
HLT-40-19-00004-P	01/02/21	Drug Take Back	To implement the State's drug take back program to provide for the safe disposal of drugs
HLT-46-19-00003-P	01/02/21	Tanning Facilities	To prohibit the use of indoor tanning facilities by individuals less than 18 years of age
HLT-47-19-00008-P	01/02/21	Hospital Medical Staff - Limited Permit Holders	To repeal extra years of training required for limited permit holders to work in New York State hospitals.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-47-19-00009-P	01/02/21	Empire Clinical Research Investigator Program (ECRIP)	To expand the types of & change the time frames for past research grants that qualify staff to supervise the ECRIP project.
HLT-51-19-00001-P	01/02/21	Women, Infants and Children (WIC) Program	To support implementation of eWIC; clarify rules for violations, penalties & hearings & conform vendor authorization criteria.
HLT-53-19-00001-P	01/02/21	Prohibition on the Sale of Electronic Liquids with Characterizing Flavors	To prohibit the sale of electronic liquids with characterizing flavors
HLT-53-19-00012-P	01/02/21	Consumer Directed Personal Assistance Program Reimbursement	To establish a program to pay home care services & establish a methodology framework for the payment of FI administrative costs.
HLT-04-20-00002-P	01/28/21	Reducing Annual Tuberculosis Testing of Health Care Workers	To replace annual tuberculosis testing of health care workers.
HLT-04-20-00003-P	01/28/21	Applied Behavior Analysis	To include Applied Behavior Analysis in the Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) benefit.
HLT-04-20-00011-P	01/28/21	Nursing Home Case Mix Rationalization	To authorize the Department of Health to change the case mix acuity process for all nursing homes.
HLT-11-20-00003-P	03/18/21	Adult Day Health Care (ADHC)	To allow for reimbursement of real property leases in certain situations when used for operations of an ADHC program
HLT-27-20-00005-P	07/08/21	Private Duty Nursing Services to Medically Fragile Children	To amend the Medicaid reimbursement for fee-for-service private duty nursing provided to medically fragile children
HLT-27-20-00006-P	07/08/21	Medicaid Managed Care State Fair Hearings and External Appeals Processes and Standards	To address & clarify rules of procedure & presentation of evidence for Medicaid managed care fair hearings & external appeals
HLT-28-20-00019-P	07/15/21	Personal Care Services (PCS) and Consumer Directed Personal Assistance Program (CDPAP)	To implement a revised assessment process and eligibility criteria for PCS and CDPAP
HLT-31-20-00012-EP	exempt	Hospital Non-comparable Ambulance Acute Rate Add-on	Prevents duplicate claiming by Article 28 hospitals for the ambulance add-on regarding participation in the program
HLT-32-20-00002-EP	08/12/21	Controlled Substances	To ensure access to medicine that was formerly classified as a controlled substance
HLT-32-20-00007-EP	exempt	Upper Payment Limit (UPL) Rate Add-ons	To include UPL rate add-ons in the rates of payment for acute, specialty long term care acute and emergency department services.
HLT-38-20-00006-P	09/23/21	Medicaid Transportation Program	Medicaid payment standards for emergency ambulance providers participating in an Emergency Triage, Treat & Transport (ET3) model
HLT-38-20-00008-EP	09/23/21	Revise Requirements for Collection of Blood Components	To facilitate the availability of human blood components while maintaining safety

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-39-20-00003-EP	09/30/21	Reduce Hospital Capital Rate Add-on and Reduce Hospital Capital Reconciliation Payment	To include a 5 percent reduction to the budgeted and actual capital add-on in Article 28 hospital inpatient reimbursement rates
HOUSING AND COMMUNITY RENEWAL, DIVISION OF			
*HCR-21-19-00019-P	01/02/21	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of low-income housing tax credits.
HCR-26-20-00012-EP	09/09/21	Schedule of Reasonable Costs for Major Capital Improvements in rent regulated housing accommodations	Provide a schedule of reasonable costs for Major Capital Improvements in rent regulated housing accommodations
HOUSING FINANCE AGENCY			
*HFA-21-19-00020-P	01/02/21	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of low-income housing tax credits
JOINT COMMISSION ON PUBLIC ETHICS, NEW YORK STATE			
JPE-28-20-00031-P	07/15/21	Source of funding reporting	Clarifying amendments to Source of Funding reporting
JPE-28-20-00032-P	07/15/21	Amendments to the lobbying regulations	To clarify the lobbying regulations that implement the provisions of the Lobbying Act
LABOR, DEPARTMENT OF			
LAB-46-19-00004-P	01/02/21	NY State Public Employees Occupational Safety and Health Standards	To incorporate by reference updates to OSHA standards into the NY State Public Employee Occupational Safety and Health Standards
LAKE GEORGE PARK COMMISSION			
LGP-29-20-00006-P	09/22/21	Amendment of Stormwater Regulations within the Lake George Park	To more adequately control and minimize the pollutants found in stormwater runoff from going into Lake George
LAW, DEPARTMENT OF			
LAW-15-20-00017-P	04/15/21	investment advisers defined under GBL § 359-eee	Harmonize regulations with federal law and national standards and facilitate anti-fraud activities and modernize registration.
LAW-15-20-00018-P	04/15/21	Brokers, dealers and salespersons defined under GBL § 359-e	Harmonize regulations with federal law and national standards and facilitate anti-fraud activities and modernize registration.
LAW-18-20-00002-P	05/06/21	Designation of a Privacy Officer	Removal of a named Privacy Officer., along with their contact information
LONG ISLAND POWER AUTHORITY			
*LPA-08-01-00003-P	exempt	Pole attachments and related matters	To approve revisions to the authority's tariff

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
LONG ISLAND POWER AUTHORITY			
*LPA-41-02-00005-P exempt	Tariff for electric service	To revise the tariff for electric service
*LPA-04-06-00007-P exempt	Tariff for electric service	To adopt provisions of a ratepayer protection plan
*LPA-03-10-00004-P exempt	Residential late payment charges	To extend the application of late payment charges to residential customers
*LPA-15-18-00013-P exempt	Outdoor area lighting	To add an option and pricing for efficient LED lamps to the Authority's outdoor area lighting
*LPA-37-18-00013-P exempt	The net energy metering provisions of the Authority's Tariff for Electric Service	To implement PSC guidance increasing eligibility for value stack compensation to larger projects
*LPA-37-18-00017-P exempt	The treatment of electric vehicle charging in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on electric vehicle supply equipment.
*LPA-37-18-00018-P exempt	The treatment of energy storage in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on the NY Energy Storage Roadmap.
LPA-09-20-00010-P exempt	To update and implement latest requirements for ESCOs proposing to do business within the Authority's service territory.	To strengthen customer protections and be consistent with Public Service Commission orders on retail energy markets.
LPA-28-20-00033-EP exempt	LIPA's late payment charges, reconnection charges, and low-income customer discount enrollment	To allow waiver of late payment and reconnection charges and extend the grace period for re-enrolling in customer bill discounts
LPA-37-20-00008-P exempt	The Authority's annual budget, as reflected in the rates and charges in the Tariff for Electric Service	To update the Tariff to implement the Authority's annual budget and corresponding rate adjustments
LPA-37-20-00009-P exempt	Consolidated billing for community distributed generation	To modify the Tariff to offer consolidated billing options for community distributed generation consistent with the NY PSC
LPA-37-20-00010-P exempt	To modify the RDM and DSA to address the unforeseen impact of COVID-19	To modify the Tariff to mitigate high bill impacts and allow for additional expense recovery related to a state of emergency
LPA-37-20-00011-P exempt	New optional TOU rates as proposed in PSEG Long Island's 2018 Utility 2.0 Filing and subsequent filing updates	To incorporate best practices in TOU rate design, reduce peak load, and offer customers new rate options
LPA-37-20-00012-P exempt	The Authority's implementation of PSL § 66-p in the Tariff for Electric Service	To update the Tariff to provide access to historical electric charges billed to a rental property
LPA-37-20-00013-EP exempt	The terms of deferred payment agreements available to LIPA's commercial customers.	To expand eligibility for and ease the terms of deferred payment agreements for LIPA's commercial customers.

LONG ISLAND RAILROAD COMPANY

LIR-20-20-00005-EP 05/20/21	The conduct and safety of the public in the use of terminals, stations, and trains operated by The Long Island Railroad Company	To safeguard the public health and safety by amending rules concerning appropriate and safe uses of terminals and stations
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Agency I.D. No.	Expires	Subject Matter	Purpose of Action
LONG ISLAND RAILROAD COMPANY			
LIR-39-20-00005-EP	09/30/21	Requiring wearing masks over the nose and mouth when using terminals, stations, and trains operated by Long Island Rail Road	To safeguard the public health and safety on terminals, stations and trains operated by Long Island Rail Road
MANHATTAN AND BRONX SURFACE TRANSIT OPERATING AUTHORITY			
MBA-20-20-00002-EP	05/20/21	The conduct and safety of the public in the use of facilities and conveyances operated by the MaBSTOA	To safeguard the public health and safety by amending existing rules concerning appropriate and safe use of the transit system
MBA-39-20-00007-EP	09/30/21	Requiring mask wearing covering the nose and mouth when using facilities and conveyances operated by the MaBSTOA	To safeguard the public health and safety by amending existing rules to require use of masks when using the transit system
MEDICAID INSPECTOR GENERAL, OFFICE OF			
MED-28-20-00029-P	07/15/21	Monetary Penalties	To amend regulations governing the imposition of monetary penalties under the Medicaid program
MENTAL HEALTH, OFFICE OF			
OMH-47-19-00001-P	11/19/20	Limits on Executive Compensation	To eliminate "soft cap" restrictions on compensation.
OMH-12-20-00003-P	03/25/21	Uncompensated care funds issued pursuant to the Indigent Care Program.	To ensure the appropriate allocation of uncompensated care funds.
METRO-NORTH COMMUTER RAILROAD			
MCR-20-20-00004-EP	05/20/21	The conduct and safety of the public in the use of terminal, stations, and trains operated by Metro-North Commuter Railroad	To safeguard the public health and safety by amending rules concerning appropriate and safe uses of terminal and stations
MCR-39-20-00004-EP	09/30/21	Requiring mask wearing covering the nose and mouth when using terminals, stations, and trains operated by Metro-North Railroad	To safeguard the public health and safety by amending the rules to require use of masks when using Metro-North facilities
METROPOLITAN TRANSPORTATION AGENCY			
MTA-39-20-00009-EP	09/30/21	Requiring mask wearing covering the nose and mouth when using the facilities and conveyances operated by MTA Bus Company	To safeguard the public health and safety by amending rules to require use of masks when using MTA Bus facilities and conveyance
MOTOR VEHICLES, DEPARTMENT OF			
MTV-28-20-00001-P	07/15/21	Limited Use Vehicles - Equipment	Removes an obsolete, unnecessary requirement for seat height on 2 and 3 wheeled limited use motorcycles
MTV-28-20-00002-P	07/15/21	Safety Criteria for Registration - Motorcycles	removes an obsolete, unnecessary requirement for seat height on motorcycles
MTV-28-20-00030-P	07/15/21	Dealer and transporters -procedures used for certificates of sale	makes minor technical change removing an obsolete reference and conforms regulation with federal regulation

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
NEW YORK CITY TRANSIT AUTHORITY			
NTA-20-20-00001-EP	05/20/21	The conduct and safety of the public in the use of facilities and conveyances operated by New York City Transit Authority	To safeguard the public health and safety by amending existing rules concerning appropriate and safe use of the transit system
NTA-39-20-00006-EP	09/30/21	Requiring mask wearing covering the nose and mouth when using facilities and conveyances operated by NYC Transit Authority	To safeguard the public health and safety by amending existing rules to require use of masks when using the transit system
NIAGARA FALLS WATER BOARD			
*NFW-04-13-00004-EP	exempt	Adoption of Rates, Fees and Charges	To pay for the increased costs necessary to operate, maintain and manage the system, and to achieve covenants with bondholders
*NFW-13-14-00006-EP	exempt	Adoption of Rates, Fees and Charges	To pay for increased costs necessary to operate, maintain and manage the system and to achieve covenants with the bondholders
NIAGARA FRONTIER TRANSPORTATION AUTHORITY			
NFT-39-20-00023-P	09/30/21	Procurement Guidelines of the Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc	To amend procurement guidelines to reflect changes in law and clarifying language
OGDENSBURG BRIDGE AND PORT AUTHORITY			
*OBA-33-18-00019-P	exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit.
*OBA-07-19-00019-P	exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit
PARKS, RECREATION AND HISTORIC PRESERVATION, OFFICE OF			
PKR-29-20-00001-P	07/22/21	Listing of state parks, parkways, recreation facilities and historic sites (facilities). New York City Region	To update the listing of state parks, parkways, recreation facilities and historic sites in the New York City Region
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-29-20-00002-EP	07/22/21	Operating Certificates	Outlines the required operating certificates for providers who intend to provide care coordination sand crisis intervention
PDD-35-20-00001-P	09/02/21	Medication regimen review	Provides increased flexibility for providers
PDD-37-20-00004-EP	09/16/21	Day Habilitation Duration	to help providers maintain capacity to operate during the public health emergency
POWER AUTHORITY OF THE STATE OF NEW YORK			
*PAS-01-10-00010-P	exempt	Rates for the sale of power and energy	Update ECSB Programs customers' service tariffs to streamline them/include additional required information

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-09-99-00012-P exempt	Transfer of books and records by Citizens Utilities Company	To relocate Ogden Telephone Company's books and records out-of-state
*PSC-15-99-00011-P exempt	Electronic tariff by Woodcliff Park Corp.	To replace the company's current tariff with an electronic tariff
*PSC-12-00-00001-P exempt	Winter bundled sales service election date by Central Hudson Gas & Electric Corporation	To revise the date
*PSC-44-01-00005-P exempt	Annual reconciliation of gas costs by Corning Natural Gas Corporation	To authorize the company to include certain gas costs
*PSC-07-02-00032-P exempt	Uniform business practices	To consider modification
*PSC-36-03-00010-P exempt	Performance assurance plan by Verizon New York	To consider changes
*PSC-40-03-00015-P exempt	Receipt of payment of bills by St. Lawrence Gas Company	To revise the process
*PSC-41-03-00010-P exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-41-03-00011-P exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-44-03-00009-P exempt	Retail access data between jurisdictional utilities	To accommodate changes in retail access market structure or commission mandates
*PSC-02-04-00008-P exempt	Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York	To rehear the Nov. 25, 2003 order
*PSC-06-04-00009-P exempt	Transfer of ownership interest by SCS Energy LLC and AE Investors LLC	To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC
*PSC-10-04-00005-P exempt	Temporary protective order	To consider adopting a protective order
*PSC-10-04-00008-P exempt	Interconnection agreement between Verizon New York Inc. and VIC-RMTS-DC, L.L.C. d/b/a Verizon Avenue	To amend the agreement
*PSC-14-04-00008-P exempt	Submetering of natural gas service to industrial and commercial customers by Hamburg Fairgrounds	To submeter gas service to commercial customers located at the Buffalo Speedway
*PSC-15-04-00022-P exempt	Submetering of electricity by Glenn Gardens Associates, L.P.	To permit submetering at 175 W. 87th St., New York, NY
*PSC-21-04-00013-P exempt	Verizon performance assurance plan by Metropolitan Telecommunications	To clarify the appropriate performance level
*PSC-22-04-00010-P exempt	Approval of new types of electricity meters by Powell Power Electric Company	To permit the use of the PE-1250 electronic meter
*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

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PUBLIC SERVICE COMMISSION			
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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

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PUBLIC SERVICE COMMISSION			
*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

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PUBLIC SERVICE COMMISSION			
*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-25-08-00007-P exempt	Policies and procedures regarding the selection of regulatory proposals to meet reliability needs	To establish policies and procedures regarding the selection of regulatory proposals to meet reliability needs
*PSC-25-08-00008-P exempt	Report on Callable Load Opportunities	Rider U report assessing callable load opportunities in New York City and Westchester County during the next 10 years
*PSC-28-08-00004-P exempt	Con Edison's procedure for providing customers access to their account information	To consider Con Edison's implementation plan and timetable for providing customers access to their account information
*PSC-31-08-00025-P exempt	Recovery of reasonable DRS costs from the cost mitigation reserve (CMR)	To authorize recovery of the DRS costs from the CMR
*PSC-32-08-00009-P exempt	The ESCO referral program for KEDNY to be implemented by October 1, 2008	To approve, reject or modify, in whole or in part, KEDNY's recommended ESCO referral program
*PSC-33-08-00008-P exempt	Noble Allegany's request for lightened regulation	To consider Noble Allegany's request for lightened regulation as an electric corporation
*PSC-36-08-00019-P exempt	Land Transfer in the Borough of Manhattan, New York	To consider petition for transfer of real property to NYPH

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PUBLIC SERVICE COMMISSION			
*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
*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

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PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-27-10-00016-P exempt	Petition for the submetering of electricity	To consider the request of 9271 Group, LLC to submeter electricity at 960 Busti Avenue, Buffalo, New York
*PSC-34-10-00003-P exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-34-10-00005-P exempt	Approval of a contract for \$250,000 in tank repairs that may be a financing	To decide whether to approve a contract between the parties that may be a financing of \$250,000 for tank repairs

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-13-11-00005-P exempt	Exclude the minimum monthly bill component from the earnings test calculation	Exclude the minimum monthly bill component from the earnings test calculation
*PSC-14-11-00009-P exempt	Petition for the submetering of electricity	To consider the request of 83-30 118th Street to submeter electricity at 83-30 118th Street, Kew Gardens, New York
*PSC-19-11-00007-P exempt	Utility price reporting requirements related to the Commission's "Power to Choose" website	Modify the Commission's utility electric commodity price reporting requirements related to the "Power to Choose" website
*PSC-20-11-00012-P exempt	Petition for the submetering of electricity	To consider the request of KMW Group LLC to submeter electricity at 122 West Street, Brooklyn, New York
*PSC-20-11-00013-P exempt	Determining the reasonableness of Niagara Mohawk Power Corporation d/b/a National Grid 's make ready charges	To determine if the make ready charges of Niagara Mohawk Power Corporation d/b/a National Grid are reasonable

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-22-11-00004-P exempt	Whether to permit the use of the Sensus accWAVE for use in residential gas meter applications	To permit gas utilities in New York State to use the Sensus accWAVE diaphragm gas meter
*PSC-26-11-00007-P exempt	Water rates and charges	To approve an increase in annual revenues by about \$25,266 or 50%
*PSC-26-11-00009-P exempt	Petition for the submetering of electricity at commercial property	To consider the request of by Hoosick River Hardwoods, LLC to submeter electricity at 28 Taylor Avenue, in Berlin, New York
*PSC-26-11-00012-P exempt	Waiver of generation retirement notice requirements	Consideration of waiver of generation retirement notice requirements
*PSC-29-11-00011-P exempt	Petition requesting the Commission reconsider its May 19, 2011 Order and conduct a hearing, and petition to stay said Order.	To consider whether to grant or deny, in whole or in part, Windstream New York's Petition For Reconsideration and Rehearing.
*PSC-35-11-00011-P exempt	Whether to permit Consolidated Edison a waiver to commission regulations Part 226.8	Permit Consolidated Edison to conduct a inspection program in lieu of testing the accuracy of Category C meters
*PSC-36-11-00006-P exempt	To consider expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-38-11-00002-P exempt	Operation and maintenance procedures pertaining to steam trap caps	Adopt modified steam operation and maintenance procedures
*PSC-38-11-00003-P exempt	Waiver of certain provisions of the electric service tariffs of Con Edison	Consideration of waiver of certain provisions of the electric service tariffs of Con Edison
*PSC-40-11-00010-P exempt	Participation of regulated local exchange carriers in the New York Data Exchange, Inc. (NYDE)	Whether to partially modify its order requiring regulated local exchange carriers' participation NYDE
*PSC-40-11-00012-P exempt	Granting of transfer of plant in-service to a regulatory asset	To approve transfer and recovery of unamortized plant investment
*PSC-42-11-00018-P exempt	Availability of telecommunications services in New York State at just and reasonable rates	Providing funding support to help ensure availability of affordable telecommunications service throughout New York
*PSC-43-11-00012-P exempt	Transfer of outstanding shares of stock	Transfer the issued outstanding shares of stock of The Meadows at Hyde Park Water-Works Corporation to HPWS, LLC
*PSC-47-11-00007-P exempt	Remedying miscalculations of delivered gas as between two customer classes	Consideration of Con Edison's proposal to address inter-class delivery imbalances resulting from past Company miscalculations
*PSC-48-11-00007-P exempt	Transfer of controlling interests in generation facilities from Dynegy to PSEG	Consideration of the transfer of controlling interests in electric generation facilities from Dynegy to PSEG
*PSC-48-11-00008-P exempt	Petition for the submetering of electricity	To consider the request of To Better Days, LLC to submeter electricity at 37 East 4th Street, New York, New York
*PSC-01-12-00007-P exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-01-12-00008-P exempt	Transfer of real property and easements from NMPNS to NMP3	Consideration of the transfer of real property and easements from NMPNS to NMP3
*PSC-01-12-00009-P exempt	Recovery of expenses related to the expansion of Con Edison's ESCO referral program, PowerMove	To determine how and to what extent expenses related to the Expansion of Con Edison's ESCO referral program should be recovered
*PSC-11-12-00002-P exempt	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff
*PSC-11-12-00005-P exempt	Transfer of land and water supply assets	Transfer the land and associated water supply assets of Groman Shores, LLC to Robert Groman
*PSC-13-12-00005-P exempt	Authorization to transfer certain real property	To decide whether to approve the transfer of certain real property
*PSC-19-12-00023-P exempt	Petition for approval pursuant to Section 70 for the sale of goods with an original cost of less than \$100,000	To consider whether to grant, deny or modify, in whole or in part, the petition filed by Orange and Rockland Utilities, Inc.
*PSC-21-12-00006-P exempt	Tariff filing requirements and refunds	To determine if certain agreements should be filed pursuant to the Public Service Law and if refunds are warranted
*PSC-21-12-00011-P exempt	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47
*PSC-23-12-00007-P exempt	The approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility	To consider the approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility
*PSC-23-12-00009-P exempt	Over earnings sharing between rate payers and shareholders	To establish an Earnings Sharing Mechanism to be applied following the conclusion of Corning's rate plan
*PSC-27-12-00012-P exempt	Implementation of recommendations made in a Management Audit Report	To consider implementation of recommendations made in a Management Audit Report
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-42-12-00009-P exempt	Regulation of Gipsy Trail Club, Inc.'s long-term financing agreements	To exempt Gipsy Trail Club, Inc. from Commission regulation of its financing agreements
*PSC-45-12-00008-P exempt	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff
*PSC-45-12-00010-P exempt	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District
*PSC-50-12-00003-P exempt	Affiliate standards for Corning Natural Gas Corporation	To resolve issues raised by Corning Natural Gas Corporation in its petition for rehearing
*PSC-04-13-00006-P exempt	Expansion of mandatory day ahead hourly pricing for customers of Orange and Rockland Utilities with demands above 100 kW	To consider the expansion of mandatory day ahead hourly pricing for customers with demands above 100 kW
*PSC-04-13-00007-P exempt	Authorization to transfer certain real property.	To decide whether to approve the transfer of certain real property.
*PSC-06-13-00008-P exempt	Verizon New York Inc.'s retail service quality	To investigate Verizon New York Inc.'s retail service quality
*PSC-08-13-00012-P exempt	Filing requirements for certain Article VII electric facilities	To ensure that applications for certain electric transmission facilities contain pertinent information
*PSC-08-13-00014-P exempt	Uniform System of Accounts - Request for Accounting Authorization	To allow the company to defer an item of expense or capital beyond the end of the year in which it was incurred
*PSC-12-13-00007-P exempt	Protecting company water mains	To allow the company to require certain customers to make changes to the electrical grounding system at their homes
*PSC-13-13-00008-P exempt	The potential waiver of 16 NYCRR 255.9221(d) completion of integrity assessments for certain gas transmission lines.	To determine whether a waiver of the timely completion of certain gas transmission line integrity assessments should be granted.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-22-13-00009-P exempt	On remand from New York State court litigation, determine the recovery of certain deferred amounts owed NFG by ratepayers	On remand, to determine the recovery of certain deferral amounts owed NFG from ratepayers
*PSC-23-13-00005-P exempt	Waiver of partial payment, directory database distribution, service quality reporting, and service termination regulations	Equalize regulatory treatment based on level of competition and practical considerations
*PSC-25-13-00008-P exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-25-13-00009-P exempt	Provision by utilities of natural gas main and service lines.	To help ensure efficient and economic expansion of the natural gas system as appropriate.
*PSC-25-13-00012-P exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-27-13-00014-P exempt	Columbia Gas Transmission Corporation Cost Refund	For approval for temporary waiver of tariff provisions regarding its Columbia Gas Transmission Corporation cost refund.
*PSC-28-13-00014-P exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-28-13-00016-P exempt	The request of NGT for lightened regulation as a gas corporation.	To consider whether to approve, reject, or modify the request of Niagara gas transport of Lockport, NY LLC.
*PSC-28-13-00017-P exempt	The request by TE for waiver of regulations requiring that natural gas be odorized in certain gathering line segments	Consider the request by TE for waiver of regulations that gas be odorized in certain lines
*PSC-32-13-00009-P exempt	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices
*PSC-32-13-00012-P exempt	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion
*PSC-33-13-00027-P exempt	Waive underground facility requirements for new construction in residential subdivisions to allow for overhead electric lines.	Determine whether Chapin Lumberland, LLC subdivision will be allowed overhead electric distribution and service lines.
*PSC-33-13-00029-P exempt	Deferral of incremental costs associated with the restoration of steam service following Superstorm Sandy.	To consider a petition by Con Edison to defer certain incremental steam system restoration costs relating to Superstorm Sandy.
*PSC-34-13-00004-P exempt	Escrow account and surcharge to fund extraordinary repairs	To approve the establishment of an escrow account and surcharge
*PSC-42-13-00013-P exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-42-13-00015-P exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-43-13-00015-P exempt	Petition for submetering of electricity	To consider the request of 2701 Kingsbridge Terrace L.P. to submeter electricity at 2701 Kingsbridge Terrace, Bronx, N.Y.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-45-13-00021-P exempt	Investigation into effect of bifurcation of gas and electric utility service on Long Island.	To consider a Petition for an investigation into effect of bifurcation of gas and electric utility service on Long Island.
*PSC-45-13-00022-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4)	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00023-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00024-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4); waiver of filing deadlines.	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00025-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-47-13-00009-P exempt	Petition for submetering of electricity.	To consider the request of Hegeman Avenue Housing L.P. to submeter electricity at 39 Hegeman Avenue, Brooklyn, N.Y.
*PSC-47-13-00012-P exempt	Conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.	Consideration of conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.
*PSC-49-13-00008-P exempt	Authorization to transfer all of Crystal Water Supply Company, Inc. stocks to Essel Infra West Inc.	To allow Crystal Water Supply Company, Inc to transfer all of its issued and outstanding stocks to Essel Infra West Inc.
*PSC-51-13-00009-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00010-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00011-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-52-13-00012-P exempt	The development of reliability contingency plan(s) to address the potential retirement of Indian Point Energy Center (IPEC).	To address the petition for rehearing and reconsideration/motion for clarification of the IPEC reliability contingency plan(s).
*PSC-52-13-00015-P exempt	To enter into a loan agreement with the banks for up to an amount of \$94,000.	To consider allowing Knolls Water Company to enter into a long-term loan agreement.
*PSC-05-14-00010-P exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-07-14-00008-P exempt	Petition for submetering of electricity	To consider the request of Greater Centennial Homes HDFC, Inc. to submeter electricity at 102, 103 and 106 W 5th Street, et al.
*PSC-07-14-00012-P exempt	Water rates and charges	Implementation of Long-Term Water Supply Surcharge to recover costs associated with the Haverstraw Water Supply Project

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-08-14-00015-P exempt	Verizon New York Inc.'s service quality and Customer Trouble Report Rate (CTRR) levels at certain central office entities	To improve Verizon New York Inc.'s service quality and the Customer Trouble Report Rate levels at certain central office entities
*PSC-10-14-00006-P exempt	Actions to facilitate the availability of ESCO value-added offerings, ESCO eligibility and ESCO compliance	To facilitate ESCO value-added offerings and to make changes to ESCO eligibility and to ensure ESCO compliance
*PSC-11-14-00003-P exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-16-14-00014-P exempt	Whether to order NYSEG to provide gas service to customers when an expanded CPCN is approved and impose PSL 25-a penalties.	To order gas service to customers in the Town of Plattsburgh after approval of a town wide CPCN and to impose penalties.
*PSC-16-14-00015-P exempt	Whether Central Hudson should be permitted to defer obligations of the Order issued on October 18, 2013 in Case 13-G-0336.	Consideration of the petition by Central Hudson to defer reporting obligations of the October 18, 2013 Order in Case 13-G-0336
*PSC-17-14-00003-P exempt	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism
*PSC-17-14-00004-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00007-P exempt	To consider petitions for rehearing, reconsideration and/or clarification	To consider petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00008-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-19-14-00014-P exempt	Market Supply Charge	To make tariff revisions to the Market Supply Charge for capacity related costs
*PSC-19-14-00015-P exempt	Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications	To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter
*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
*PSC-23-14-00014-P exempt	Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric	Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric
*PSC-24-14-00005-P exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*PSC-26-14-00013-P exempt	Waiver of RG&E's tariffed definition of emergency generator.	To consider waiver of RG&E's tariffed definition of emergency generator.
*PSC-26-14-00020-P exempt	New electric utility backup service tariffs and standards for interconnection may be adopted.	To encourage development of microgrids that enhance the efficiency, safety, reliability and resiliency of the electric grid.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-26-14-00021-P exempt	Consumer protections, standards and protocols pertaining to access to customer data may be established.	To balance the need for the information necessary to support a robust market with customer privacy concerns.
*PSC-28-14-00014-P exempt	Petition to transfer systems, franchises and assets.	To consider the Comcast and Charter transfer of systems, franchise and assets.
*PSC-30-14-00023-P exempt	Whether to permit the use of the Sensus iPERL Fire Flow Meter.	Pursuant to 16 NYCRR Part 500.3 , it is necessary to permit the use of the Sensus iPERL Fire Flow Meter.
*PSC-30-14-00026-P exempt	Petition for a waiver to master meter electricity.	Considering the request of Renaissance Corporation of to master meter electricity at 100 Union Drive,Albany, NY.
*PSC-31-14-00004-P exempt	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross
*PSC-32-14-00012-P exempt	Whether to grant or deny, in whole or in part, the Connect New York Coalition's petition	To consider the Connect New York Coalition's petition seeking a formal investigation and hearings
*PSC-35-14-00004-P exempt	Regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY	To consider regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY
*PSC-35-14-00005-P exempt	Whether to permit the use of the Sensus iConA electric meter	Pursuant to 16 NYCRR Parts 92 and 93, Commission approval is necessary to permit the use of the Sensus iConA electric meter
*PSC-36-14-00009-P exempt	Modification to the Commission's Electric Safety Standards.	To consider revisions to the Commission's Electric Safety Standards.
*PSC-38-14-00003-P exempt	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-39-14-00020-P exempt	Whether to permit the use of the Mueller Systems 400 Series and 500 Series of water meters	Pursuant to 16 NYCRR section 500.3, whether to permit the use of the Mueller Systems 400, and 500 Series of water meters
*PSC-40-14-00008-P exempt	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.
*PSC-40-14-00009-P exempt	Whether to permit the use of the Itron Open Way Centron Meter with Hardware 3.1 for AMR and AMI functionality.	Pursuant to 16 NYCRR Parts 93, is necessary to permit the use of the Itron Open Way Centron Meter with Hardware 3.1.
*PSC-40-14-00011-P exempt	Late Payment Charge.	To modify Section 7.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-40-14-00013-P exempt	Regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.	To consider regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.
*PSC-40-14-00014-P exempt	Waiver of 16 NYCRR Sections 894.1 through 894.4(b)(2)	To allow the Town of Goshen, NY, to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-40-14-00015-P exempt	Late Payment Charge.	To modify Section 6.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-42-14-00003-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-42-14-00004-P exempt	Winter Bundled Sales Service Option	To modify SC-11 to remove language relating to fixed storage charges in the determination of the Winter Bundled Sales charge
*PSC-48-14-00014-P exempt	Considering the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.	To consider the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.
*PSC-52-14-00019-P exempt	Petition for a waiver to master meter electricity.	Considering the request of 614 South Crouse Avenue, LLC to master meter electricity at 614 South Crouse Avenue, Syracuse, NY..
*PSC-01-15-00014-P exempt	State Universal Service Fund Disbursements	To consider Edwards Telephone Company's request for State Universal Service Fund disbursements
*PSC-08-15-00010-P exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.
*PSC-10-15-00007-P exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds
*PSC-10-15-00008-P exempt	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-13-15-00024-P exempt	Whether Leatherstocking should be permitted to recover a shortfall in earnings	To decide whether to approve Leatherstocking's request to recover a shortfall in earnings
*PSC-13-15-00026-P exempt	Whether to permit the use of the Sensus Smart Point Gas AMR/AMI product	To permit the use of the Sensus Smart Point Gas AMR/AMI product
*PSC-13-15-00027-P exempt	Whether to permit the use of the Measurlogic DTS 310 electric submeter	To permit the use of the Measurlogic DTS 310 submeter
*PSC-13-15-00028-P exempt	Whether to permit the use of the SATEC EM920 electric meter	To permit necessary to permit the use of the SATEC EM920 electric meter
*PSC-13-15-00029-P exempt	Whether to permit the use the Triacta Power Technologies 6103, 6112, 6303, and 6312 electric submeters	To permit the use of the Triacta submeters
*PSC-17-15-00007-P exempt	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million
*PSC-18-15-00005-P exempt	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism
*PSC-19-15-00011-P exempt	Gas Safety Performance Measures and associated negative revenue adjustments	To update the performance measures applicable to KeySpan Gas East Corporation d/b/a National Grid
*PSC-22-15-00015-P exempt	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)
*PSC-23-15-00005-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-23-15-00006-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-25-15-00008-P exempt	Notice of Intent to Submeter electricity.	To consider the request of 165 E 66 Residences, LLC to submeter electricity at 165 East 66th Street, New York, New York.
*PSC-29-15-00025-P exempt	Joint Petition for authority to transfer real property located at 624 West 132nd Street, New York, NY	Whether to authorize the proposed transfer of real property located at 624 West 132nd Street, New York, NY
*PSC-32-15-00006-P exempt	Development of a Community Solar Demonstration Project.	To approve the development of a Community Solar Demonstration Project.
*PSC-33-15-00009-P exempt	Remote net metering of a demonstration community net metering program.	To consider approval of remote net metering of a demonstration community net metering program.
*PSC-33-15-00012-P exempt	Remote net metering of a Community Solar Demonstration Project.	To consider approval of remote net metering of a Community Solar Demonstration Project.
*PSC-34-15-00021-P exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-35-15-00014-P exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
*PSC-37-15-00007-P exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
*PSC-40-15-00014-P exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93
*PSC-42-15-00006-P exempt	Deferral of incremental expenses associated with NERC's new Bulk Electric System (BES) compliance requirements approved by FERC.	Consideration of Central Hudson's request to defer incremental expenses associated with new BES compliance requirements.
*PSC-44-15-00028-P exempt	Deferral of incremental expenses associated with new compliance requirements	Consideration of Central Hudson's request to defer incremental expenses associated with new compliance requirements
*PSC-47-15-00013-P exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
*PSC-48-15-00011-P exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
*PSC-50-15-00006-P exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
*PSC-50-15-00009-P exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
*PSC-51-15-00010-P exempt	Modification of the EDP	To consider modifying the EDP
*PSC-01-16-00005-P exempt	Proposed amendment to Section 5, Attachment 1.A of the Uniform Business Practices	To consider amendment to Section 5, Attachment 1.A of the Uniform Business Practices
*PSC-04-16-00007-P exempt	Whether Hamilton Municipal Utilities should be permitted to construct and operate a municipal gas distribution facility.	Consideration of the petition by Hamilton Municipal Utilities to construct and operate a municipal gas distribution facility.
*PSC-04-16-00012-P exempt	Proposal to mothball three gas turbines located at the Astoria Gas Turbine Generating Station.	Consider the proposed mothball of three gas turbines located at the Astoria Gas Turbine Generating Station.
*PSC-04-16-00013-P exempt	Proposal to find that three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.	Consider whether three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.
*PSC-06-16-00013-P exempt	Continued deferral of approximately \$16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately \$16,000,000 in site investigation and remediation costs.
*PSC-06-16-00014-P exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.
*PSC-14-16-00008-P exempt	Resetting retail markets for ESCO mass market customers.	To ensure consumer protections with respect to residential and small non-residential ESCO customers.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-18-16-00013-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00014-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00015-P exempt	Petitions for rehearing of the Order Resetting Retail Energy Markets and Establishing Further Process.	To ensure consumer protections for ESCO customers.
*PSC-18-16-00016-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00018-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-20-16-00008-P exempt	Consideration of consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).	To consider consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).
*PSC-20-16-00010-P exempt	Deferral and recovery of incremental expense.	To consider deferring costs of conducting leak survey and repairs for subsequent recovery.
*PSC-20-16-00011-P exempt	Enetics LD-1120 Non-Intrusive Load Monitoring Device in the Statewide Residential Appliance Metering Study.	To consider the use of the Enetics LD-1120 Non-Intrusive Load Monitoring Device.
*PSC-24-16-00009-P exempt	Petition to submeter gas service.	To consider the Petition of New York City Economic Development Corp. to submeter gas at Pier 17, 89 South Street, New York, NY.
*PSC-25-16-00009-P exempt	To delay Companies' third-party assessments of customer personally identifiable information until 2018.	To extend the time period between the Companies' third-party assessments of customer personally identifiable information.
*PSC-25-16-00025-P exempt	Acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.	To consider acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.
*PSC-25-16-00026-P exempt	Use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter, in residential fire service applications.	To consider the use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter in fire service applications.
*PSC-28-16-00017-P exempt	A petition for rehearing of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.
*PSC-29-16-00024-P exempt	Participation of NYPA customers in surcharge-funded clean energy programs.	To consider participation of NYPA customers in surcharge-funded clean energy programs.
*PSC-32-16-00012-P exempt	Benefit-Cost Analysis Handbooks.	To evaluate proposed methodologies of benefit-cost evaluation.
*PSC-33-16-00001-EP exempt	Use of escrow funds for repairs.	To authorize the use of escrow account funds for repairs.
*PSC-33-16-00005-P exempt	Exemption from certain charges for delivery of electricity to its Niagara Falls, New York facility.	Application of System Benefits Charges, Renewable Portfolio Standard charges and Clean Energy Fund surcharges.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-35-16-00015-P exempt	NYSRC's revisions to its rules and measurements	To consider revisions to various rules and measurements of the NYSRC
*PSC-36-16-00004-P exempt	Recovery of costs for installation of electric service.	To consider the recovery of costs for installation of electric service.
*PSC-40-16-00025-P exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Smart One for its apparent non-compliance with Commission requirements.
*PSC-47-16-00009-P exempt	Petition to use commercial electric meters	To consider the petition of Itron, Inc. to use the Itron CP2SO and CP2SOA in commercial electric meter applications
*PSC-47-16-00010-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00013-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00014-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00016-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-02-17-00010-P exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for RG&E.
*PSC-02-17-00012-P exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for NYSEG.
*PSC-18-17-00024-P exempt	A petition for rehearing or reconsideration of the Order Addressing Public Policy Transmission Need for AC Transmission Upgrades	To determine whether Public Policy Transmission Need/Public Policy Requirements continue to exist.
*PSC-18-17-00026-P exempt	Revisions to the Dynamic Load Management surcharge.	To consider revisions to the Dynamic Load Management surcharge.
*PSC-19-17-00004-P exempt	NYAW's request to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2016.	Consideration of NYAW's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2016.
*PSC-20-17-00008-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid NY regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-20-17-00010-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-21-17-00013-P exempt	The establishment and implementation of Earnings Adjustment Mechanisms.	To consider the establishment and implementation of Earnings Adjustment Mechanisms.
*PSC-21-17-00018-P exempt	Proposed agreement for the provision of water service by Saratoga Water Services, Inc.	To consider a waiver and approval of terms of a service agreement.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-22-17-00004-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives	To consider the proposed Interconnection Survey Process and Earnings Adjustment Mechanisms
*PSC-24-17-00006-P exempt	Development of the Utility Energy Registry.	Improved data access.
*PSC-26-17-00005-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 125 Waverly Street, Yonkers, New York.
*PSC-34-17-00011-P exempt	Waiver to permit Energy Cooperative of America to serve low-income customers	To consider the petition for a waiver
*PSC-37-17-00005-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives.	To consider the revised Interconnection Survey Process and Earnings Adjustment Mechanisms.
*PSC-39-17-00011-P exempt	Whether to direct New York State Electric & Gas to complete electric facility upgrades at no charge to Hanehan.	To determine financial responsibility between NYSEG and Hanehan for the electric service upgrades to Hanehan.
*PSC-42-17-00010-P exempt	Petition for rehearing of negative revenue adjustment and contents of annual Performance Report.	To consider NFGD's petition for rehearing.
*PSC-48-17-00015-P exempt	Low Income customer options for affordable water bills.	To consider the Low Income Bill Discount and/or Energy Efficiency Rebate Programs.
*PSC-50-17-00017-P exempt	New Wave Energy Corp.'s petition for rehearing.	To consider the petition for rehearing filed by New Wave Energy Corp.
*PSC-50-17-00018-P exempt	Application of the Public Service Law to DER suppliers.	To determine the appropriate regulatory framework for DER suppliers.
*PSC-50-17-00019-P exempt	Transfer of utility property.	To consider the transfer of utility property.
*PSC-50-17-00021-P exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
*PSC-51-17-00011-P exempt	Petition for recovery of certain costs related to the implementation of a Non-Wires Alternative Project.	To consider Con Edison's petition for the recovery of costs for implementing the JFK Project.
*PSC-04-18-00005-P exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Montante/ Morgan Gates Circle LLC to submeter electricity.
*PSC-05-18-00004-P exempt	Lexington Power's ZEC compliance obligation.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-06-18-00012-P exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
*PSC-06-18-00017-P exempt	Merger of NYAW and Whitlock Farms Water Corp.	To consider the merger of NYAW and Whitlock Farms Water Company into a single corporate entity
*PSC-07-18-00015-P exempt	The accuracy and reasonableness of National Grid's billing for certain interconnection upgrades.	To consider AEC's petition requesting resolution of their billing dispute with National Grid.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-11-18-00004-P exempt	New York State Lifeline Program.	To consider TracFone's petition seeking approval to participate in Lifeline.
*PSC-13-18-00015-P exempt	Eligibility of an ESCO to market to and enroll residential customers.	To consider whether Astral should be allowed to market to and enroll residential customers following a suspension.
*PSC-13-18-00023-P exempt	Reconciliation of property taxes.	To consider NYAW's request to reconcile property taxes.
*PSC-14-18-00006-P exempt	Petition for abandonment	To consider the abandonment of Willsboro Bay Water Company's water system
*PSC-17-18-00010-P exempt	Petition for use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
*PSC-18-18-00009-P exempt	Transfer of control of Keene Valley Video Inc.	To ensure performance in accordance with applicable cable laws, regulations and standards and the public interest
*PSC-23-18-00006-P exempt	Whether to impose consequences on Aspiry for its non-compliance with Commission requirements.	To ensure the provision of safe and adequate energy service at just and reasonable rates.
*PSC-24-18-00013-P exempt	Implementation of program rules for Renewable Energy Standard and ZEC requirements.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-28-18-00011-P exempt	Storm Hardening Collaborative Report.	To ensure safe and adequate gas service.
*PSC-29-18-00008-P exempt	Participation in Targeted Accessibility Fund	To encourage enhanced services for low-income consumers
*PSC-29-18-00009-P exempt	Overvaluing real property tax expense recovery in water rates	To prevent unjust and unreasonable water rates
*PSC-34-18-00015-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and energy efficiency protections are in place.
*PSC-34-18-00016-P exempt	Deferral of pre-staging and mobilization storm costs.	To ensure just and reasonable rates for ratepayers and utility recovery of unexpected, prudently incurred costs.
*PSC-35-18-00003-P exempt	Con Edison's 2018 DSIP and BCA Handbook Update.	To continue Con Edison's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00005-P exempt	NYSEG and RG&E's 2018 DSIP and BCA Handbook Update.	To continue NYSEG and RG&E's transition to modern utilities acting as Distributed System Platform Providers.
*PSC-35-18-00006-P exempt	National Grid's 2018 DSIP and BCA Handbook Update.	To continue National Grid's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00008-P exempt	Central Hudson's 2018 DSIP and BCA Handbook Update.	To continue Central Hudson's transition to a modern utility serving as a Distributed System Platform Provider.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-35-18-00010-P exempt	O&R's 2018 DSIP and BCA Handbook Update.	To continue O&R's transition to a modern utility acting as a Distributed System Platform Provider.
*PSC-39-18-00005-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
*PSC-40-18-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To review the gas utilities' reconciliation of Gas Expenses and Gas Cost Recoveries for 2018.
*PSC-42-18-00011-P exempt	Voluntary residential beneficial electrification rate design.	To provide efficient rate design for beneficial technologies in New York State that is equitable for all residential customers.
*PSC-42-18-00013-P exempt	Petition for clarification and rehearing of the Smart Solutions Program Order.	To address the increased demand for natural gas in the Con Edison's service territory and the limited pipeline capacity.
*PSC-44-18-00016-P exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
*PSC-45-18-00005-P exempt	Notice of intent to submeter electricity and waiver of energy audit	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place
*PSC-47-18-00008-P exempt	Proposed Public Policy Transmission Needs/ Public Policy Requirements, as defined under the NYISO tariff.	To identify any proposed Public Policy Transmission Needs/Public Policy Requirements for referral to the NYISO.
*PSC-01-19-00004-P exempt	Advanced Metering Infrastructure.	To determine whether Niagara Mohawk Power Corporation d/b/a National Grid should implement advanced metering infrastructure.
*PSC-01-19-00013-P exempt	Order of the Commission related to caller ID unblocking.	To require telephone companies to unblock caller ID on calls placed to the 311 municipal call center in Suffolk County.
*PSC-03-19-00002-P exempt	DPS Staff White Paper for who must be trained in 16 NYCRR Part 753 requirements and how the Commission will approve trainings.	To reduce damage to underground utility facilities by requiring certain training and approving training curricula.
*PSC-04-19-00004-P exempt	Con Edison's petition for the Gas Innovation Program and associated budget.	To pursue programs that continue service reliability and meet customer energy needs while aiding greenhouse gas reduction goals.
*PSC-04-19-00011-P exempt	Update of revenue targets.	To ensure NYAW's rates are just and reasonable and accurately reflect the needed revenues.
*PSC-06-19-00005-P exempt	Consideration of the Joint Utilities' proposed BDP Program.	To to expand opportunities for low-income households to participate in Community Distributed Generation (CDG) projects.
*PSC-07-19-00009-P exempt	Whether to impose consequences on AAA for its non-compliance with Commission requirements.	To insure the provision of safe and adequate energy service at just and reasonable rates.
*PSC-07-19-00016-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-09-19-00010-P exempt	Non-pipeline alternatives report recommendations.	To consider the terms and conditions applicable to gas service.
*PSC-12-19-00004-P exempt	To test innovative pricing proposals on an opt-out basis.	To provide pricing structures that deliver benefits to customers and promote beneficial electrification technologies.
*PSC-13-19-00010-P exempt	New Commission requirements for gas company operator qualification programs.	To make pipelines safer with improved training of workers who perform construction and repairs on natural gas facilities.
*PSC-19-19-00013-P exempt	Proposed merger of three water utilities into one corporation.	To determine if the proposed merger is in the public interest.
*PSC-19-19-00014-P exempt	Establishment of the regulatory regime applicable to an approximately 124 MW electric generating facility.	Consideration of a lightened regulatory regime for an approximately 124 MW electric generating facility.
*PSC-20-19-00008-P exempt	Reporting on energy sources	To ensure accurate reporting and encourage clean energy purchases
*PSC-20-19-00010-P exempt	Compensation policies for certain CHP projects	To consider appropriate rules for compensation of certain CHP resources
*PSC-20-19-00015-P exempt	Establishment of the regulatory regime applicable to an approximately 105.8 MW electric generating facility	Consideration of a lightened regulatory regime for an approximately 105.8 MW electric generating facility
*PSC-31-19-00011-P exempt	Electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
*PSC-31-19-00013-P exempt	Implementation of Statewide Energy Benchmarking.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
*PSC-31-19-00015-P exempt	Proposed major rate increase in KEDNY's gas delivery revenues by \$236.8 million (13.6% increase in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
*PSC-31-19-00016-P exempt	Proposed major rate increase in KEDLI's gas delivery revenues of approximately \$49.4 million (or 4.1% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
*PSC-32-19-00012-P exempt	Standby Service Rates and Buyback Service Rates	To ensure just and reasonable rates, including compensation, for distributed energy resources
*PSC-34-19-00015-P exempt	Major electric rate filing.	To consider a proposed increase in RG&E's electric delivery revenues of approximately \$31.7 million (or 4.1% in total revenues).
*PSC-34-19-00016-P exempt	Major gas rate filing.	To consider a proposed increase in RG&E's gas delivery revenues of approximately \$5.8 million (or 1.4% in total revenues).
*PSC-34-19-00018-P exempt	Major electric rate filing.	To consider a proposed increase in NYSEG's electric delivery revenues of approximately \$156.7 million (10.4% in total revenues).
*PSC-34-19-00020-P exempt	Major gas rate filing.	To consider a proposed increase in NYSEG's gas delivery revenues of approximately \$6.3 million (or 1.4% in total revenues).

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-36-19-00011-P exempt	Minor electric rate filing to increase annual electric revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
*PSC-38-19-00002-P exempt	Petition to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-39-19-00018-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-41-19-00003-P exempt	A voluntary residential three-part rate that would include fixed, usage and demand charges.	To provide qualifying residential customers with an optional three-part rate.
PSC-43-19-00014-P exempt	Petition for the use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-44-19-00003-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00005-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00006-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00007-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-44-19-00009-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-45-19-00012-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-46-19-00008-P exempt	Wappingers Falls Hydroelectric LLC's facility located in Wappingers Falls, New York.	To promote and maintain renewable electric energy resources.
PSC-46-19-00010-P exempt	To test innovative rate designs on an opt-out basis.	To implement alternative innovative rate designs intended to assess customer behaviors in response to price signals
PSC-48-19-00007-P exempt	Extension of the State Universal Service Fund.	To continue to provide universal service at a reasonable rate in certain service territories.
PSC-50-19-00004-P exempt	Petition to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-52-19-00001-P exempt	SUEZ Water New York Inc.'s acquisition of 100% of Heritage Hills Water Works Corporation's assets.	To determine if the proposed acquisition is in the public interest.
PSC-52-19-00006-P exempt	Authorization to defer pension settlement losses.	To address the ratemaking related to the pension settlement losses.
PSC-03-20-00009-P exempt	Changes to the Utility Energy Registry	To determine appropriate rules for data availability

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-04-20-00014-P exempt	Transfer of the Indian Point site, nuclear waste, and decommissioning and site restoration funds from Entergy to Holtec.	To protect the public interest.
PSC-06-20-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-06-20-00014-P exempt	A program for the procurement of Renewable Energy Certificates from existing renewable resources.	To purchase Renewable Energy Certificates and maintain the State's baseline of existing renewable resources.
PSC-06-20-00016-P exempt	Notice of intent to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-06-20-00017-P exempt	Petitions for rehearing, reconsideration, clarification and stay of the December 12, 2019 Order.	To determine whether the Commission should grant, deny, or modify the relief sought and actions proposed by Petitioners
PSC-07-20-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-08-20-00003-P exempt	PSC regulation 16 NYCRR § 86.3(a)(2) and 86.3(b)(2).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting.
PSC-09-20-00002-P exempt	Request for waiver of 16 NYCRR 96.5(k)(3).	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-09-20-00005-P exempt	Petition for the use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-09-20-00006-P exempt	Petition for the use of an electric meter in submetering applications.	Whether to permit the use of the GG electric meter in submetering applications in New York State.
PSC-10-20-00003-P exempt	The Commission's statewide low-income discount policy.	To consider modifications to certain conditions regarding utility low-income discount programs.
PSC-10-20-00005-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether Family Energy, Inc. should be granted a waiver to offer two "green gas" products to mass market customers.
PSC-11-20-00006-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-11-20-00008-P exempt	Revisions to the proration tariff language.	To consider revisions to the proration tariff language under Leaf 18.1, 18 61 to 64 and Leaf 69.
PSC-11-20-00011-P exempt	Application of the Public Service Law to owners of a proposed 345 kilovolt (kV) transmission line providing wholesale services.	To determine whether to apply a lightened regulatory regime to the owners of a proposed 345 kV transmission line.
PSC-12-20-00008-P exempt	Delivery rates of Corning Natural Gas Corporation.	Whether to postpone the implementation of a change in rates that would otherwise become effective on June 1, 2020.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-12-20-00010-P exempt	Direct Energy, LLC's Green Gas Products.	To consider whether Direct Energy, LLC should be allowed to offer two Green Gas Products to mass market customers.
PSC-13-20-00006-P exempt	Utility capital expenditure proposal.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-15-20-00011-P exempt	To modify the terms and conditions under which gas utilities provide service to electric generators.	To provide clarity and uniformity to the provision of gas service to electric generators.
PSC-15-20-00012-P exempt	Tariff filing.	To ensure that the utility provides safe, adequate, and reliable service at just and reasonable rates.
PSC-15-20-00013-P exempt	Ownership of New York American Water Company, Inc.	To consider whether a proposed transfer of ownership of New York American Water Company, Inc. is in the public interest.
PSC-15-20-00014-P exempt	Tariff filing.	To ensure that the utility provides safe, adequate, and reliable service at just and reasonable rates.
PSC-16-20-00003-P exempt	Proposal to implement a competitive procurement process for participation in multi-year DLM and auto-DLM programs.	To establish a multi-year and auto-DLM programs that will improve demand response program offerings.
PSC-16-20-00004-P exempt	Disposition of a state sales tax refund.	To determine how much of a state sales tax refund should be retained by Central Hudson.
PSC-16-20-00005-P exempt	Proposal to implement a competitive procurement process for participation in multi-year DLM and auto-DLM programs.	To establish a multi-year and auto-DLM programs that will improve demand response program offerings.
PSC-16-20-00006-P exempt	Proposal to implement a competitive procurement process for participation in multi-year DLM and auto-DLM programs.	To establish a multi-year and auto-DLM programs that will improve demand response program offerings.
PSC-16-20-00007-P exempt	Proposed plan to implement a competitive procurement process for participation in multi-year DLM and auto-DLM programs.	To establish a multi-year and auto-DLM programs that will improve demand response program offerings.
PSC-16-20-00008-P exempt	Extension of the ESA between New York State Electric & Gas Corporation and Nucor Steel Auburn, Inc.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preference.
PSC-16-20-00009-P exempt	Proposal to implement a competitive procurement process for participation in multi-year DLM and auto-DLM programs.	To establish a multi-year and auto-DLM programs that will improve demand response program offerings.
PSC-16-20-00011-P exempt	Proposal to implement a competitive procurement process for participation in multi-year DLM and auto-DLM programs.	To establish a multi-year and auto-DLM programs that will improve demand response program offerings.
PSC-17-20-00008-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether Alpha Gas & Electric, LLC should be permitted to offer its Green Gas Program to mass market customers.
PSC-18-20-00012-P exempt	The purchase price of electric energy and capacity from customers with qualifying on-site generation facilities.	To revise the price to be paid by the Company under Service Classification No. 10. for qualifying purchases of unforced capacity

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-18-20-00014-P exempt	Tariff modifications to reduce customer costs related to relocating customer owned equipment for back-lot service relocations.	To facilitate the relocation of service lines owned by customers from the back of their lots to the front.
PSC-18-20-00015-P exempt	Participation of Eligible Telecommunications Carriers (ETCs) in New York State Lifeline Program.	Commission will consider each petition filed by an ETCs seeking approval to participate in the NYS Lifeline program.
PSC-19-20-00004-P exempt	Clarification of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether energy service companies should be permitted to bank RECs to satisfy their renewable energy requirements.
PSC-19-20-00005-P exempt	Cost recovery associated with Day-Ahead-DLM and Auto-DLM programs, and elimination of double compensation.	To provide cost recovery for new DLM programs and prevent double compensation to participating customers.
PSC-19-20-00009-P exempt	Cost recovery associated with Day-Ahead-DLM and Auto-DLM programs, and elimination of double compensation.	To consider revisions to P.S.C. No. 10 - Electricity, and P.S.C. No. 12 - Electricity.
PSC-21-20-00005-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether Kiwi Energy NY LLC should be permitted to offer its Green Gas Products to mass market customers.
PSC-21-20-00008-P exempt	Waiver of tariff rules and a related Commission regulation.	To consider whether a waiver of tariff rules and a Commission regulation are just and reasonable and in the public interest.
PSC-21-20-00011-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether IGS Energy should be allowed to offer a Carbon-Neutral Gas Product and a Home Warranty Service Product.
PSC-22-20-00006-P exempt	Proposed tariff amendment regarding the billing of customers participating in the Preservation Power Program.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-23-20-00006-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether IDT Energy, Inc. and Residents Energy, LLC should be permitted to offer Green Gas Products in New York.
PSC-23-20-00007-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether American Power & Gas LLC should be permitted to offer its Green Gas Products to mass market customers.
PSC-23-20-00008-P exempt	Disposition of sales tax refund and other related matters.	To consider the appropriate allocation of the sales tax refund proceeds while balancing ratepayer and shareholder interests.
PSC-23-20-00010-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether AmeriChoice Energy should be permitted to offer its Green Gas Products to mass market customers.
PSC-24-20-00016-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether the NRG Retail Companies should be permitted to offer Green Gas Products in New York.
PSC-24-20-00017-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-24-20-00018-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether Atlantic Energy, LLC should be permitted to offer Green Gas Products to mass market customers in New York.
PSC-24-20-00019-P exempt	Enwave Syracuse LLC and Syracuse Energy Concessionaire LLC's operation and maintenance of the SUSS and muni agreements.	To review a contract to operate, maintain and modernize the SUSS and three municipal road use agreements.
PSC-24-20-00020-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether CenStar Energy, Major Energy Services, and Spark Energy Gas should be permitted to offer Green Gas Products.
PSC-25-20-00009-P exempt	Petition for the use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-25-20-00010-P exempt	Whitepaper regarding energy service company financial assurance requirements.	To consider the form and amount of financial assurances to be included in the eligibility criteria for energy service companies.
PSC-25-20-00011-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-25-20-00012-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-25-20-00013-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-25-20-00014-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether South Bay Energy Corp. should be permitted to offer Green Gas Products to mass market customers in New York.
PSC-25-20-00015-P exempt	Staff whitepaper on a Data Access Framework.	To standardize the necessary privacy and cybersecurity requirements for access to energy-related data.
PSC-25-20-00016-P exempt	Modifications to the Low-Income Affordability program.	To address the economic impacts of the COVID-19 pandemic.
PSC-25-20-00017-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether Marathon Energy should be permitted to offer Green Gas Products to mass market customers in New York.
PSC-25-20-00018-P exempt	Staff's whitepaper proposing an IEDR.	To collect and integrate a large and diverse set of energy-related information and data on one statewide platform.
PSC-25-20-00019-P exempt	A Clean Energy Resources Development and Incentives Program.	To identify and develop renewable energy project sites for competitive auction to private developers.
PSC-25-20-00020-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-26-20-00009-P exempt	Escrow account modification and one-time surcharge.	To determine whether the Company's proposed changes to its Escrow Account and a one time surcharge is in the public interest.
PSC-26-20-00010-P exempt	Waiver of certain Commission requirements related to the distribution of telephone directories.	The waiver should be considered because directory publishing is temporarily not feasible due to the COVID-19 pandemic.
PSC-26-20-00011-P exempt	NYSERDA and Staff whitepaper regarding a clean energy regulatory structure.	To develop a renewable energy program to meet Climate Leadership and Community Protection Act goals.
PSC-27-20-00003-P exempt	To make the uniform statewide customer satisfaction survey permanent.	To encourage consumer protections and safe and adequate service.
PSC-27-20-00004-P exempt	Tariff modifications to implement programming changes to National Fuel Gas Distribution Corporation's SAP Billing System.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-28-20-00020-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-28-20-00021-P exempt	Waiver of tariff provisions.	To ensure just and reasonable rates charged to customers without undue preference.
PSC-28-20-00022-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-28-20-00023-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-28-20-00024-P exempt	Notice of intent to submeter electricity and request for waiver of 16 NYCRR § 96.5(k)(3).	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-28-20-00025-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-28-20-00026-P exempt	Petition to implement Section 7(5) of the Accelerated Renewable Energy Growth and Community Benefit Act.	To develop the bulk transmission investments necessary to achieve the Climate Leadership and Community Protection Act goals.
PSC-28-20-00027-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether the petitioners should be permitted to offer Green Gas Products to mass market customers in New York.
PSC-28-20-00034-P exempt	Petition to implement Section 7(5) of the Accelerated Renewable Energy Growth and Community Benefit Act	To develop the bulk transmission investments necessary to achieve the Climate Leadership and Community Protection Act goals
PSC-29-20-00007-P exempt	Petition to transfer telephone and cable systems, franchises and assets.	Consider the proposed transfer of telephone and cable systems, franchises and assets.
PSC-29-20-00008-P exempt	Modification to the Commission's Electric Safety Standards.	To consider revisions to the Commission's Electric Safety Standards.
PSC-29-20-00009-P exempt	Niagara Mohawk Power Corporation d/b/a National Grid's economic development programs.	To consider modifications to Niagara Mohawk Power Corporation d/b/a National Grid's economic development assistance programs.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-29-20-00011-P exempt	Petition for waiver of the requirements of Opinion No. 76-17 and 16 NYCRR Part 96 regarding individual metering of living units.	To consider the petition of Opportunities for Broome, Inc for waiver of Opinion No. 76-17 and 16 NYCRR Part 96.
PSC-29-20-00012-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-29-20-00013-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-29-20-00014-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-29-20-00015-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-30-20-00006-P exempt	Petition to submeter electricity and request for waiver of 16 NYCRR § 96.5(k)(3).	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-30-20-00007-P exempt	Tariff modifications to include provisions to enter into negotiated agreements for billing services.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-31-20-00003-P exempt	Authority to issue and sell promissory notes.	To consider the petition of National Fuel Gas Distribution Corporation to issue up to \$300 million in promissory notes.
PSC-31-20-00004-P exempt	Submetering of electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-31-20-00005-P exempt	Changes to PSL Section 66-p relating to billing information for residential rental premises.	To establish provisions as necessary to effectuate PSL Section 66-p.
PSC-31-20-00006-P exempt	Authority to issue and sell Long-Term Indebtedness, Preferred Stock, Hybrid Securities and to enter into derivative instruments.	To consider RG&E's request for authority to issue and sell Long-Term Indebtedness
PSC-31-20-00007-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer street of lighting facilities and the proper accounting for the transaction.
PSC-31-20-00008-P exempt	Submetering of electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-31-20-00009-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether Kiwi Energy NY LLC should be permitted to offer its Kiwi Guard product to mass market customers in New York.
PSC-31-20-00010-P exempt	Submetering of electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-31-20-00011-P exempt	Submetering of electricity.	To ensure adequate submetering equipment and consumer protections are in place.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-32-20-00009-P exempt	Transfer of street light facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-32-20-00010-P exempt	Procurement of Tier 1 RECs.	Management of renewable energy procurements to meet state goals and benefit ratepayers.
PSC-32-20-00011-P exempt	Sale of transmission line and related property rights.	To determine whether to authorize the transfer of a 1.42 mile transmission line and the proper accounting for the transaction.
PSC-32-20-00012-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-32-20-00013-P exempt	Authorization for RED-Rochester, LLC to incur indebtedness of up to \$200 million.	To ensure that the proposed debt financing is within the public interest.
PSC-32-20-00014-P exempt	The term for retention of a monetary crediting methodology.	To provide sufficient revenues to support financing, realize promised benefits from the project, and repay necessary re-work.
PSC-32-20-00015-P exempt	Petition for waiver of the requirements of 16 NYCRR Part 96 regarding individual metering of living units.	To consider the petition of St. Paul's Center to master meter and for waiver of 16 NYCRR Part 96.
PSC-32-20-00016-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer street of lighting facilities and the proper accounting for the transaction.
PSC-32-20-00017-P exempt	Transfer of street light facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-33-20-00003-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer of street lighting facilities and the proper accounting for the transaction.
PSC-33-20-00004-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer street of lighting facilities and the proper accounting for the transaction.
PSC-34-20-00004-P exempt	Notice of intent to submeter electricity and waiver of energy audit requirement.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-34-20-00005-P exempt	Petition to provide a renewable, carbon-free energy option to residential and small commercial full-service customers.	To increase customer access to renewable energy in the Consolidated Edison Company of New York, Inc. service territory.
PSC-34-20-00006-P exempt	Waiver of tariff rules and a related Commission regulation.	To consider whether a waiver of tariff rules and a Commission regulation are just and reasonable and in the public interest.
PSC-34-20-00007-P exempt	Transfer of street light facilities.	To consider the transfer of street lighting facilities to the Town of Bethel.
PSC-35-20-00015-P exempt	Request for waiver of 16 NYCRR 96.5(k)(3).	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-35-20-00016-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-35-20-00017-P exempt	Partial waiver of the Order Adopting Changes to the Retail Access Energy Market and Establishing Further Process.	To consider whether petitioner should be permitted to offer green gas products to mass market customers in New York.
PSC-36-20-00004-P exempt	Transfer of street lighting facilities.	To consider whether the transfer of street lighting facilities is in the public interest.
PSC-36-20-00005-P exempt	The petition relates to the proposed transfer of membership interests in companies providing gas transportation services.	To consider the requested transfer and, if approved, what regulatory conditions should apply.
PSC-36-20-00006-P exempt	A debt financing arrangement with respect to a proposed 345 kilovolt (kV) transmission line providing wholesale services.	To consider the requested financing arrangement, and if approved, what regulatory conditions should apply.
PSC-37-20-00006-P exempt	Con Edison's petition for a proposed Non-Pipeline Solutions portfolio and associated budget.	To provide for continued service reliability and to meet customer energy needs while addressing greenhouse gas reduction goals.
PSC-37-20-00014-EP exempt	Postponement of delivery rate, System Improvement Charge (SIC) and RAC/PTR surcharge with make whole starting on April 1, 2021.	To assist customers in a time of hardship by delaying a rate increase and SIC increase and RAC/PTR surcharge implementation.
PSC-38-20-00003-P exempt	Minor Rate Filing	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-38-20-00004-P exempt	The annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To consider filings of LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.
PSC-39-20-00014-P exempt	Tariff filing.	To determine if New York State Electric & Gas Corporation's tariff filing is consistent with the law and in the public interest.
PSC-39-20-00015-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-39-20-00016-P exempt	Tariff filing.	To determine if Central Hudson Gas & Electric Corporation's tariff filing is consistent with the law and in the public interest.
PSC-39-20-00017-P exempt	Tariff filing.	To determine if National Grid's tariff filing is consistent with the law and in the public interest.
PSC-39-20-00018-P exempt	Tariff filing.	To determine if Rochester Gas and Electric Corporation's tariff filing is consistent with the law and in the public interest.
PSC-39-20-00019-P exempt	Tariff filing.	To determine if Orange and Rockland Utilities, Inc.'s tariff filing is consistent with the law and in the public interest.
PSC-39-20-00020-P exempt	Tariff filing.	To determine if Consolidated Edison Company of New York's tariff filing is consistent with the law and in the public interest.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-39-20-00021-P exempt	Authority to issue to long-term debt.	To consider Corning's request for authority to issue long-term debt.
PSC-39-20-00022-P exempt	Notice of intent to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
STATE, DEPARTMENT OF			
DOS-26-20-00008-P 07/01/21	Creation of a cease and desist zone within Kings County	To adopt a cease and desist zone for a designated area within Kings County
DOS-34-20-00003-P 08/26/21	Access to domestic violence and sexual assault awareness education courses	To provide access to domestic violence and sexual assault awareness education courses as mandated by the General Business Law
DOS-37-20-00015-P 09/16/21	Siting of major renewable energy facilities	To establish procedural requirements for permits for siting, construction and operation of major renewable energy facilities
DOS-37-20-00016-P 11/29/21	Siting permits for major renewable energy facilities	To establish uniform standards and conditions for siting, design, construction & operation of major renewable energy facilities
STATE UNIVERSITY OF NEW YORK			
SUN-53-19-00005-P 01/02/21	Proposed amendments to the traffic and parking regulations at State University Agricultural and Technical College at Morrisville	Amend existing regulations to update traffic and parking regulations
SUN-28-20-00028-EP 07/15/21	Tuition, Fees and Charges	To authorize the waiver of admission application fees for active-duty military service members and their dependents.
SUN-29-20-00004-EP 07/22/21	State basic financial assistance for the operating expenses of community colleges under the program of SUNY and CUNY	To modify limitations formula for basic State financial assistance and remove an operating support "floor"
SUN-29-20-00005-EP 07/22/21	Student Assembly Elections, Student Assembly Officers, Campus Government Elections, Student Activity Fees	To postpone voting on student activity fees and elections of Student Assembly representatives and officers until Fall 2020
SUN-37-20-00002-EP 09/16/21	Appointment of Employees; Eligibility	To allow for the addition of one year to the service limits for current faculty to attain continuing appointment
STATEN ISLAND RAPID TRANSIT OPERATING AUTHORITY			
SIR-20-20-00003-EP 05/20/21	The conduct and safety of the public in the use of terminals, stations and trains operated by Staten Island Rapid Transit Auth	To safeguard the public health and safety by amending rules concerning appropriate and safe use of terminals and stations.
SIR-39-20-00008-EP 09/30/21	Requiring mask wearing covering the nose and mouth when using terminals, stations and trains operated by SIRT OA.	To safeguard the public health and safety by amending rules to require the use of masks when using terminals and stations.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-02-20-00001-EP	01/14/21	Property tax levy limits for school districts in relation to certain costs resulting from capital local expenditures	To implement Education Law 2023-a relating to certain costs resulting from capital local expenditures of school districts
TAF-33-20-00002-P	exempt	Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith	To set the sales tax component and the composite rate per gallon for the period October 1, 2020 through December 31, 2020
TAF-38-20-00005-P	09/23/21	New York State and City of Yonkers withholding tables and other methods	To provide current New York State and City of Yonkers withholding tables and other methods
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-16-20-00012-P	04/22/21	New York State Combined Application Project (NYSCAP)	To implement the NYSCAP, a new combined application project for recipients of Supplemental Security Income benefits, who have been designated as Live-Alone by the Social Security Administration and the State-funded SSI State Supplement Program
TDA-26-20-00007-P	07/01/21	Supplemental Security Income (SSI) Additional State Payments	To clarify who participates, the intended uses for benefits, that benefits won't be issued once a death is verified, time frames to report and circumstances when underpayment/retroactive benefits will issue, and NYS operates SSP under State rules
TDA-39-20-00024-EP	09/30/21	Standard Utility Allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP)	These regulatory amendments set forth the federally-approved SUAs as of 10/1/20
THOROUGHBRED BREEDING AND DEVELOPMENT FUND			
TBD-34-20-00008-P	08/26/21	Residency requirement for dam of New York bred foal	To enable the Fund to improve agriculture and Thoroughbred horse breeding in New York
THRUWAY AUTHORITY, NEW YORK STATE			
THR-01-20-00003-P	01/07/21	Toll rate adjustments on the New York State Thruway system.	To provide for toll rate adjustments necessary to support the Authority's financial obligations.
WORKERS' COMPENSATION BOARD			
WCB-23-20-00001-P	06/10/21	Submission of medical bills and reports	To allows the single mailing address and format prescribed by the chair for submission of bills and medical reports
WCB-23-20-00004-P	06/10/21	EDI system updates	To require carriers to report certain credits taken for payments to claimants; biannual reports; EDI 3.1 updates
WCB-28-20-00003-EP	07/15/21	Adding COVID-19 diagnosis by a health care provider as a serious health condition for purposes of Paid Family Leave	To clarify that employees may take PFL to care for a family member with COVID-19

SECURITIES OFFERINGS

STATE NOTICES

Published pursuant to provisions of General Business Law
[Art. 23-A, § 359-e(2)]

DEALERS; BROKERS

Abdiel Qualified Offshore Partners Ltd.
90 Park Ave., 29th Fl., New York, NY 10016
State or country in which incorporated — Cayman Islands

Abdiel Qualified Onshore Partners LP
90 Park Ave., 29th Fl., New York, NY 10016
Partnership — Abdiel Capital Management, LLC

Aion Value Add II LP
11 E. 44th St., Suite 1000, New York, NY 10017
Partnership — Aion Value Add II GP LLC

Alkeon Growth PW Partners, LP
350 Madison Ave., 20th Fl., New York, NY 10017
Partnership — Alkeon Innovation Advisers, LLC

Alkeon Innovation Co-Invest I, LP
350 Madison Ave., 20th Fl., New York, NY 10017
Partnership — Alkeon Innovation Advisers, LLC

Alkeon Innovation Fund II, LP
350 Madison Ave., 20th Fl., New York, NY 10017
Partnership — Alkeon Innovation Advisers II, LLC

Anchor ATINC SPV LP
125 Edgewood Ave., San Francisco, CA 94117
Partnership — Anchor ATINC SPV GP LLC

Apex Apts Homes, LLC
22144 Clarendon Ave., Suite 303, Woodland Hills, CA 91367
State or country in which incorporated — Delaware

Bonaventure Investments LP
c/o Bonaventure Management Group LLC, 173 Davis Ave., Unit #2,
Greenwich, CT 06830
Partnership — Bonaventure Management Group LLC

CCV Fund I LP
Suite 1101, Radiance Tower, Qiyang Road, Wangjing, Beijing, China
100102
Partnership — CCV Fund II GP Limited

CCV Fund II LP
Suite 1101, Radiance Tower, Qiyang Road, Wangjing, Beijing, China
100102
Partnership — CCV Fund II GP Limited

Clayton Capital Appreciation Fund, L.P.
3160 College Avenue, Suite 203, Berkeley, CA 94705
Partnership — Clayton Partners LLC

Clearlake Capital Group
233 Wilshire Blvd., Suite 800, Santa Monica, CA 94104
Partnership — Clearlake Flagship Plus Partners GP, LLC

Clearlake Flagship Plus Partners, L.P.
233 Wilshire Blvd., Suite 800, Santa Monica, CA 94104
Partnership — Clearlake Flagship Plus Partners GP, LLC

Clearlake Flagship Plus Partners (Offshore), L.P.
233 Wilshire Blvd., Suite 800, Santa Monica, CA 94104
Partnership — Clearlake Flagship Plus Partners GP, LLC

Clover Private Credit Opportunities Origination II LP
787 7th Ave., 13th Fl., New York, NY 10019
Partnership — UBS O'Connor LLC

Clover Private Credit Opportunities Origination II Feeder LP
787 7th Ave., 13th Fl., New York, NY 10019
Partnership — UBS O'Connor LLC

Clover Private Credit Opportunities Secondary II LP
787 7th Ave., 13th Fl., New York, NY 10019
Partnership — UBS O'Connor LLC

Clover Private Credit Opportunities Secondary II Feeder LLP
787 7th Ave., 13th Fl., New York, NY 10019
Partnership — UBS O'Connor LLC

Compagnie Generale des Etablissements Michelin
23 Place des Carmes-Dechaux, 63000 Clermont-Ferrand, France
State or country in which incorporated — France

Comvest Special Opportunities Fund, L.P.
525 Okeechobee Blvd., Suite 1050, West Palm Beach, FL 33401
Partnership — Comvest SO Partners, L.P.

Covenant Apartment Fund X, L.P.
4515 Harding Rd., Suite 210, Nashville, TN 37205
Partnership — Covenant Apartment Investors X, LLC

Covenant Apartment Fund X (Institutional), L.P.
4515 Harding Rd., Suite 210, Nashville, TN 37205
Partnership — Covenant Apartment Investors X, LLC

CS Tamarac Preferred, L.P.
c/o Capital Solutions, Inc., 910 Harvest Dr., Suite 105, Blue Bell, PA
19422
Partnership — CS Tamarac General, LLC

CX Station at Poplar Tent Depositor, LLC
4890 W. Kennedy Blvd., Suite 200, Tampa, FL 33609
State or country in which incorporated — Delaware

Dock Square Communications II, LP
1200 Anastasia Ave., Suite 500, Coral Gables, FL 33134
Partnership — Dock Square Communications GP, LP

Envision India Fund LP
c/o Apex Fund Services (Mauritius) Ltd., 19 Bank St., 4th Fl.,
Cybercity, Ebene, Mauritius 72201
Partnership — Envision Asset Management

Erdene Resource Development Corporation
99 Wyse Rd., Suite 1480, Dartmouth, Nova Scotia, Canada, B3A 4S5
State or country in which incorporated — Canada

Eschaton Opportunities Fund II LP
701 Brickell Ave., Suite 1620, Miami, FL 33131
Partnership — Eschaton Opportunities Fund II GP LP

Fourth Dimension Income Fund, LP
452 Walls Way, Osprey, FL 34229
Partnership — Fourth Dimension Capital Partners, LLC

Global Equity Series of Global Asset Management Strategies, LLC
50 S. Sixth St., Suite 2305, Minneapolis, MN 55402
State or country in which incorporated — Delaware

Grove at Seabrook LLC
2050 S 620 W, Lehi, UT 84043
State or country in which incorporated — Texas

Hawks Mountain, LLC
465 Main St., Suite 600, Buffalo, NY 14203
State or country in which incorporated — New York

Hughes Private Capital, LLC
5440 Louie Lane, Suite 106, Reno, NV 89511
State or country in which incorporated — Nevada

Impact Ventures IV, LP
335 Madison Ave., 16th Fl., New York, NY 10017
Partnership — City Light Capital Management III, LLC

Inherent Credit Opportunities Offshore, LTD.
Maples Corporate Services, Ltd., S. Church St., Grand Cayman, Cay-
man Islands KY1-1104
State or country in which incorporated — Cayman Islands

Keystone Private Income Fund
235 W. Galena St., Milwaukee, WI 53212
State or country in which incorporated — Delaware

L'Oreal S.A.
14 rue Royale 75008 Paris, France
State or country in which incorporated — France

Leeds Illuminate Global Fund I, LP
590 Madison Ave., 41st Fl., New York, NY 10022
Partnership — Leeds Illuminate Global Partners I, LP

Mayfair Gold Corp.
1500-1055 W. Georgia St., Vancouver, BC V6E4N7
State or country in which incorporated — Canada

MFR Partners XX, LLC
735 Lake St. E, Wayzata, MN 55391
State or country in which incorporated — Delaware

Mosaik Opportunity Fund II, LP
555 California St., 24th Fl., San Francisco, CA 94104
Partnership — Mosaik OPFII GP, LLC

Newport Aria Missouri, LLC
3131 Turtle Creek Blvd., Suite 1201, Dallas, TX 75219
State or country in which incorporated — Texas

Nexus Special Situations III, L.P.
11100 Santa Monica Blvd., Suite 250, Los Angeles, CA 90025
Partnership — Nexus Special Situations GP 111, L.P.

Nexus Special Situations III (Cayman), L.P.
11100 Santa Monica Blvd., Suite 250, Los Angeles, CA 90025
Partnership — Nexus Special Situations GP 111, L.P.

Patient Partners, LP
c/o Patient Partners GP, LLC, One South Street, Suite 2550, Baltimore,
MD 21202
Partnership — Patient Partners GP, LLC

PFS Funds/Conquer Risk Funds
1939 Friendship Dr., Suite C, El Cajon, CA 92020
State or country in which incorporated — Massachusetts

PFS Funds and Castle Investment Management, LLC
1939 Friendship Dr., Suite C, El Cajon, CA 92020
State or country in which incorporated — Massachusetts

Provivi, Inc.
1701 Colorado Avenue, Santa Monica, CA 90404
State or country in which incorporated — Delaware

Quilvest Real Estate Opportunities (Europe) SLP
17A, rue des Bains, Luxembourg L-1212
Partnership — QREO GP S.a.r.l.

Royale Energy, Inc. (Royale Reserves II)
1870 Cordell Court, Suite 210, El Cajon, CA 92020
State or country in which incorporated — Delaware

SaveMySales, Inc.
1001 Massachussets Avenue, Cambridge, MA 02138
State or country in which incorporated — Delaware

Spoonfuls, Inc.
P.O. Box 512, Oldwick, NJ 08858
State or country in which incorporated — Delaware

Tebuah Capital LP
50 Riverside Blvd., 4D, New York, NY 10069
Partnership — Tebuah Capital GP LLC

The Chosen, LLC.
4 S 2600 W, Suite 5 Hurricane, UT 84737
State or country in which incorporated — Utah

Thoma Bravo Discover Executive Fund III-P, L.P.
150 N. Riverside Plaza, Suite 2800, Chicago, IL 60606
Partnership — Thoma Bravo Discover Partners III, L.P.

Thoma Bravo Executive Fund XIV, L.P.
150 North Riverside Plaza, Suite 2800, Chicago, IL 60606
Partnership — Thoma Bravo Partners XIV, L.P.

Thoma Bravo Executive Fund XIV, L.P.
150 N. Riverside Plaza, Suite 2800, Chicago, IL 60606
Partnership — Thoma Bravo Partners XIV, L.P.

Thoma Bravo Executive Fund XIV-P, L.P.
150 N. Riverside Plaza, Suite 2800, Chicago, IL 60606
Partnership — Thoma Bravo Partners XIV, L.P.

Tricap Kalamazoo Associates LLC
 171 N. Aberdeen, Suite 400, Chicago, IL 60607
State or country in which incorporated — Delaware

Ubiquity Partners, LP
 5700 W. 112th St., Suite 500, Overland Park, KS 66211
Partnership — Ubiquity Partners I GP, LP

Universa Black Swan Protection Protocol XLIII L.P.
 2601 S. Bayshore Dr., Suite 2030, Miami, FL 33133
Partnership — Universa Black Swan GP XLIII LLC

Valiant Capital Partners Offshore, Ltd.
 c/o Morgan Stanley Fund Services (Bermuda) Ltd., P.O. Box 15000,
 The Observatory, 7–11 Sir John Rogerson’s Quay, Dublin 2, Ireland

Zen Beverage, LLC
 300 Spectrum Center Dr., Suite 400, Irvine, CA 92618
State or country in which incorporated — Delaware

ADVERTISEMENTS FOR BIDDERS/CONTRACTORS

SEALED BIDS

REPLACE/REPAIR ROOFS/WINDOWS New York Psychiatric Institute New York, New York County

Sealed bids for Project No. M3068-C, comprising of a contract for Construction Work, Replace Roofs & Repair Windows Buildings 4 & 5 Bridges, New York Psychiatric Institute, 1051 Riverside Drive, New York (New York County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Office of Mental Health, until 2:00 p.m. on Wednesday, October 7th, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$91,400 for C).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$3,000,000 and \$4,000,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewykyj, 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 15, 2021.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten

percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

 X Project commenced design before January 1, 2020. Not subject to provision.

 Project commenced design on or after January 1, 2020. Subject to provision.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § (1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewykyj*, Deputy Director
OGS - Design & Construction Group

REHABILITATE ELEVATOR Fishkill Correctional Facility Beacon, Dutchess County

Sealed bids for Project Nos. M3077-C, M3077-E, M3077-H, M3077-P and M3077-U, comprising separate contracts for Construction Work, Electrical Work, HVAC Work, Plumbing Work and Elevator Work, Rehabilitate Elevator, Building 21-1, Fishkill Correctional

Facility, 18 Strack Drive, Beacon (Dutchess County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Correctional Services, until 2:00 p.m. on Wednesday, October 7th, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$18,000 for C, \$6,500 for E, \$2,600 for H, \$ 5,000 for P and \$23,700 for U).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$250,000 and \$500,000 for C, between \$50,000 and \$100,000 for E, between \$25,000 and \$50,000 for H, between \$ 50,000 and \$100,000 for P and between \$500,000 and \$1,000,000 for U.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewycky, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 301 days after the Agreement is approved by the Comptroller.

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

☒ Project commenced design before January 1, 2020. Not subject to provision.

☐ Project commenced design on or after January 1, 2020. Subject to provision.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation

(based on the current availability of qualified MBEs and WBEs) for Construction Work. The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewycky*, Deputy Director
OGS - Design & Construction Group

PROVIDE
SUBHEADQUARTERS
Department of Transportation Region 10
Elwood, Suffolk County

Sealed bids for Project Nos. 45151-C, 45151-E, 45151-H and 45151-P, comprising separate contracts for Construction Work, Electrical Work, HVAC Work, and Plumbing Work, Provide Subheadquarters, DOT Region 10, Suffolk County, Elwood Road, Route 25, Elwood (Suffolk County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Transportation, until 2:00 p.m. on Wednesday, October 7th, 2020, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a bid security (i.e. certified check, bank check, or bid bond in the amount of \$199,600 for C, \$55,900 for E, \$41,000 for H, and \$25,000 for P).

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond pursuant to Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$7,000,000 and \$8,000,000 for C, between \$1,000,000 and \$2,000,000 for E, between \$1,000,000 and \$2,000,000 for H, and between \$500,000 and \$1,000,000 for P.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are John Pupons, Jessica Hoffman and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewycky, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination

of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

Pursuant to Public Buildings Law § 8(6), effective January 11, 2020, for any projects where the project design commenced on or after January 1, 2020 and for any contracts over \$5,000 for the work of construction, reconstruction, alteration, repair, or improvement of any State building, a responsible and reliable NYS-certified Minority or Women-Owned Business Enterprise that submits a bid within ten percent of the lowest bid will be deemed the apparent low bidder provided that the bid is \$1,400,000 or less, as adjusted annually for inflation beginning January 1, 2020. If more than one responsible and reliable MWBE firm meets these requirements, the MWBE firm with the lowest bid will be deemed the apparent low bidder.

 X Project commenced design before January 1, 2020. Not subject to provision.

 Project commenced design on or after January 1, 2020. Subject to provision.

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the apparent low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must be within 440 days after the Agreement is approved by the Comptroller. Due to the tightness of the construction schedule, bidders should consider the necessity for an increased work force and shift operations.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and/or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Pursuant to State Finance Law § 143(1), effective January 11, 2020, the required deposit will be waived upon request by any Minority- and Women-Owned Business Enterprise certified pursuant to Article 15-A of the Executive Law or any Service-Disabled Veteran-Owned Business Enterprise certified pursuant to Article 17-B of the Executive Law. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below

and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

MISCELLANEOUS NOTICES/HEARINGS

Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311
or visit our web site at:
www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

NOTICE OF PUBLIC HEARING

Thruway Authority

NOTICE is hereby given that Public Hearings on a Notice of Proposed Rulemaking, I.D. No. THR-01-20-00003, related to Toll Rate adjustments to the New York State Thruway System, published in the January 8, 2020 issue of the State Register, and consistent with Executive Order No. 202.60, will be held virtually due to COVID-19 as follows:

October 13, 2020	2:00 p.m. - 4:00 p.m.
October 14, 2020	4:00 p.m. - 6:00 p.m.
October 15, 2020	6:00 p.m. - 8:00 p.m.

Instructions on how to "join" the hearing virtually will be posted on the Thruway Authority's website: <http://www.thruway.ny.gov/news/adjustment/index.html>. The instructions will also advise how interested parties may register to provide comments during a hearing. Speakers will be limited to five (5) minutes in order to give as many people an opportunity to be heard.

Interpreter Service: Interpreter services will be made available to hearing impaired persons, at no charge, through closed captioning.

Purpose of action: The rule provides for toll rate adjustment necessary to finance the Authority's capital plan and comply with the relevant requirements of the General Revenue Bond Resolution and the Authority's Fiscal Management guidelines

Comments will be received until five days after the date of the last hearing indicated above and may be submitted by ordinary mail to: Pam Davis, Assistant Counsel, Thruway Authority, 200 Southern Blvd., Albany, NY 12209, or by email to the Authority: tollcomments@thruway.ny.gov

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 October 2020 will be conducted on October 15 commencing at 10:00 a.m. This meeting will be conducted at NYS Media Services Center, Suite 146, South Concourse, Empire State Plaza, Albany, NY with live coverage available at <https://www.cs.ny.gov/commission/>.

For further information, contact: Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. One, Albany, NY 12239 (518) 473-6598

PUBLIC NOTICE

New York City

Deferred Compensation Plan & NYCE IRA

The New York City Deferred Compensation Plan & NYCE IRA (the "Plan") is seeking proposals from insurance consultants or brokers to provide a range of consulting services in the area of cyber insurance. The Request for Proposals ("RFP") will be available beginning on Wednesday, September 16, 2020. Responses are due no later than 4:30 p.m. Eastern Time on Wednesday, October 14, 2020. To obtain a copy of the RFP, please visit www1.nyc.gov/site/olr/about/about-rfp.page and download the RFP along with the applicable documents.

If you have any questions, please submit them via e-mail to: Georgette Gestely, Director, at the following e-mail address: RPretax@nyceplans.org

Consistent with the policies expressed by the City, proposals from New York City certified minority-owned and/or women-owned businesses or proposals that include partnering arrangements with New York City certified minority-owned and/or women-owned firms are encouraged. Additionally, proposals from small and New York City-based businesses are also encouraged.

PUBLIC NOTICE

Department of State

F-2020-0311

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2020-0311- Vincent Mai Proposes to restore tidal Marsh and beach relocating 375cyds of beach sand from two on-site locations to re-nourish beach (375sf)/, replant areas of sand relocation (3,150 sf) with high and low marsh and restore complete tidal flow to marsh. Erect catwalk to access floating dock. 50 Cornwall Lane, Sands Point, NY, 11050 Town of North Hempstead, Nassau County, Manhasset Bay.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0311-MaiConsistencyCert.pdf>

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, October 15, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0316

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program. The applicant's consistency certification and accompanying public information and data are available for inspection on the New York State Department of State's website at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0316.pdf>

In F-2020-0316, or the "Davidson Proposed Dock", the applicant – Karen Davidson – proposes to construct a dock assembly consisting of a 4 foot wide by 80 foot long fixed dock utilizing "Thru-Flow" decking, a 3 foot wide by 14 foot long ramp and a 6 foot by 20 foot chocked float dock secured by 4 piles.

The purpose of this project is to provide access to the water for "private recreational docking". The project is located at Four Cedar Drive in the Town of Southampton, Suffolk County on Shinnecock Bay.

Any interested parties and/or agencies desiring to express their views concerning the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, October 15, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Planning, Development and Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0417

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program. The applicant's consistency certification and accompanying public information and data are

available for inspection on the New York State Department of State's website at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0417.pdf>

In F-2020-0417, or the "18 Parsonage Point Pier", the applicant – Lynn Kroll – proposes to construct a 4 foot wide by 82 foot long pier and a 20 foot by 8 foot floating dock connected by a 40 foot long aluminum gangway.

The purpose of this project is to "allow for the applicant to enjoy the water dependent uses such as swimming, fishing, and boating on the Long Island Sound". The project is located at 18 Parsonage Point in the City of Rye, Westchester County on Long Island Sound.

Any interested parties and/or agencies desiring to express their views concerning the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, October 15, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Planning, Development and Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0574

Date of Issuance – October 7, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2020-0574- Breakers Stony Point, L.P proposes the construction of a public fishing pier, remove an existing timber bulkhead, and construct a rip rap revetment and public esplanade along the Hudson River shoreline at 36 Hudson Drive, Stony Point, NY, 10980 in the Town of Stony Point, Rockland County, Haverstraw Bay, Hudson River.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0574BreakersConsistCert>

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or November 6, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0663

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2020-0663, Petroy Properties, LLC is proposing seasonal placement and removal of floating docks at a marine facility at 555 Waters Street located on the lower Niagara River in the Village of Youngstown, Niagara County.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/ConsistencyF-2020-0663-PetroyConsistencyCert>

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, October 15, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0681

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2020-0681, Chatauqua County proposes to install the Town of Westfield Kayak Launch. The launch will be a floating dock that is connected to the land via a concrete slab at the end of the road at 8200 - 8250 1st, Westfield, Chatauqua County, Lake Erie.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/F-2020-0681WestfieldKayakConsistencyCert>

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice or October 30, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0682

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities

described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Chautauqua County proposes to construct the Town of Hanover Kayak Launch, a 50' x 34' floating dock and launch system at 1083 Erie Street, Town of Hanover, County of Chautauqua Count, Cattaraugus Creek.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/F-2020-0682HanoverKayakConsistencyCert>

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice or October 15, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0683

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In 2020-0683, Chautauqua County proposes to install The Dunkirk Kayak Launch, an American Disabilities Act accessible floating dock and kayak launch at 1 Central Avenue, Chautauqua County, Lake Erie.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/F-2020-0683DunkirkKayakConsistencyCert.pdf>

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice or October 15, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0684

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities

described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP).

In 2020-0684, Chautauqua County proposes to install an ADA accessible kayak launch at 25 Jackson Street, Village of Silver Creek, Lake Erie.

The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/F-2020-0684SCKayakConsistencyCert>

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice or October 15, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0699

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2020-0699, David Lucas is proposing to construct an ~1,680sf boathouse with perimeter docks and dock extensions and exterior covered boat slip resulting in ~ 3,200sf of over the water coverage. The boathouse and perimeter docks would cover a submerged crib structure that remains from a former boathouse that was at the property. In addition, the applicant is seeking to maintain an existing 21' -5" long ramp leading to ~42' -3" x 6' dock and remove a 20' -9" x 6' dock extension and a 21' -4' x6' floating dock from the water. The resulting over the water coverage of the boathouse facility and docks would be 3,542sf. The work is proposed at the applicant's property on the St. Lawrence River at 15082 Bluff Island in the Town of Clayton, Jefferson County.

The stated purpose of the proposed project is to provide adequate docking for the large 7-bedroom house and create a protective boathouse slip for an antique boat. The property is on the National Register of Historic Places and the new boathouse has been designed to resemble the original boathouse as well as to encapsulate the existing historic crib and eliminate it as a navigation hazard.

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0699ForPN.pdf>

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, October 30, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0704

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2020-0704, the Village of Sackets Harbor is proposing to replace an existing damaged 36" CMP culvert with an up-sized arched culvert that will be 10' wide and ~4' in height. The culvert will tie into a quarry stone headwalls. Quarry stone is also proposed to be placed along the beach frontage as well as ~10 large quarry stone bounders are proposed to be placed in the bay along the 244' contour line to act as a breakwater. The road surface of Brown Shores Road is also proposed to be raised. The proposed work is located on Brown Shores Road ~500 feet northwest of Ambrose street in the Village of Sackets Harbor, Jefferson County.

This proposal is part of the New York State Lake Ontario Resiliency & Economic Development Initiative (REDI). REDI is a program created to increase the resilience of shoreline communities and bolster economic development throughout the Lake Ontario and St. Lawrence River regions of New York State. Additional information about the REDI program including project profiles can be found at: <https://www.governor.ny.gov/programs/lake-ontario-resiliency-and-economic-development-initiative-redi>

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0704ForPN.pdf>

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, October 15, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2020-0737

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program. The applicant's consistency

tency certification and accompanying public information and data are available for inspection on the New York State Department of State's website at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0737.pdf>

In F-2020-0737, or the "20 Parsonage Point Pier", the applicant – Parsonage Investment, LLC – proposes to construct a 4 foot wide by 170 foot long pier and a 20 foot by 8 foot floating dock connected by a 40 foot long aluminum gangway. The applicant also proposes to remove debris from the existing pier structure.

The purpose of this project is to "allow for the applicant to enjoy the water dependent uses such a swimming, fishing, and boating on the Long Island Sound". The project is located at 20 Parsonage Point in the City of Rye, Westchester County on Long Island Sound.

Any interested parties and/or agencies desiring to express their views concerning the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, October 15, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Planning, Development and Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

F-2020-0718, F-2020-0739, F-2020-0740

F-2020-0741, F-2020-0742, F-2020-0743

Date of Issuance – September 30, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

The New York State Department of Environmental Conservation Artificial Reef Program (NYSDEC) proposes to expand seven existing artificial reef sites and create four new sites. The New York State Department of Environmental Conservation Artificial Reef Program maintains a series of reef sites in the waters of New York's Marine and Coastal District (MCD). Program goals are to administer and manage artificial reef habitat as part of a fisheries management program, provide fishing and diving opportunities, and enhance or restore fishery resources and associated habitat through the selective placement of artificial reef habitat (i.e. natural rock, concrete and steel) in the MCD under Programmatic guidelines.

In F-2020-0718, the NYSDEC is proposing new sites at Huntington/Oyster Bay 40°57'26.05"N/073°27'1.259"W (50 acres), Port Jefferson/Mount Sinai 40°59'56.43"N/073°47'6.635"W (50 acres) and Mattituck 41°3'21.386"N/072°34'24.102"W (50 acres).

In F-2020-0739, the NYSDEC is proposing the expansion of existing sites at Hempstead 40°31.107'N/073°32.393'W (744 acres to 850 acres), Fire Island 40°35.863'N/073°12.423'W (744 acres to 850 acres), Moriches 40°43.476'N/072°46.479'W (14 acres to 850 acres), Shinnecock 40°48.135'N/072°28.483'W (35 acres to 850 acres) and the Twelve Mile 40°36.778'N/072°31.538'W (850 acres) site will continue to be used as a previously permitted site.

In F-2020-0740, the NYSDEC is proposing a new artificial reef site at a location to be known as Sixteen Fathom 40°25.927'N/073°21.603'W (850 acres).

In F-2020-0741, the NYSDEC is proposing the expansion of the

existing Smithtown 40°55.967'N/073°11.100'W site (3 acres to 31 acres).

In F-2020-0742, the NYSDEC is proposing the expansion of the existing McAllister Grounds 40°32.207'N/073°39.441'W site (115 acres to 425 acres).

In F-2020-0743, the NYSDEC is proposing the expansion of the existing Rockaway 40°32.453'N/073°50.558'W site (413 acres to 635 acres).

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2020-0718ArtificialReefProgram.pdf>

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice or October 30, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

Uniform Code Variance/Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2020-0249 Matter of Borrego Solar located at 12963 Main Road, Town of Newstead (County of Erie), NY, for a variance concerning fire hydrant requirements. (Board Variance)

PUBLIC NOTICE

Department of State

Uniform Code Variance/Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2020-0418 Matter of Victoria Morelli Architecture, Victoria Morelli, R.A., 108 Voorhis Avenue, Rockville Centre, NY 11570, for a variance concerning safety requirements, including the height under a girder. Involved is an existing one-family dwelling located at 120 Vernon Avenue, Village of Rockville Centre, NY 11570 County of Nassau, State of New York.

2020-0423 Matter of John R. Gross, 182 Lowell Avenue, Floral Park, NY 11001, for a variance concerning safety requirements, including the height under a girder and soffit. Involved is an existing one-family dwelling located at 182 Lowell Avenue, Village of Floral Park, NY 11001 County of Nassau, State of New York.

PUBLIC NOTICE

Department of State

Uniform Code Variance/Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless other-

wise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2020-0432 Matter of Borrego Solar located at 12963 Main Road, Town of Newstead (County of Erie), NY, for a variance concerning fire hydrant requirements. (Board Variance)

PUBLIC NOTICE

Department of State

Uniform Code Variance/Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2020-0433 Matter of Miranda Comfort located at 301 Walter Smith Terrace, City of Corning (County of Steuben), NY, for a variance concerning door operation requirements. (Board Variance)

EXECUTIVE ORDERS

Executive Order No. 168.40: Continuing the Declaration of a Disaster Emergency in the Five Boroughs of New York City and the Counties of Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester that Incorporate the MTA Region in the State of New York.

WHEREAS, pursuant to Executive Order No. 168, a disaster has heretofore been declared in the five boroughs of New York City and the Counties of Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester that incorporate the Metropolitan Transportation Authority (MTA) Region in the State of New York due to increasingly constant and continuing failures of the tracks, signals, switches and other transportation infrastructure throughout the system including at Pennsylvania Station located in the County of New York (Penn Station), that have resulted in various subway derailments, extensive track outages, and substantial service disruptions impacting the health and safety of hundreds of thousands of riders;

WHEREAS, the ongoing failures of the tracks, signals, switches and other transportation infrastructure throughout the MTA's rail and subway system continue to pose an imminent threat and have a vast and deleterious impact on the health, safety, and livelihood of commuters, tourists, resident New Yorkers, as well as business and commerce in the Metropolitan Commuter Transportation District (MCTD), which is the recognized economic engine of the State of New York, and thereby have adversely affected the New York State economy;

WHEREAS, the track outages and service disruption necessary to implement the Amtrak Repair Program, and other repairs necessary to fix tracks, signals, switches and other transportation infrastructure throughout the MTA's rail and subway system continue to be necessary to protect the public, health and safety of commuters, tourists, resident New Yorkers, and will continue to worsen the transportation disaster emergency that currently exists due to the condition of Penn Station and the MTA's rail and subway system as a whole; and,

WHEREAS, it continues to be necessary for the MTA and its subsidiaries and affiliates to take significant and immediate action to assist in the repair of the tracks, signals, switches and other transportation infrastructure and in the mediation of such track outages and service disruptions due to this disaster emergency;

NOW, THEREFORE, I, ANDREW M. CUOMO, Governor of the State of New York, by virtue of the authority vested in me by the Constitution and the Laws of the State of New York, do hereby extend the state disaster emergency declared pursuant to Executive Order No. 168 and extend all of the terms, conditions, and directives of Executive Order No. 168 and the terms, conditions, and directives for any extensions of the same for the period from the date that the disaster emergency was declared pursuant to Executive Order No. 168 until October 1, 2020; provided that the temporary suspension of any laws, rules, regulations or guidelines pursuant to this and any future extensions of Executive Order 168 shall apply to the extent the Chairman of the MTA, or his designee, which shall only include the MTA's President or Managing Director, determines it necessary for the purposes of awarding any contracts, leases, licenses, permits or any other written agreement that may be entered into to mitigate such disaster emergency.

(L.S.)

GIVEN under my hand and the Privy Seal of the State in the City of Albany the first day of September in the year two thousand twenty.

BY THE GOVERNOR

/S/ Andrew M. Cuomo

/s/ Melissa DeRosa

Secretary to the Governor

Executive Order No. 202.59: Continuing Temporary Suspension and Modification of Laws Relating to the Disaster Emergency.

WHEREAS, on March 7, 2020, I issued Executive Order Number 202, declaring a State disaster emergency for the entire State of New York; and

WHEREAS, both travel-related cases and community contact transmission of COVID-19 have been documented in New York State and are expected to continue;

NOW THEREFORE, I, Andrew M. Cuomo, Governor of the State of New York, by virtue of the authority vested in me by Section 29-a of Article 2-B of the Executive Law to temporarily suspend or modify any statute, local law, ordinance, order, rule, or regulation, or parts thereof, of any agency during a State disaster emergency, if compliance with such statute, local law, ordinance, order, rule, or regulation would prevent, hinder, or delay action necessary to cope with the disaster emergency or if necessary to assist or aid in coping with such disaster, do hereby continue the suspensions, modifications, and directives, not superseded by a subsequent directive, made by Executive Order 202.36, 202.37, 202.46, 202.47, as extended, and Executive Order 202.54 for another thirty days through September 27, 2020, except the following:

- Any extension of the period for paying property taxes without interest or penalties pursuant to Real Property Tax Law Section 925-a is no longer in effect; and
- The directive permitting telephonic or virtual party nominating conventions which has been superseded by Chapter 142 of the Laws of 2020.

IN ADDITION, by virtue of the authority vested in me by Section 29-a of Article 2-B of the Executive Law to issue any directive during a disaster emergency necessary to cope with the disaster, I do hereby issue the following directive through September 27, 2020:

- The Commissioner of Health shall develop by emergency regulations, comprehensive statewide protocols for the timely testing and reporting of all COVID-19 and Influenza cases to continue to ensure, as flu season approaches, the state has the most accurate data to evaluate the number of positive cases and to best ensure timely contact tracing efforts are implemented in all regions.

(L.S.)

GIVEN under my hand and the Privy Seal of the State in the City of Albany this twenty-eighth of August in the year two thousand twenty.

BY THE GOVERNOR

/S/ Andrew M. Cuomo

/s/ Melissa DeRosa

Secretary to the Governor

FINANCIAL REPORTS



**Department of
Taxation and Finance**

Depositories for the Funds of the State of New York

Month End: August 31, 2020

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Michael R Schmidt
Commissioner

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 08/31/2020
ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER		
Unemployment Insurance Funding Account	Key Bank	10,569,262.10
Occupational Training Act Funding Account	Key Bank	46,668.50
Unemployment Insurance Exchange Account	Key Bank	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(246,862,195.23)
General Checking	Key Bank	(1,143,893,388.94)
Direct Deposit Account	Wells Fargo	48,524.34
TOTAL		(266,206,751.19)
01000 - EXECUTIVE CHAMBER		
Executive Chamber Advance Account	Key Bank	No report received
01010 - DIVISION OF BUDGET		
Advance Account	Bank of America, N.A.	5,000.00
01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL		
Albany		
SLA Investigations Account	Key Bank	1,741.45
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	18,962.27
NY ISO Account	Key Bank	8,623,051.98
OGS Binghamton Office Bldg	Key Bank	48.15
SNY Office of General Services	JPMorgan Chase Bank, N.A.	537.12
State of New York OGS Escrow II	Key Bank	2,817,894.73
State of New York OGS Petty Cash	Key Bank	306,517.18
State of New York OGS Escrow	Key Bank	394,780.14
State of NY Office Of General Services	Key Bank	1,754.00
01060 - DIVISION OF STATE POLICE		
CNET Confidential Account	Key Bank	0.00
Div Headquarters - Petty Cash	Key Bank	2,027.75
Key Advantage Account	Key Bank	89,190.27
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	1,204,364.37
NYSP CTIU Confidential Fund	Key Bank	4,000.00
SIU Confidential Fund Account	Key Bank	6,937.63
Special Fund	Key Bank	48,848.48
State Police Receipts Account	Bank of America, N.A.	869,854.28
Troop A Batavia - Petty Cash	Bank of America, N.A.	1,000.00
Troop A Batavia-Confidential	Bank of America, N.A.	3,397.44
Troop B Confidential	Key Bank	6,500.00
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	1,800.00
Troop C Petty Cash	NBT Bank	985.00
Troop D Oneida - Confidential	Alliance Bank	2,047.73
Troop D Oneida Petty Cash	Alliance Bank	1,000.00
Troop E Canandaigua Confidential	Canandaigua National Bank	2,000.00
Troop E Petty Cash	Canandaigua National Bank	1,000.00
Troop F Confidential	JPMorgan Chase Bank, N.A.	2,500.00
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	6,043.38
Troop G Petty Cash	Bank of America, N.A.	1,000.00
Troop K Petty Cash	Bank of Millbrook	1,000.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	5,995.87
Troop L Confidential Fund	Bank of America, N.A.	7,500.00
01070 - DIVISION OF MILITARY & NAVAL AFFAIRS		
Advance For Travel	Key Bank	11,771.82
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	8,619.13
01077 - OFFICE OF HOMELAND SECURITY		
Academy Of Fire Science	Chemung Canal Trust	50,549.61
01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	17,294.53
Revenue Account	JPMorgan Chase Bank, N.A.	829,873.30
01090 - DIVISION OF HUMAN RIGHTS		
Petty Cash Fund Account	JPMorgan Chase Bank, N.A.	No report received
01150 - OFFICE OF EMPLOYEE RELATIONS		
GOER Panel Administration Escrow Account	Key Bank	4,630.07
NYS Flex Spending	Key Bank	464,225.24
State of New York LMC Petty Cash Account	Key Bank	1,940.00
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	1,972.01
01300 - ADIRONDACK PARK AGENCY		

General Fund	Community Bank	2.00
Petty Cash	Community Bank	3,399.47
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	149,680.00
Emergency Award Account	M&T Bank	0.00
Emergency Claims	Key Bank	14,257.00
Petty Cash Account	Key Bank	1,550.00
REST/SUBROG Escrow Account	Key Bank	389.66
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,883.50
FBI Fee Account	Bank of America, N.A.	3,333.96
Fingerprint Fee Account	Bank of America, N.A.	2,525,533.16
01530 - STATE COMMISSION OF CORRECTION		
Advance Account	Bank of America, N.A.	2,000.00
01540 - STATE BOARD OF ELECTIONS		
Revenue Account	Key Bank	No report received
01620 - OFFICE FOR PREVENTION OF DOMESTIC VIOLENCE		
NYS Prevention Domestic Violence	Bank of America, N.A.	No report received
02000 - OFFICE OF THE STATE COMPTROLLER		
Admissions	Bank of America, N.A.	2,019.83
Advance for Travel Account	Key Bank	No report received
Alcohol Beverage	Bank of America, N.A.	113,160.94
Alcoholic Bev Control License	Wells Fargo Bank	397,648.34
Alcoholic Beverage Control License	M&T Bank	111,345.94
Assessments Bulk	JPMorgan Chase Bank, N.A.	124,413.26
Assessments Receivable	JPMorgan Chase Bank, N.A.	7,341,219.76
Assessments Receivable (EFT)	Wells Fargo Bank	259,539.33
Boxing And Wrestling Tax	Bank of America, N.A.	64,522.09
Check 21 Corporation Tax	JPMorgan Chase Bank, N.A.	241,895.89
Check 21 Estate Tax	JPMorgan Chase Bank, N.A.	2,775,139.62
Check 21 Highway Use	JPMorgan Chase Bank, N.A.	548,732.77
Check 21 PIT	JPMorgan Chase Bank, N.A.	861,508.75
Check 21 Real Estate Transfer	JPMorgan Chase Bank, N.A.	142,906.99
Check Sales Tax	JPMorgan Chase Bank, N.A.	480,149.16
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	300.00
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	30,884,106.59
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	103,431.71
Cigarette Tax Tobacco Products	Bank of America, N.A.	27,311.08
Congestion Surcharge	Wells Fargo Bank	113,717.42
Corporation Tax	Wells Fargo Bank	416.53
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	90,659.72
Educational Chartable Account	Wells Fargo Bank	0.00
Employer Compensation Expense	Wells Fargo Bank	101,362.26
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	200,453.87
ERS Petty Cash Acct	Key Bank	No report received
Estimated Tax	JPMorgan Chase Bank, N.A.	7,771,132.19
Gift Tax	Bank of America, N.A.	0.00
Hazardous Waste	Key Bank	75,427.53
Highway Use - Permits & Reg.	Bank of America, N.A.	13,998.18
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	3,323,817.57
Hudson River-Black River	Bank of America, N.A.	123,008.99
Hudson River-Black River	Community Bank	12,982.58
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	29,597.00
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	463,610.41
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	0.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	23,607.00
IFTA-Fuel Use	Bank of America, N.A.	65,971.78
Income Tax - LLC	JPMorgan Chase Bank, N.A.	67,975.72
Justice Court	Key Bank	38,178.83
Mac #847 NYS T&F Pari Mutuel	Key Bank	562,108.34
Mac #848 NYS T&F Off Track	Key Bank	608,501.98
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	876.50
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	87,721.50
Medical Marijuana Tax Collections	Bank of America, N.A.	1,824.52
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	342,353.36
Ogdensburg Bridge & Port	Community Bank	53,800.19
Opioid Excise Tax	Wells Fargo Bank	214,607.04
Personal Income Tax	Wells Fargo Bank	88,284.00
Petroleum Business Tax (EFT)	Wells Fargo Bank	323,493.71
Petroleum Products Tax	Bank of America, N.A.	3,009,705.51
Petty Cash Account	Key Bank	No report received
PIT Bulk	JPMorgan Chase Bank, N.A.	1,288,140.00
Port Of Oswego	Key Bank	724,132.32
Promptax - MCTMT	Wells Fargo Bank	29,498,897.74

Promptax - Petroleum Business Tax	Wells Fargo Bank	189.97
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	20,256.30
Promptax - Withholding	Wells Fargo Bank	13,887,617.15
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	43,317.39
Real Estate Transfer Tax	Key Bank	2,993.00
Revenue Holding	First Niagara Bank	1,646,076.71
Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Sales Tax	Wells Fargo Bank	977,504.64
SUNY Concentration	First Niagara Bank	136,000.00
TNC Assessment (EFT)	Wells Fargo Bank	2,074,086.14
Troy Debt Service Reserve Fund	Bank of America, N.A.	7,169,995.12
Uncashed Winning Tickets	Bank of America, N.A.	46,321.85
Unclaimed Funds	JPMorgan Chase Bank, N.A.	713,941.68
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	32,589.03
Withholding	Wells Fargo Bank	8.50
Withholding Tax	JPMorgan Chase Bank, N.A.	38,163,220.91
Cash Advance Accounts		
Advance For Travel Account	Key Bank	950.00
ERS Petty Cash Acct	Key Bank	5,100.00
Petty Cash Account	Key Bank	3,859.64
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	(955.12)
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	2,041.14
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	13.73
Employees Retirement System - General	JPMorgan Chase Bank, N.A.	0.00
Employees Retirement System - Pension	JPMorgan Chase Bank, N.A.	0.00
Group Term Life		
Group Term Life - General	JPMorgan Chase Bank, N.A.	0.00
Municipal Assistance Corporation Accounts		
City Of Troy - MAC	JPMorgan Chase Bank, N.A.	0.00
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	0.90
Retirement Police & Firemen's - General	JPMorgan Chase Bank, N.A.	0.00
Retirement Police & Firemen's - Pension	JPMorgan Chase Bank, N.A.	0.00
03000 - DEPARTMENT OF LAW		
Albany Filing Fees Account	Key Bank	No report received
Albany Petty Cash	Bank of America, N.A.	No report received
Albany Revenue Account	Key Bank	No report received
Assessment Account	JPMorgan Chase Bank, N.A.	No report received
Attorney General Account	Key Bank	No report received
Civil Recoveries Account	Key Bank	No report received
Dept Of Law Controlled Disb	M&T Bank	No report received
Marie Roberts	JPMorgan Chase Bank, N.A.	No report received
NYC Filing Fees Account	JPMorgan Chase Bank, N.A.	No report received
NYC Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
NYC Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Restitution Account	M&T Bank	No report received
Special Account	Key Bank	No report received
US Justice Dept - Shared Forfeiture	Key Bank	No report received
US Treas Dept - Shared Forfeiture	Key Bank	No report received
03010 - OFFICE OF THE ATTORNEY GENERAL		
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
03020 - MEDICAID FRAUD CONTROL		
dept atty gen vs john doe	Key Bank	11,473,514.57
National Global Settlement	JPMorgan Chase Bank, N.A.	3,272,027.35
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	40,000.00
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,193.88
04020 - NYS ASSEMBLY		
Advance For Travel	Bank of America, N.A.	3,645.00
Petty Cash Account Dist Off	Bank of America, N.A.	21,675.97
Petty Cash New York City	JPMorgan Chase Bank, N.A.	722.56
Public Information Office	Key Bank	0.25
04030 - ASSEMBLY WAYS & MEANS COMMITTEE		
Advance For Travel	Key Bank	No report received
Petty Cash	Key Bank	No report received
04040 - LEGISLATIVE BILL DRAFTING COMMISSION		
NY LBDC - Legislative Computer Services Fund	Key Bank	48,182.08
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	2,000.00
04250 - REAPPORTIONMENT		
NYS Taskforce On Demo Res & Reapp	JPMorgan Chase Bank, N.A.	125.00
05000 - OFFICE OF COURT ADMINISTRATION		
Attorney Registration Fees - Revenue	JPMorgan Chase Bank, N.A.	1,291,880.00

Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	8,746,685.00
Finger Print Account	JPMorgan Chase Bank, N.A.	0.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	0.00
05005 - OCA OFFICE OF BUDGET & FINANCE		
Petty Cash Account	Key Bank	2,500.00
05008 - LAWYERS FUND FOR CLIENT PROTECTION		
Client Security Fund - Bail	Key Bank	1,696,510.58
Lawyers Fund For Client Protection - Bail	Key Bank	702.08
Petty Cash	Key Bank	4,901.00
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	No report received
Clerk Of The Court Of Appeals	Key Bank	No report received
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	47,370.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	50,220.00
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	73,376.00
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	No report received
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	16,440.50
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	5,286.00
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court Bail	Wells Fargo Bank	3,000.61
Glen Cove City Court Revenue	Wells Fargo Bank	20,145.61
Long Beach City Court		
Long Beach City Court Revenue	Wells Fargo Bank	80,759.64
Long Beach Court Bail	Wells Fargo Bank	30,750.04
Nassau County Court		
Nassau County Assessment	Wells Fargo Bank	47,458.25
Nassau District Court - Criminal		
Nassau Dist Ct Criminal Revenue	Wells Fargo Bank	96,691.62
Nassau District Court-Civil		
Nassau County Dist Ct- Civil Revenue	Wells Fargo Bank	65,237.05
Nassau Surrogate		
Nassau County Surrogate Court-Revenue	Wells Fargo Bank	224,813.25
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
10th Judicial District Suffolk County Admin		
Suffolk County Court -Court Fund	People's United Bank	18,799.40
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	146,876.00
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	189,028.16
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	260,270.88
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	2,000.00
05210 - NYC-CIVIL COURT		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	307,310.75
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	0.00
Kings Civil Court- Civil		
Kings Civil Court- Civil Revenue	JPMorgan Chase Bank, N.A.	425,022.90
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	175,735.65
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	400,420.50
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	27,328.50
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	140,277.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	1,223.00
Kings County Criminal Court		
Kings Criminal Court	Citibank	4,545.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	11,030.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	4,687.00
Queens County Criminal Court		

Queens Criminal Court	JPMorgan Chase Bank, N.A.	8,501.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	4,375.00
Richmond County Criminal Court		
Richard Criminal Court-City Funds	JPMorgan Chase Bank, N.A.	15,215.00
Richmond Criminal Court-State Funds	JPMorgan Chase Bank, N.A.	11,700.00
05231 - SUPREME COURT - BRONX COUNTY		
Bronx County Supreme - NYS OCA	JPMorgan Chase Bank, N.A.	312.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County-Revenue	JPMorgan Chase Bank, N.A.	4,578.00
05240 - SUPREME COURT - QUEENS COUNTY		
Queens Co Supreme		
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	6,736.00
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	8,608,103.65
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	2,718,124.50
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	998,308.90
05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	1,673,445.10
05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	5,796,708.90
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	78.93
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	46,959.25
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	101,680.35
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	220,190.00
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	211,075.75
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	11,189.00
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court - (Civil)		
Albany City Civil - Revenue	Wells Fargo Bank	1,355.00
Albany City Court - (Crim-Bail)		
Albany City Criminal - Bail	Wells Fargo Bank	13,035.62
Albany City Court - (Traffic)		
Albany City Traffic-Revenue	Wells Fargo Bank	39,950.00
Albany Traffic Court - Bail	Bank of America, N.A.	0.00
Albany City Court - Civil Part		
Albany City Court Civil - Revenue	Trustco Bank	0.00
Albany City Court - Crim		
Albany City Court-Crim	Wells Fargo Bank	11,086.00
Albany City Court - Traffic-Bail		
Albany City Traffic - Bail	Wells Fargo Bank	1,300.16
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	955.25
Albany Police Court		
Albany Police Court Bail Account	Key Bank	0.00
Cohoes City Court		
Cohoes City Court Bail	Key Bank	5,746.10
Cohoes City Court Fees/Fines Account	Key Bank	11,387.00
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	282.00
Greene Surrogate		
Greene Surrogate-Revenue	Wells Fargo Bank	9,674.00
Hudson City Court		
Hudson City Bail	Wells Fargo Bank	30,166.52
Hudson City Revenue	Wells Fargo Bank	5,379.00
Kingston City Court		
Kingston City Court Bail	Wells Fargo Bank	1,000.00
Kingston City Court Revenue	Wells Fargo Bank	21,545.93
Rensselaer City Court		
Rensselaer City Court - Bail	Wells Fargo Bank	0.00

Rensselaer City Court - Revenue	Wells Fargo Bank	5,034.60
Rensselaer City Court Bail Acct	Key Bank	100.00
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	29,022.00
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	1,213.00
Sullivan Surrogate		
Sullivan Surrogate-Revenue	Wells Fargo Bank	1,711.00
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	41,056.70
Troy Police Court Bail Account	Bank of America, N.A.	18,187.17
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	15,451.75
Watervliet City Court		
Watervliet City Court - Bail	Wells Fargo Bank	45,570.00
Watervliet City Court - Revenue	Wells Fargo Bank	20,050.43
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	Key Bank	63,713.46
Amsterdam City Court - Revenue	Key Bank	7,474.00
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	346.00
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	97.00
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	538.00
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	3,063.25
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	11,704.82
Glens Falls City Court Bail Acct	Glens Falls National	21,860.92
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	16,706.30
Gloversville City Court Revenue	NBT Bank	5,810.25
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	0.00
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	5,676.56
Johnstown City Court Fines/Fees - Revenue	Key Bank	7,217.00
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	1,500.19
Mechanicville City Ct Revenue Acct	TD Bank	6,447.00
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	1.00
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	1,017.00
Ogdensburg City Court Revenue	Community Bank	2,551.46
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	24,255.98
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	10,465.90
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	1,453.00
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	19,182.00
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	5,696.00
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	38,889.34
Schenectady City Court Revenue	Bank of America, N.A.	20,628.00
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	15,579.75
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	430.00
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	1,144.00
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	244.00
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	2,626.01
Fulton City Court Revenue	Key Bank	8,873.55
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	90.00
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	10,267.00

Lewis County		
Lewis County Clerk	Community Bank	10,684.00
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	0.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	500.00
Little Falls City Court Revenue	M&T Bank	2,654.00
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	12,506.26
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	7,153.81
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	16,580.25
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	8,939.69
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	12,981.05
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	957.00
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	1,800.25
Rome City Court - Revenue	Bank of America, N.A.	16,387.00
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	0.00
Sherrill City Court Fees - Revenue	Alliance Bank	842.00
Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	149,773.01
Syracuse City Court - Fees - Revenue	Alliance Bank	43,899.90
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	63,943.50
Utica City Court Revenue Account	Key Bank	31,772.92
Watertown City Court		
Watertown City Court Bail	Key Bank	85,162.89
Watertown City Court Fees & Fines - Revenue	Key Bank	18,866.63
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	70,090.00
Binghamton City Court Revenue	M&T Bank	23,187.35
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	1,026.50
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	32.00
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	748.00
Cortland City Court		
Court City Court Bail	NBT Bank	14,815.26
Court City Court- Revenue	NBT Bank	4,679.00
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	0.00
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	408.50
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	12,149.80
Elmira City Court Bail	Chemung Canal Trust	28,198.65
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	11,578.00
Ithaca City Court Revenue	Tompkins County Trust	5,208.00
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	566.00
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	10,451.00
Norwich City Court Revenue Acct	NBT Bank	558.00
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	6,900.00
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	8,636.00
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	4,634.00
Oneonta City Court Bail Account	Community Bank	11,204.50
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	582.25
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	501.25
Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	90.00
Tompkins County Surrogates		

SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	287.00
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	Key Bank	18,366.55
Auburn City Court Fees & Fines - Revenue	Key Bank	13,372.50
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	21,173.54
Canandaigua City Court Revenue	Canandaigua National Bank	3,431.00
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	691.00
Corning City Court		
Corning City Court - Bail	Wells Fargo Bank	5,711.02
Corning City Court - Revenue	Wells Fargo Bank	4,903.50
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	22,789.61
Geneva City Court Revenue Account	Wells Fargo Bank	7,381.50
Hornell City Court		
Hornell City Court Bail Account	Community Bank	3,150.02
Hornell City Court Revenue	Community Bank	2,549.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	0.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	9,718.25
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	61.00
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	409,788.10
Rochester City Revenue	M&T Bank	21,804.25
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	469.00
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	424.00
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	80.75
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	1,491.00
05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION		
ALLEGANY COUNTY SURROGATES COURT		
ST of NY Office of The State Comptroller State of New York Unified Courts Allegany Surrogate Court	Wells Fargo Bank	No report received
Batavia City Court		
ST of NY Office of The State Comptroller Batavia City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Batavia City Court REVENUE	Wells Fargo Bank	No report received
BUFFALO CITY COURT		
ST of NY Office of The State Comptroller Buffalo City Court Bail Account	Wells Fargo Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER BUFFALO CITY COURT REVENUE ACCOUNT	Wells Fargo Bank	No report received
Cattaraugus County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	No report received
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	No report received
Dunkirk City Court		
ST of NY Office of The State Comptroller Dunkirk Bail Account	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Dunkirk Revenue Account	Wells Fargo Bank	No report received
Erie - Buffalo County Law Library		
Sur Ct Lib At Buffalo - Revenue	M&T Bank	No report received
Erie County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court	Wells Fargo Bank	No report received
Genesee County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Genesee Surrogate Court	Wells Fargo Bank	No report received
Jamestown City Court		
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 County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	No report received
Niagara Falls City Court		
ST of NY OFFICE OF THE STATE COMPTROLLER NIAGARA FALLS BAIL ACCOUNT	Wells Fargo Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER NIAGARA FALLS REVENUE ACCOUNT	Wells Fargo Bank	No report received

No. Tonawanda City Court		
N. Tonawanda City Court Revenue	M&T Bank	No report received
ST of NY Office of The State Comptroller No. Tonawanda City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller No. Tonawanda Revenue	Wells Fargo Bank	No report received
Olean City Court		
ST of NY Office of The State Comptroller Olean City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Olean City Court Revenue	Wells Fargo Bank	No report received
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	No report received
Salamanca City Court		
Salamanca City Court Bail	Community Bank	No report received
Salamanca City Court City Judge - Revenue	Community Bank	No report received
Tonawanda City Court		
ST of NY Office of The State Comptroller Tonawanda City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Tonawanda City Court Revenue	Wells Fargo Bank	No report received
Tonawanda City Court Bail	M&T Bank	No report received
Wyoming County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	No report received
05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION		
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	37,867.42
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	1,500.00
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	32,937.50
Middletown City Court		
Middletown City Bail Escrow - Bail	Wells Fargo Bank	104,055.45
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	0.00
Middletown City Court Revenue	Wells Fargo Bank	19,713.55
Mt Vernon City Court		
Mt Vernon City Court State Bail	Wells Fargo Bank	114,482.09
Mt Vernon City Court State Revenue	Wells Fargo Bank	67,614.35
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	268,146.98
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	70,252.88
Newburgh City Court		
Newburgh Bail Account	Wells Fargo Bank	26,671.75
Newburgh City Court Revenue	Wells Fargo Bank	12,026.96
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	22,118.50
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	3,400.00
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	37,076.62
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	6,364.19
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	8,270.00
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	61,973.97
Poughkeepsie City Court -Revenue	Wells Fargo Bank	32,610.02
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	13,439.50
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	23,927.00
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	1,539.23
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	6,735.25
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	Wells Fargo Bank	100,605.75
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	3,333.10
White Plains City Court Bail Account	Wells Fargo Bank	79,788.02
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	0.00
White Plains City Court Vehicle And Traffic Acct - Revenue	Wells Fargo Bank	40,264.54
Yonkers City Court		
Yonkers City Bail Account - Bail	Wells Fargo Bank	322,516.08
Yonkers City Revenue Account - Revenue	Wells Fargo Bank	61,657.46
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	49,357.91
Agency Advance Account	Key Bank	10,000.00
Agriculture Producers Sec Fund	Key Bank	15,912.68
Animal Population Control Account	Key Bank	21,821.17
Apple Marketing Order Fund	Key Bank	0.00
Consumer Food Industry Account	Key Bank	8,653.80
Dairy Industry Services Account	Key Bank	53,730.80

Dairy Promotion Order Fund	Key Bank	0.00
Milk Producers Security Fund	Key Bank	50,527.70
NYS Farmers Market Program	Key Bank	432,692.24
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	119.83
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	21,279.41
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	319.32
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	46,844.41
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
Weights & Measures Account	Key Bank	43,484.43
NYS Dept Agriculture & Markets		
Apple Marketing Order Fund	Key Bank	0.00
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products	Key Bank	36,238.37
State Fair		
NYS Fair Operating Account	Solvay Bank	20,717.22
NYS Fair Special Account	Solvay Bank	231.20
08000 - DEPARTMENT OF CIVIL SERVICE		
Agency Advance Account	Bank of America, N.A.	3,000.00
Examination Application Fees Account	Bank of America, N.A.	808.00
Examination Application Fees Account	Key Bank	5,997.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	126,259,823.71
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	1,623.44
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	493,998.35
Conservation Petty Cash Account	M&T Bank	8,931.00
DEC/Exchange Account	M&T Bank	69,830.58
ENCON License Issuing Office	M&T Bank	4,726.72
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,205.14
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,920.08
Hunting Trapping & Fishing Account	M&T Bank	104,892.32
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	156,232.57
Lockbox Account	Wells Fargo Bank	1,172,840.65
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,329.10
NY Conservationist	Bank of America, N.A.	22,046.71
Program Fee	JPMorgan Chase Bank, N.A.	124,786.95
Revenue Account	Bank of America, N.A.	895,213.94
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,265,666.48
State of New York	Key Bank	1,007,308.88
Region 1		
Marine Permit Account	Bank of Smithtown	6,130.00
Region 3		
Beaverkill & Mongaup Pond	Jeff Bank	7,751.00
Revenue Region 3 Account	Bank of America, N.A.	5,257.00
Region 4		
Bear Spring Revenue Account	Wayne Bank	216.00
Region 4	Greene County Commercial Bank	27,520.00
Region 4 Camping	NBT Bank	1,880.00
Region 5		
Campsite Revenue Account	Glens Falls National	11.65
Land & Forest Region SW	TD Bank	28,430.93
NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	338.91
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	8,325.70
Tree Nursery	Bank of America, N.A.	0.00
Region 6		
Fish & Wildlife Watertown	Key Bank	126.92
Lands & Forest District #7	Community Bank	0.00
Lands & Forests District #6	Community Bank	75.00
Lands And Forests District 10	M&T Bank	21.20
SNY Dept Of Environmental Conserv	Community Bank	7,861.04
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,700.00
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	7,108.07
General Cash Fund	Five Star Bank	0.00
Inmate Occupational Therapy Fund	Five Star Bank	58,817.70
Inmate Savings Account	Five Star Bank	255,123.56
Spendable Fund	Five Star Bank	337,325.31

10010 - AUBURN CORRECTIONAL FACILITY

Advance Account	Key Bank	4,089.76
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	Key Bank	15,369.03
Inmate Spendable Account	Key Bank	251,629.72
Inmate Spendable Savings CD	Key Bank	102,647.30
Misc Revenue	Key Bank	55,444.23

10020 - CLINTON CORRECTIONAL FACILITY

Advance Account	Key Bank	13,061.00
Employee Benefit Fund	Key Bank	11,167.68
General Fund	Key Bank	5,556.14
Inmate Funds	Key Bank	129,854.63
Inmate Funds Money Market Account	Key Bank	919,404.26
Inmate Occupational Therapy Acct	Key Bank	61,128.91

10030 - WATERTOWN CORRECTIONAL FACILITY

Agency Advance Account	Key Bank	2,317.00
Inmate Occupational Therapy Fund	Key Bank	19,332.74
Inmate Spendable Funds	Key Bank	53,289.72
Inmate Spendable Savings Account	Key Bank	60,672.72
Miscellaneous Receipts	Key Bank	13,057.94

10040 - GREAT MEADOW CORRECTIONAL FACILITY

Certificate of Deposit	Glens Falls National	150,000.00
Certificate of Deposit	Glens Falls National	100,000.00
Certificate of Deposit	Glens Falls National	25,000.00
Facility Advance	Key Bank	6,190.72
General Fund	Key Bank	0.00
Inmate Fund	Key Bank	104,196.51
Inmate Fund Savings Account	Glens Falls National	52,500.00
Miscellaneous Account	Key Bank	10,284.45
Occupational Therapy	Key Bank	37,048.47

10050 - FISHKILL CORRECTIONAL FACILITY

Agency Advance	M&T Bank	2,507.21
Employee Benefits	M&T Bank	10,154.25
Inmate Spending Account	M&T Bank	489,754.50
Inmates Account	M&T Bank	463,015.36
Inmates Benefit	M&T Bank	28,879.48
Misc Receipts	M&T Bank	11,434.45
Occupational Therapy Account	M&T Bank	16,713.58

10060 - WALLKILL CORRECTIONAL FACILITY

Advance Account	Key Bank	1,270.90
Employee Benefit	Key Bank	1,799.28
Inmate Occupational Therapy Fund	Key Bank	28,664.11
Inmate Savings Account	Key Bank	88,188.35
Inmates Fund Account	Key Bank	97,766.18
Misc. Receipts	Key Bank	15,413.48

10070 - SING SING CORRECTIONAL FACILITY

Cash Advance	JPMorgan Chase Bank, N.A.	8,168.57
Inmate Funds	JPMorgan Chase Bank, N.A.	294,301.40
Inmate Interest Funds	JPMorgan Chase Bank, N.A.	455,382.30
Misc Receipts	JPMorgan Chase Bank, N.A.	88,493.89
Occupational Therapy	JPMorgan Chase Bank, N.A.	134,442.50
Quality Work Life	JPMorgan Chase Bank, N.A.	29,264.46

10080 - GREEN HAVEN CORRECTIONAL FACILITY

Advance Account	Key Bank	3,160.45
General Fund	Key Bank	7,942.96
Inmates Money Market	Key Bank	287,821.58
Inmates Now Checking	Key Bank	646,206.40
Occupational Therapy Fund	Key Bank	137,226.79

10090 - ALBION CORRECTIONAL FACILITY

Albion Advance Account	Bank of America, N.A.	5,125.00
Employee Benefit Fund	Bank of America, N.A.	11,301.75
Inmate Funds	Bank of America, N.A.	64,401.03
Inmate Funds Savings	Bank of America, N.A.	154,225.57
Misc Receipts	Bank of America, N.A.	5,917.60
Occupational Therapy	Bank of America, N.A.	25,389.89

10100 - EASTERN NEW YORK CORRECTIONAL FACILITY

Agency Advance Account	Sterling Bank	580.31
Employee Benefit Fund	Sterling Bank	15,516.73
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	447,099.17
Inmate Occupational Therapy Account	Sterling Bank	32,012.44
Misc. Receipts	Sterling Bank	1,987.12

10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER

Agency Advance Account	Chemung Canal Trust	544.05
Employee Benefit Fund	Chemung Canal Trust	27,371.76
Inmate CD Account	M&T Bank	213,837.36
Inmates Fund	Chemung Canal Trust	572,404.82
Miscellaneous Receipts	Chemung Canal Trust	483.56
Occupational Therapy Fund	Chemung Canal Trust	29,130.74
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	5,007.56
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	7,802.82
Inmate Funds	JPMorgan Chase Bank, N.A.	107,754.74
Inmate Funds CD	JPMorgan Chase Bank, N.A.	90,000.00
Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	23,254.86
Misc. Receipts	JPMorgan Chase Bank, N.A.	634.50
Occupational Therapy	JPMorgan Chase Bank, N.A.	63,078.81
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Cocksackie	2,015.28
Employee Benefits Fund	National Bank of Cocksackie	26,643.73
Inmates Fund	National Bank of Cocksackie	99,924.37
Inmates Fund Savings Acct	National Bank of Cocksackie	185,324.08
Misc. Revenue	National Bank of Cocksackie	6.90
Money Market Acct	National Bank of Cocksackie	No report received
Occupational Therapy Acct	National Bank of Cocksackie	61,538.71
10140 - WOODBOURNE CORRECTIONAL FACILITY		
CD - Inmate Funds	First National Bank of Jeffersonville	190,000.00
CD - Inmate Funds	First National Bank of Jeffersonville	50,000.00
WCF Agency Advance	Jeff Bank	1,416.61
WCF General Fund	Jeff Bank	22,206.24
WCF Inmate Fund	Jeff Bank	134,804.39
WCF Occupational Therapy Fund	Jeff Bank	35,003.80
10160 - DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION		
Agency Advance Account	Key Bank	No report received
Employee Benefit Fund	Key Bank	No report received
Inmate Escrow Account	Key Bank	No report received
Misc. Receipts Account	Key Bank	No report received
Special Account	Key Bank	No report received
10170 - QUEENSBORO CORRECTIONAL FACILITY		
Agency Advance Account	JPMorgan Chase Bank, N.A.	5,504.86
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	7,362.64
Inmate Funds Account	JPMorgan Chase Bank, N.A.	108,576.65
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	548.04
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	1,858.93
Savings Account	JPMorgan Chase Bank, N.A.	15,645.64
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	7,780.67
Agency Advance	Community Bank	790.00
Diversity Management	Community Bank	493.07
Employee Benefit Fund	Community Bank	3,409.41
General Fund	Community Bank	122.25
Inmate Funds	Community Bank	42,709.82
Inmate Occupational Therapy Fund	Community Bank	1,477.28
10240 - DOWNSTATE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,347.10
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	14,713.73
Inmate Fund	JPMorgan Chase Bank, N.A.	404,489.80
Inmates Funds Savings	JPMorgan Chase Bank, N.A.	80,459.98
Misc. Receipts	JPMorgan Chase Bank, N.A.	13,857.86
Occupational Therapy	JPMorgan Chase Bank, N.A.	70,730.36
10250 - TACONIC CORRECTIONAL FACILITY		
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	1,404.23
Inmate Funds	JPMorgan Chase Bank, N.A.	60,397.15
Misc. Revenue	JPMorgan Chase Bank, N.A.	1,086.03
Money Market	JPMorgan Chase Bank, N.A.	30,986.63
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	15,835.69
Taconic Advance Account	JPMorgan Chase Bank, N.A.	3,052.27
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	5,892.42
Employee Benefit Fund Account	Key Bank	6,215.79
Inmate Funds Account	Key Bank	29,462.26
Inmate Key Advantage Account	Key Bank	50,357.94
Inmate Occupational Therapy Account	Key Bank	7,798.88
Miscellaneous Receipts Account	Key Bank	2,755.63
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	868.88
General Fund	Jeff Bank	2,647.42

Inmate Funds	Jeff Bank	228,603.04
Inmate Occupational Therapy	Jeff Bank	34,567.30
Inmate Savings	Jeff Bank	51,357.24
Inmate Savings CD	Hornetown Bank	78,275.34
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	1,540.00
Employee Recreation Fund	M&T Bank	1,117.08
Inmate Deposit Account	M&T Bank	65,416.41
Misc Fees	M&T Bank	2,131.27
Work Release Advance Account	M&T Bank	6,456.00
10320 - EDGEcombe CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,210.00
Employee Benefit Account	JPMorgan Chase Bank, N.A.	3,229.85
Inmate Cash Account	JPMorgan Chase Bank, N.A.	25,669.74
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	0.00
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	2,351.66
Work Release Account	JPMorgan Chase Bank, N.A.	0.00
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	3,000.00
EBF	Community Bank	7,564.19
Inmate Fund	Community Bank	85,950.57
Inmate Savings	Community Bank	45,238.74
Misc. Receipts	Community Bank	1,779.47
Occupational Therapy	Community Bank	14,772.38
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,060.65
EBF Checking	Five Star Bank	38,557.67
EBF Savings	Five Star Bank	30,842.33
Inmate Savings	Five Star Bank	257,931.15
Inmate Spendable	Five Star Bank	213,958.01
Misc Receipts	Five Star Bank	629.40
Occupational Therapy	Five Star Bank	32,904.27
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,191.99
Employee Benefit Fund Checking	Bank of America, N.A.	30,521.59
Inmate Funds Checking	Key Bank	192,097.51
Inmate Funds Savings	Key Bank	314,478.00
Miscellaneous Revenue	Key Bank	1,839.05
Occupational Therapy	Key Bank	25,301.06
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	No report received
Employee Benefit Account	Alden State Bank	No report received
Inmate Savings	Alden State Bank	No report received
Inmates Funds	Alden State Bank	No report received
Misc. Receipts	Alden State Bank	No report received
Occupational Therapy	Alden State Bank	No report received
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		
Office of Nutritional Services		
Miscellaneous Receipts	Key Bank	12,622.29
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Community Bank	2,263.63
Employee Benefit Fund	Community Bank	12,967.26
Inmate Funds	Community Bank	195,560.96
Inmate Funds Savings	Community Bank	259,774.11
Miscellaneous Revenue	Community Bank	2,297.22
Occupational Therapy	Community Bank	21,298.59
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,655.00
Employee Commission Account	Five Star Bank	12,454.65
Inmate Funds Account	Five Star Bank	94,437.12
Inmate Funds Account - Savings	Five Star Bank	108,054.46
Miscellaneous Receipts Account	Five Star Bank	683.19
Occupational Therapy Account	Five Star Bank	16,151.48
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	4,820.00
Employee Activities	Community Bank	41,232.92
Inmate Fund Checking	Community Bank	163,175.68
Inmate Savings	Community Bank	130,554.27
Miscellaneous Revenue	Community Bank	3,922.26
Occupational Therapy	Community Bank	11,276.50
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,070.36
Employee Benefit Fund	Bank of America, N.A.	35,383.56
Inmate Funds	Key Bank	341,406.87

Inmate Savings	Key Bank	198,749.81
Misc. Revenue	Key Bank	1,061.60
Occupational Therapy	Key Bank	37,359.13
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	4,000.00
Employee Benefit Fund Account	Bank of America, N.A.	13,999.59
Inmate Fund Account	Key Bank	160,415.38
Misc receipts Acct	Key Bank	0.00
NYS DOCS Marcy CORR Facility	Key Bank	206,812.16
Occupational Therapy fund Acct	Key Bank	42,275.92
10500 - NYC CENTRAL ADMINISTRATION		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
Misc Receipts	JPMorgan Chase Bank, N.A.	No report received
10501 - CENTRAL PHARMACY		
NYS Docs Central Pharmacy Advance Acct	Bank of America, N.A.	1,000.00
10510 - MORIAH SHOCK INCARCERATION CORRECTIONAL FACILITY		
Moriah Shock Incarceration Advance Acct	Glens Falls National	1,800.00
Moriah Shock Incarceration Employee Benefit Fund	Glens Falls National	3,049.58
Moriah Shock Incarceration Occ Therapy	Glens Falls National	2,829.66
Moriah Shock Misc Receipts	Glens Falls National	0.00
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	56,518.61
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,389.73
Employee Benefit Account	Key Bank	18,860.91
Inmate Funds	Key Bank	120,612.86
Inmate Occupational Therapy	Key Bank	11,720.81
Inmate Savings	Key Bank	217,716.47
Misc. Receipts	Key Bank	3,786.24
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	3,617.22
Employees Vending Benefit	NBT Bank	9,304.22
Inmates Funds	NBT Bank	106,041.03
Misc Revenues General Fund	NBT Bank	167.80
Occupational Therapy	NBT Bank	4,701.78
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	1,562.98
Cert Of Deposit	First National Bank of Groton	87,374.94
Cert Of Deposit	First National Bank of Groton	87,374.94
Employee Benefit Fund	First National Bank of Groton	5,165.65
Inmate Occupational Therapy Account	First National Bank of Groton	33,678.56
Inmate Spendable	First National Bank of Groton	204,351.82
Misc Receipts	First National Bank of Groton	1,441.00
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,874.97
Employee Benefit Fund	Key Bank	7,322.96
Inmate Spendable Funds	Key Bank	62,422.93
Key Public Money Market Checking	Key Bank	359,004.36
Miscellaneous Receipts	Key Bank	1,340.35
Occupational Therapy	Key Bank	14,496.93
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,488.54
Inmate Accounts	Key Bank	72,498.62
Inmate Savings Account	Key Bank	105,643.94
Miscellaneous Receipts Account	Key Bank	7,056.81
Miscellaneous Receipts Account	Key Bank	0.00
Occupational Therapy	Key Bank	13,525.73
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,900.00
Employee Benefit Fund	Community Bank	41,655.54
Inmate Occupation Therapy Acct	Community Bank	30,309.98
Inmate Savings	Community Bank	151,737.76
Inmate Spendable Account	Community Bank	106,144.00
Miscellaneous Receipts Account	Community Bank	4,220.35
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	3,700.00
Employee Benefit Fund	Community Bank	10,328.91
Inmate Funds	Community Bank	18,675.10
Inmate Funds - Sav	Community Bank	94,661.23
Miscellaneous Revenue	Community Bank	2,105.21
Occupational Therapy	Community Bank	216.34
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	0.00
Agency Advance	M&T Bank	1,135.85
Employee Benefit Fund	Bank of America, N.A.	0.00

Employee Benefit Fund	M&T Bank	7,611.96
Inmate Fund	Bank of America, N.A.	0.00
Inmate Fund	M&T Bank	125,648.85
Inmate Funds Savings	Bank of America, N.A.	0.00
Inmate Funds Savings	M&T Bank	12,304.66
Misc Receipts	M&T Bank	16.37
Misc. Receipts	Bank of America, N.A.	0.00
Occupational Therapy	Bank of America, N.A.	0.00
Occupational Therapy	M&T Bank	3,225.14
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	462.42
Employee Benefit Fund	Chemung Canal Trust	11,468.26
Inmate Funds	Chemung Canal Trust	121,748.38
Inmate Funds Account	Chemung Canal Trust	60,505.72
Misc. Receipts Account	Chemung Canal Trust	532.80
Occupational Therapy Account	Chemung Canal Trust	26,071.15
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	2,057.00
Employee Benefit Fund	Bank of America, N.A.	9,311.43
Inmate Funds	Bank of America, N.A.	14,211.61
Inmate Savings	Bank of America, N.A.	17,207.19
Miscellaneous Receipts	Bank of America, N.A.	122,003.04
Occupational Therapy	Bank of America, N.A.	108,198.59
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,450.00
EBF Account	Key Bank	6,301.57
General Account	Key Bank	0.00
Inmate Account	Key Bank	127,234.38
Inmate Funds Account Certificate Of Deposit	Glens Falls National	79,050.03
Inmate Savings Account	Key Bank	14,369.14
Occupational Therapy Account	Key Bank	22,298.83
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	No report received
Employee Benefit Fund	Five Star Bank	No report received
Inmate Occupational Therapy	Five Star Bank	No report received
Inmate Savings - Certificate of Deposit	Five Star Bank	No report received
Inmate Savings - Certificate of Deposit	Five Star Bank	No report received
Inmate Savings Account	Five Star Bank	No report received
Inmate Savings-Certificate of Deposit	Five Star Bank	No report received
Inmate Spendable	Five Star Bank	No report received
Misc. Receipts Account	Five Star Bank	No report received
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	1,958.42
Inmate Accounts	National Bank of Coxsackie	121,576.75
Inmate Savings	National Bank of Coxsackie	248,774.40
Misc. Receipts	National Bank of Coxsackie	968.52
Occupational Therapy	National Bank of Coxsackie	61,247.70
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	1,300.00
Inmate Funds	Key Bank	150,382.79
Inmates Funds Account	Key Bank	65,111.80
Misc. Receipts Account	Key Bank	4,699.29
Occupational Therapy Acct	Key Bank	25,740.02
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Key Bank	1,059.00
Inmate Checking	Key Bank	116,415.10
Inmate Savings	Key Bank	100,499.35
Miscellaneous	Key Bank	29,559.50
Occupational Therapy	Key Bank	28,761.39
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	2,196.80
Inmate Occupational Therapy	Community Bank	19,785.06
Inmate Savings	Community Bank	174,993.63
Inmate Spendable Fund	Community Bank	160,443.19
Misc Receipts	Community Bank	12,666.66
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	994.38
Employee Benefit Fund	Community Bank	13,820.44
Inmate Funds	Community Bank	49,346.46
Inmate Occupational Therapy	Community Bank	11,057.59
Misc Receipts	Community Bank	456.49
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	1,900.00
Facility Committees	Key Bank	19,081.56

Inmate Fund	Key Bank	142,446.68
Inmate Occupational Therapy Fund	Key Bank	5,525.55
Miscellaneous Account	Key Bank	118.60
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	0.00
Employee Benefit Fund	Bank of America, N.A.	10,094.05
Inmate Funds	Key Bank	75,456.58
Inmate Interest Bearing Account	Key Bank	15,000.26
Misc Receipts	Key Bank	3.50
Occupational Therapy	Key Bank	29,479.27
10890 - CORRECTIONS AND COMMUNITY SUPERVISION		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	307,462.76
Parole Supervision Fee	Wells Fargo Bank	40,888.43
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	5,780.82
Div of Ind Revenue Acct	Key Bank	189,899.19
11000 - EDUCATION DEPARTMENT		
Consolidated Advance Account	Key Bank	No report received
Consolidated Advance Account (Control Disbursement)	Key Bank	No report received
Revenue Account	Key Bank	No report received
11100 - NYS HIGHER EDUCATION SERVICES CORPORATION		
NYS HESC-Federal Student Loan Suspense	Key Bank	19,339.34
Operating	Key Bank	5,190,977.00
Retail Lockbox	US Bank	152,590.49
TAP	Key Bank	46,740.38
Wholesale Lockbox	US Bank	1,647,719.81
11260 - BATAVIA SCHOOL FOR THE BLIND		
Misc. Receipts	M&T Bank	3,848.79
Petty Cash	M&T Bank	3,536.64
Student Spending Account	Bank of America, N.A.	8,402.16
11270 - ROME SCHOOL FOR THE DEAF		
Miscellaneous Receipts	NBT Bank	14,673.22
Petty Cash	NBT Bank	2,070.00
Student Activity Fund	NBT Bank	15,293.70
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	5,037,906.00
Endowment - Special Account	Janney Montgomery Scott LLC	No report received
Trust's Board Project Account	Key Bank	254,146.76
12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION		
Conf Narcotic Investigation	M&T Bank	0.00
Consolidated Advance Acct	M&T Bank	0.00
CSA Rebate Account	Bank of America, N.A.	339.47
DOH EPIC Lockbox Acct	Wells Fargo Bank	67,541.51
Early Intervention - Municipal Deposits for Provider Pymts	Key Bank	0.00
Early Intervention - Provider Payments Escrow	Key Bank	27,959.19
Early Intervention - State Funds	Key Bank	100,861.75
EPIC Co Pay Account	Bank of America, N.A.	0.00
Epic Drug Manufacturer Rebate Account	Bank of America, N.A.	1,241.33
EPIC EFT Acct	Bank of America, N.A.	0.00
EPIC Master Funding Acct	Bank of America, N.A.	4,161.56
EPIC Provider Receipt Account	Bank of America, N.A.	0.00
EPIC Refund Acct	Bank of America, N.A.	0.00
eWIC	Wells Fargo Bank	25,081.88
General Account	M&T Bank	786,825.13
ICR Audit Fees Account	Bank of America, N.A.	367,996.08
Indian Health Disbursement Account	Bank of America, N.A.	0.00
Indian Health-Master Acct	Bank of America, N.A.	11,576.31
Medicaid	Key Bank	6,877,379.41
Medicaid Audit Recoveries Acct	Key Bank	0.00
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	2,076,039.02
Nurses Aide Fees (Prometric)	Bank of America, N.A.	72,884.54
Nursing Home Fees Account	Bank of America, N.A.	50,158.27
NYS DOH CLEP Revenue	Key Bank	45,353.51
OBRA Drug Rebate Program Acct	Bank of America, N.A.	699,898.25
SPARCS	Key Bank	43,686.26
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	1,771,166.87
12030 - HELEN HAYES HOSPITAL		
Misc. Receipts	JPMorgan Chase Bank, N.A.	277,601.68
Petty Cash Account	JPMorgan Chase Bank, N.A.	13,328.90
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	5,645.96
12120 - NYS VETERANS HOME-OXFORD		
Agency Advance	NBT Bank	10,991.17
Exchange Account	NBT Bank	32,285.05

Maintenance Fund	NBT Bank	379,372.71
NYS Veterans Home-Oxford (Resident Account, Custodial Account)	NBT Bank	252,468.38
Resident Custodial Account	NBT Bank	119.81
Resident Custodial Account	NBT Bank	12,137.08
Resident Custodial Account	NBT Bank	4,150.52
Resident Custodial Account	NBT Bank	3,110.61
Resident Custodial Account	NBT Bank	1,035.32
Resident Custodial Account	NBT Bank	5,072.25
Resident Custodial Account	NBT Bank	7,926.02
Resident Custodial Account	NBT Bank	7,821.74
Resident Custodial Account	NBT Bank	136.73
Resident Custodial Account	NBT Bank	46,718.31
Resident Custodial Account	NBT Bank	3,746.06
12150 - NYS VETERANS HOME-ST ALBANS		
NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	33,229.75
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	828,420.65
St Albans Vet Home Maintenance Acct	NBT Bank	257,842.89
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	5,399.30
Exchange Account	Bank of America, N.A.	4,064.41
Maintenance Account	NBT Bank	384,440.54
Resident Funds	Bank of America, N.A.	51,897.56
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	10,282.41
Maintenance Acct	NBT Bank	785,020.20
Residence Account	Bank of America, N.A.	626,448.09
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	254.59
Albany Petty Cash Account	Key Bank	467.00
NYC Confidential Account	JPMorgan Chase Bank, N.A.	166.00
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	28,000.00
Exchange Account	Bank of America, N.A.	5,870.59
Fee And Permit Account	Key Bank	526,116.01
Min Wage & Claim Funding Acct	Key Bank	258,405.24
Minimum Wage & Wage Claim Acct	Key Bank	735,014.54
Misc Receipts	Bank of America, N.A.	130,956.80
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	11,799,063.45
UI Fund ACH Transactions	Wells Fargo Bank	1,000,000.00
14010 - WORKERS COMPENSATION BOARD		
DTF/WCB MAC 14	JPMorgan Chase Bank, N.A.	143,757,007.45
16000 - PUBLIC SERVICE COMMISSION		
Cable Account	Key Bank	5,407.41
Petty Cash Account	Key Bank	3,653.32
Special Fee Account	Key Bank	58,707.61
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	151,478.30
Driver Improvement Program (DIP)	Key Bank	17,064.31
Main Office Advance For Travel	Key Bank	52,901.30
PARTNERS DOT -HOOCs	Key Bank	3,939,470.40
Revenue Unit	Key Bank	1,792,576.35
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	196,341.48
19000 - DEPARTMENT OF STATE		
Atheltic	M&T Bank	No report received
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Main	M&T Bank	No report received
Petty Cash Account	Key Bank	No report received
Summons	M&T Bank	No report received
19001 - TUG HILL COMMISSION		
Agency Advance Account	Key Bank	No report received
19002 - LAKE GEORGE PARK COMMISSION		
Petty Cash Account	Glens Falls National	No report received
Revenue Transfer Account	Glens Falls National	No report received
19005 - COMMISSION ON PUBLIC INTEGRITY		
JCOPE Petty Cash Account	Bank of America, N.A.	500.00
JCOPE Revenue Account	Bank of America, N.A.	36,045.07
20000 - DEPARTMENT OF TAXATION & FINANCE		
IFTA Funding	JPMorgan Chase Bank, N.A.	46,915.61
Misc Tax Account - Exchange	Bank of America, N.A.	92,015.04
Off Track Betting Tax (MAC 848)	Key Bank	1,064,349.06
Pari Mutuel Betting Tax (MAC 847)	Key Bank	837,772.03
Petty Cash	Bank of America, N.A.	15,000.00
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	23,400.00

Waste Tire Fee (EFT)	Wells Fargo Bank	20,834.14
Waste Tire Tax	JPMorgan Chase Bank, N.A.	37,116.16
20050 - NEW YORK STATE GAMING COMMISSION		
Charitable Gaming Account	Key Bank	27,485.45
Commercial Gaming Revenue Account	Key Bank	403.01
Custody Account	US Bank	12,686.90
Fingerprint Concentration Account	Key Bank	17,460.86
License Revenue Account	Bank of America, N.A.	14,472.31
Lottery Concentration Account	Key Bank	0.00
Lottery Prize Payment Account	Key Bank	0.00
Lottery Subscriptions Account	Key Bank	813,284.90
Petty Cash Account	Key Bank	921.17
Racing Refund Account	Key Bank	771,701.80
Video Gaming Revenue Account	Key Bank	250,220.83
21012 - WELFARE INSPECTOR GENERAL		
Confidential Fund	Bank of America, N.A.	15,000.00
Confidential Fund	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
21110 - OFFICE OF REGULATORY REFORM		
Petty Cash	Key Bank	No report received
21190 - NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY		
NYSERDA Greenbank MAC 26	JPMorgan Chase Bank, N.A.	No report received
NYSERDA Main Checking MAC 30	JPMorgan Chase Bank, N.A.	(6,415,970.37)
21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT		
Checking- General Fund Acct.	Community Bank	11,679.02
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	498,818.91
Money Market	Bank of America, N.A.	0.30
Petty Cash Fund	Bank of America, N.A.	6,500.00
21700 - OFFICE OF THE STATE INSPECTOR GENERAL		
Office Of The State Inspector General Pass Thru Account	Key Bank	56,204.23
OSIG Petty Cash Account	Key Bank	1,485.13
Albany		
Office of the Inspector General Confidential	Bank of America, N.A.	27,700.00
21820 - STATE COMMISSION ON JUDICIAL CONDUCT		
Petty Cash Account	JPMorgan Chase Bank, N.A.	608.85
Petty Cash Account	Key Bank	902.00
Petty Cash Fund	JPMorgan Chase Bank, N.A.	1,371.94
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
23000 - DEPARTMENT OF MOTOR VEHICLES		
Albany Central Main Acct	Wells Fargo Bank	735,282.04
Albany Central Main Acct		
Albany Central Main Exchange	Wells Fargo Bank	45,114.81
Exchange		
Albany Central Office	Wells Fargo Bank	3,665.46
Title Escrow Exchange (Albany Central Office)		
Albany TVB Sub (Albany Central Office)	Wells Fargo Bank	35,652.76
Adjudication Account	M&T Bank	No report received
Administrative Adj		
Albany-Region 3	Key Bank	1,500.00
Confidential Inv Subpoena - Albany		
Allegany-Belmont	Steuben Trust Co.	10,022.36
County Clerk Fee Allegany		
Andirondack Mountains	JPMorgan Chase Bank, N.A.	124,317.75
County Fee Account		
Buffalo-Region 5	M&T Bank	1,500.00
MV- Buffalo Investigator & Subpoena		
Capital Saratoga Revenue	JPMorgan Chase Bank, N.A.	250,644.79
County Fee Account	JPMorgan Chase Bank, N.A.	139,518.93
Catskill Mountains	JPMorgan Chase Bank, N.A.	63,513.65
County Fee Account	JPMorgan Chase Bank, N.A.	56,457.75
Central Leatherstocking		
County Fee Account		
Chautauqua-Steuben	Community Bank	No report received
County Fee Acct	Key Bank	No report received
Chautauqua County	M&T Bank	No report received
Holding Acct-Chautauqua County		
Holding Acct-Chautauqua County		
Holding Acct-Chautauqua County		
Concentration (CTY)(OSC)	Key Bank	231,708.34
Concentration (CTY)(OSC)		
Concentration (DO)(OSC)	Key Bank	3,598,282.90
Concentration (DO)(OSC)		

Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	9,327.00
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	1,234,735.18
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	51,242.40
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	4,384,931.72
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Downstate		
Revenue Account - Downstate	Wells Fargo Bank	403,795.34
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	50,000.00
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	67,551.16
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	94,066.59
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.	66,480.91
IRP (Albany Central Office)		
International Registration	M&T Bank	1,408,261.07
International Registration	Wells Fargo Bank	587,800.81
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	511,897.91
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	65,130.00
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	1,418,530.84
Long Island/Staten Island JP		
Long Island/Staten Island (Mass/Med)	JPMorgan Chase Bank, N.A.	44,087.37
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	55,859.22
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	No report received
Oneida County Fee Account	NBT Bank	No report received
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	8,035.69
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	4,500.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	42,429.58
Search Exchange (Albany Central Office)		
MV Search	Key Bank	26,874.61
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	76,807.84
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	1,500.00
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	284,142.45
TLC/DOCCS		
TLC/DOCCS	JPMorgan Chase Bank, N.A.	750,095.50
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	1,000.00
TVB Acct		
TVB Acct	Wells Fargo Bank	78,392.42
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	609,502.56
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	69,326.34
Utica D.O.		
Exchange Account	Bank of Utica	No report received
Revenue Utica	Bank of Utica	No report received
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	No report received
25000 - OFFICE OF CHILDREN & FAMILY SERVICES		
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	950.00
Brentwood Residents' Account	JPMorgan Chase Bank, N.A.	488.09

Brookwood Cash Advance	Key Bank	1,702.58
Brookwood Resid Residential Cash	Key Bank	11,263.10
Check Exchange	Bank of America, N.A.	507.00
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	873.36
Columbia Girls Secure Center-Youth Savings	Key Bank	959.46
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	5,365.49
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	3,300.00
Goshen Cash Advance	Bank of America, N.A.	2,600.00
Goshen Residents Account	Bank of America, N.A.	21,038.80
Harriet Tubman Advance Account	Key Bank	500.00
Harriet Tubman Residents' Account	Key Bank	637.53
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	2,899.31
Highland Res Ctr Residents Acct	Bank of America, N.A.	4,881.03
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	1,954.00
Industry Res Account	JPMorgan Chase Bank, N.A.	5,431.58
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	0.00
MacCormick Cash Advance	Tompkins County Trust	2,607.81
MacCormick Residents' Account	Tompkins County Trust	11,541.31
Medicaid Reimbursement Exchange	Bank of America, N.A.	186,241.25
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	13,314.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	14,221.83
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	600.00
Red Hook Res Ctr Resident Cash	Key Bank	336.67
Red Hook Resid Ctr Cash Advance	Key Bank	373.26
SCR Credit Card Revenue Account	Bank of America, N.A.	26,125.00
State Central Register	Bank of America, N.A.	83,042.60
Taberg Cash Advance	NBT Bank	758.85
Taberg Residents Account	NBT Bank	694.40
Youth Leadership Academy	NBT Bank	0.00
Youth Leadership Cash Advance	NBT Bank	705.00
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	20.70
Title IV D Of Social Security	Key Bank	1,091,544.36
Travel Advance	Key Bank	10,001.14
28010 - SUNY ALBANY		
Fee Account	Key Bank	1,751,648.27
Loan Services Center Account	Key Bank	131,180.67
Petty Cash/Travel Advance	Key Bank	0.00
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	2,396,015.64
SUNY Binghamton - Controlled Disb	M&T Bank	0.00
28030 - SUNY BUFFALO		
Controlled Disbursement Account	Bank of America, N.A.	0.00
General Revenue Account	Bank of America, N.A.	0.00
General Revenue Account	Key Bank	3,698,769.09
Imprest Account	Key Bank	0.00
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	9,239,780.84
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	28,854,394.56
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	181,088.60
LISVH Fees Depository	Sterling Bank	567,680.51
LISVH Residence Fund	Sterling Bank	396,538.39
Payroll Advance	JPMorgan Chase Bank, N.A.	2,310.13
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	448,562.84
SUNY Eastern Long Island Hospital Depository	JPMorgan Chase Bank, N.A.	187,951.82
SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	1,001,553.87
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	8,448,499.64
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,909.35
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	812,278.20
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.	943,102.97
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	33,187.72
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
Student Refunds	JPMorgan Chase Bank, N.A.	0.00
28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE		
College Revenue	Key Bank	47,830.36

Controlled Disbursement	Key Bank	0.00
Hospital Revenue	Key Bank	4,511,157.76
Parking	Key Bank	328,667.41
28150 - SUNY BROCKPORT		
Brockport-REOC Account	Key Bank	301.47
Concentration Acct	M&T Bank	1,018,002.28
Controlled Disb	M&T Bank	0.00
28160 - SUNY BUFFALO STATE COLLEGE		
Controlled Disb	M&T Bank	0.00
Dept Public Safety	M&T Bank	0.00
Special Grant Account	M&T Bank	4,123.14
Students Acct Office	M&T Bank	100,042.09
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	512,084.96
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	316,933.22
28190 - SUNY GENESEO		
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	707,055.00
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	696,576.75
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
State Revenue	Key Bank	407,892.18
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	6,218,097.70
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	3,859,538.45
Imprest Account	Key Bank	0.00
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	6,524,646.02
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	163,050.33
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	410,753.84
28270 - SUNY INSTITUTE OF TECHNOLOGY UTICA/ROME		
Advance Account	Bank of America, N.A.	0.00
Controlled Disbursement Account	Bank of America, N.A.	0.00
Revenue	Bank of America, N.A.	1,255,867.09
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	634,353.93
Distribution Center Account	Key Bank	116,436.72
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	2,980,793.21
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	263,335.26
Income Fund	Key Bank	121,542.28
International Program Account	Key Bank	37,521.36
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	122,973.70
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	815,851.08
Petty Cash Fund	Delaware National Bank	0.00
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Income Fund	Citibank	655,948.89
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	3,919,155.46
Revenue Account	NBT Bank	11,007.67
28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY		
Agency Advance	Key Bank	0.00
Controlled Disb	Key Bank	0.00
ESF/GSA	Key Bank	0.00
Forestry	Community Bank	180.78
Regular Account	Key Bank	124,530.09
Student Government	Key Bank	0.00
28570 - SUNY MARITIME COLLEGE		
Controlled Disbursement Account	JPMorgan Chase Bank, N.A.	0.00
Cruise Account	JPMorgan Chase Bank, N.A.	0.00
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	355,369.56

Revenue EFT Account	JPMorgan Chase Bank, N.A.	22,461.01
28580 - SUNY COLLEGE OF OPTOMETRY		
General Revenue	JPMorgan Chase Bank, N.A.	154,240.20
Medical Transportation	JPMorgan Chase Bank, N.A.	1,481.38
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	4,323,036.52
Revenue	Key Bank	44,474.80
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	11,202.85
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,967.00
Fire Tax Account (Main)	Key Bank	16,243.72
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	849,462.19
General Fund	Key Bank	1,749,366.00
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	6,262,868.68
Miscellaneous Account	JPMorgan Chase Bank, N.A.	421,993.86
Paid Family Leave	JPMorgan Chase Bank, N.A.	0.00
Petty Cash	Key Bank	6,000.00
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,004.79
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Revenue (SA)	Glens Falls National	45,700.91
SARATOGA REGION CONTRACTORS BID ACCOUNT	Key Bank	88,133.68
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	73,726.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	185,136.89
Revenue (LI)	People's United Bank	85,515.35
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	44,277.86
Revenue (GE)	Bank of Castile	178,656.96
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	4,001.65
Revenue (NIA)	Evans National Bank	78,425.92
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	3,409.97
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	13,710.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	Key Bank	934,539.50
Petty Cash (ALB)	Key Bank	30,253.20
Revenue (NI, GE, AL, CE, TA)	M&T Bank	60,080.59
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	162,384.47
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	61,531.10
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	160,643.90
Revenue (various)	Wells Fargo Bank	50,576.30
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	723,551.82
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	803,409.93
Statewide Housing Security Deposits	Key Bank	138,209.07
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	20,517.78
Revenue (FL)	Savannah Bank	126,059.83
Revenue (FL-Multi)	Community Bank	24,040.44
Revenue (FL-Multi-Facilities)	Tompkins County Trust	218,711.55
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	868.00
Regional Account (AL)	Five Star Bank	128,980.90
Revenue (AL)	Five Star Bank	83,120.17
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	21,065.27
Revenue (CE, SA, TI)	NBT Bank	128,494.84
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	627.58
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI)	Citizens Bank	34,722.31
Revenue (TI-Multi)	Community Bank	16,679.91
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	16,566.57
Iterim Assistance Agreement	Bank of America, N.A.	No report received
OMH Medication Grant Program Acct	Bank of America, N.A.	90,992.85
Reimbursement Account	Bank of America, N.A.	No report received
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	9,787.88
Facility Holding Account	JPMorgan Chase Bank, N.A.	10,750.10

Patient Cash Funds	JPMorgan Chase Bank, N.A.	450,889.17
Patients Cash Account	JPMorgan Chase Bank, N.A.	416,017.52
Security Deposit	JPMorgan Chase Bank, N.A.	2,891.32
50020 - KINGSBORO PSYCHIATRIC CENTER		
Advance Account	Banco Popular	15,094.38
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	217,661.40
Medicaid Outpatient Travel	Banco Popular	211.71
Patient Cash Acct (MM)	Banco Popular	255,789.10
Patient Checking Account	Citibank	46,637.52
Patient Savings Account	Banco Popular	334,887.22
Security Deposit	Banco Popular	2,489.20
Urban Oasis/EBT	Banco Popular	54,114.32
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	Key Bank	29,178.67
Facility Holding	Key Bank	12,391.38
Patient Cash Checking	Key Bank	273,557.20
50080 - MANHATTAN PSYCHIATRIC CENTER		
Advance Account	Sterling Bank	21,685.70
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	3,824.25
Patient Cash Checking	Hudson Valley National Bank	956,203.44
Patients Money Market	Hudson Valley National Bank	72,877.55
Social Service Tokens	Hudson Valley National Bank	33,962.21
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	13,241.68
Facility Holding	Key Bank	52,822.06
Patients Cash Account	Key Bank	218,711.73
Patients Fund Savings	Key Bank	190,282.13
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	19,641.51
Facility Holding Account	Community Bank	8,201.44
Patients Cash Account	Community Bank	27,960.85
Patients Cash Savings	Community Bank	293,262.80
50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	44,688.99
Certificate Of Deposit	HSBC	250,000.00
Certificate Of Deposit	HSBC	150,000.00
Holding Account	HSBC	16,929.14
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	678,120.19
Patient Cash Account	HSBC	43,316.54
Rent Holding Account	HSBC	2,796.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Exchange	JPMorgan Chase Bank, N.A.	No report received
Holding Account	JPMorgan Chase Bank, N.A.	No report received
INVESTMENT CD A	Sterling Bank	No report received
INVESTMENT CD B	Sterling Bank	No report received
INVESTMENT CD C	Sterling Bank	No report received
INVESTMENT CD D	Sterling Bank	No report received
INVESTMENT CD G	Sterling Bank	No report received
INVESTMENT CD I	Sterling Bank	No report received
Patient Cash Account	JPMorgan Chase Bank, N.A.	No report received
Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	No report received
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	No report received
50180 - NYS PSYCHIATRIC INSTITUTE		
Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	4,559.21
General	JPMorgan Chase Bank, N.A.	35,375.38
Petty Cash	JPMorgan Chase Bank, N.A.	1,026.59
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	16,159.98
Clients Count	Key Bank	174,232.70
Holding Account	Key Bank	17,242.88
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	58,941.95
Facility Holding Acct	JPMorgan Chase Bank, N.A.	186,281.29
Patient Cash	JPMorgan Chase Bank, N.A.	1,183,272.88
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	9,095.26
Facility Holding	Key Bank	1,383.43
Patient Cash Checking	Key Bank	34,389.95
Patient Cash Savings	Key Bank	28,930.09
Security Deposit	Key Bank	6,772.91
50310 - BRONX PSYCHIATRIC CENTER		

CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	34,302.63
Misc. Receipts	JPMorgan Chase Bank, N.A.	27,331.38
Patients Cash MM	JPMorgan Chase Bank, N.A.	88,203.78
Patients Checking Acct	JPMorgan Chase Bank, N.A.	448,570.88
50340 - NATHAN KLINE INSTITUTE		
Petty Cash Account	JPMorgan Chase Bank, N.A.	1,300.00
50350 - KIRBY FORENSIC PSYCHIATRIC CENTER		
Consolidated Advance Account	Hudson Valley National Bank	5,270.37
Holding Account	Hudson Valley National Bank	30,621.75
Patient Cash Account	Hudson Valley National Bank	110,110.25
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	9,773.63
General Fund	Key Bank	8,038.40
Patient Checking	Key Bank	46,757.55
Patient Savings	Key Bank	251,500.79
Security Deposit	Key Bank	3,820.69
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	16,025.00
Facility Holding Account	Key Bank	3,193.80
Patients Account	Key Bank	211,365.63
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	4,465.00
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	14,352.73
Facility Holding Checking	JPMorgan Chase Bank, N.A.	15,596.89
Family Care Checking	JPMorgan Chase Bank, N.A.	0.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	577,295.03
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	10,969.20
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	Key Bank	2,323.20
Exchange Account	Key Bank	0.00
Patient Cash	Key Bank	140.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	51,949.23
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	4,290.20
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	No report received
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	1,248.89
Queens Adv Acct	HSBC	11,200.00
Queens Childrens Account	HSBC	6,025.89
50920 - ELMIRA PSYCHIATRIC CENTER		
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Facility Advance Account	Chemung Canal Trust	13,350.00
General Fund Account	Chemung Canal Trust	3,324.60
IMMA	Chemung Canal Trust	46,418.08
Patients Fund Account	Chemung Canal Trust	220,126.03
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	14,427.17
Facility Holding Account	Key Bank	196,632.33
Parking Garage Account	Key Bank	160,508.22
Patients Cash Checking Account	Key Bank	493,896.28
Patients Cash Savings Account	Key Bank	397,199.52
51000 - NYS OFFICE FOR PEOPLE WITH DEVELOPMENTAL DISABILITIES		
Petty Cash Acct	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	8,840,413.02
51210 - HUDSON VALLEY DDSO		
EBT Checking	JPMorgan Chase Bank, N.A.	No report received
Exchange Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Investor's Choice Savings	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
PTS Cash Checking	JPMorgan Chase Bank, N.A.	No report received
51240 - CENTRAL NY DDSO		
Advance Accounts	Key Bank	33,956.07
Clients Account	Key Bank	856,810.02
Consumer Cash - Savings	Adirondack Bank	1,476,286.05
Consumer Cash - Savings	Key Bank	3,416,566.53
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	64,131.54
General Fund	M&T Bank	1,542.68

Patients Cash Checking	M&T Bank	2,562,994.55
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct		
51270 - STATEN ISLAND DDSO	The Adirondack Trust Company	828,881.39
Clients Cash Account	JPMorgan Chase Bank, N.A.	No report received
General Fund Account	JPMorgan Chase Bank, N.A.	No report received
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
51290 - CAPITAL DISTRICT DDSO		
Agency Advance Account	Key Bank	No report received
Agency Advance Account	The Adirondack Trust Company	No report received
Consumer EBT Fund / Fiduciary Account	Key Bank	No report received
Consumers Fund / Fiduciary Account	Key Bank	No report received
Patients Account Direct Deposit / Fiduciary Acct	The Adirondack Trust Company	No report received
Patients Fund Operating Acct / Fiduciary Acct	The Adirondack Trust Company	No report received
Summer Camp - Fiduciary Acct	The Adirondack Trust Company	No report received
51330 - WESTERN NY DDSO		
Agency Advance Account	M&T Bank	No report received
CD-Patient Property Funds	Key Bank	No report received
Exchange Account	M&T Bank	No report received
General Account	Community Bank	No report received
Patient Property Funds	Adirondack Bank	No report received
Patient Property Funds	M&T Bank	No report received
51350 - LONG ISLAND DDSO		
Consolidated Advance	JPMorgan Chase Bank, N.A.	No report received
EBT Checking Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Patient Cash	JPMorgan Chase Bank, N.A.	No report received
51380 - BROOKLYN DDSO		
CD	Banco Popular	No report received
Consumers Fund	JPMorgan Chase Bank, N.A.	422,090.22
Consumers Money Management	JPMorgan Chase Bank, N.A.	687,198.39
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	223,499.14
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	22,307.11
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	6,837.07
51420 - SUNMOUNT DDSO		
Certificate of Deposit	Community Bank	No report received
Community Store Fund	Community Bank	No report received
Exchange Fund	Community Bank	No report received
Residents Fund	Community Bank	No report received
Sunmount Advance Account	Community Bank	No report received
51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES		
Petty Cash	JPMorgan Chase Bank, N.A.	3,000.00
51450 - METRO NY DDSO		
Consolidated Acct	JPMorgan Chase Bank, N.A.	29,523.00
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	29,222.14
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	0.00
Metro NY DDSO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	285,586.29
Patients Cash Account	JPMorgan Chase Bank, N.A.	18,798.32
Patients Money Market Account	JPMorgan Chase Bank, N.A.	0.10
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
51470 - BERNARD M FINESON DDSO		
Money Market Account	JPMorgan Chase Bank, N.A.	307,058.96
Patient Fund Account	JPMorgan Chase Bank, N.A.	414,505.93
Petty Cash Fund	JPMorgan Chase Bank, N.A.	14,598.83
51780 - FINGER LAKES DDSO		
Advance Account	JPMorgan Chase Bank, N.A.	No report received
F.L. Newark Resident Checking	Community Bank	No report received
Finger Lakes Resident Checking	JPMorgan Chase Bank, N.A.	No report received
FL Vending Machine Account	Community Bank	No report received
General Account	JPMorgan Chase Bank, N.A.	No report received
Geneseo Client Cash	Bank of America, N.A.	No report received
Kelsey Trust Fund	Bank of America, N.A.	No report received
Mary Moore Trust Fund	Bank of America, N.A.	No report received
Monroe Resident Checking	JPMorgan Chase Bank, N.A.	No report received
Monroe Resident Savings	JPMorgan Chase Bank, N.A.	No report received
Patient Food Stamp Account	JPMorgan Chase Bank, N.A.	No report received
51940 - BROOME DDSO		
Broome DDSO	M&T Bank	No report received
Broome DDSO - Advance Account	M&T Bank	No report received
Broome DDSO - General Fund	M&T Bank	No report received
Disabled Individuals Savings	Key Bank	No report received
Disabled Individuals Savings	M&T Bank	No report received
OMRDD Broome DDSO EBT Checking	M&T Bank	No report received

53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES

Agency Advance Acct
 Creedmoor PNA Account
 Patient Fees
 Revenue Account

Key Bank 2,800.00
 JPMorgan Chase Bank, N.A. 0.00
 Bank of America, N.A. 2,102,996.10
 Bank of America, N.A. 35,684.06

53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER

Petty Cash Advance Account

Bank of America, N.A. No report received

70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION

CUNY Admin Imprest Cash Account

Citibank 11,103.68

70030 - CUNY HUNTER COLLEGE

Travel Petty Cash Account

Citibank 49,199.67

70060 - CUNY JOHN JAY COLLEGE

CUNY JOHN JAY COLLEGE IMPREST FUND

Citibank 16,681.16

70070 - CUNY LEHMAN COLLEGE

Lehman College

Citibank 4,345.50

70080 - CUNY YORK COLLEGE

York College Imprest Funds
 York College Travel Advance Fund

Citibank 11,288.64
 Citibank 817.00

70100 - CUNY COLLEGE OF STATEN ISLAND

CSI Imprest Cash

TD Bank 4,912.45

70120 - CUNY NYC COLLEGE OF TECHNOLOGY

NY City College Of Technology Technical College Imprest Fund

Popular Community Bank 5,000.00

70150 - CUNY SCHOOL OF LAW

CUNY School Of Law

TD Bank 26,679.91

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 08/31/2020**

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 08/31/2020
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND		
0231 Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232 Upstate Community Colleges, Series 2005B	Key Bank	7,515.75
DEPARTMENT OF FINANCIAL SERVICES		
0001 Property/Casualty Insurance Security Fund	Key Bank	555,858.75
0002 Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	781,765.61
0003 Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	1,857,962.90
DORMITORY AUTHORITY OF THE STATE OF NEW YORK		
0039 Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	191,590,566.11
0070 Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104 Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	12,015.27
0105 Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	299,399.81
0149 State Advances Repayment Account	Bank of America, N.A.	0.00
1202 DA DFRF MAC #1202 Binghamton	Key Bank	0.00
1203 DA DFRF MAC #1203 Oneonta	Key Bank	0.00
1205 DA DFRF MAC #1205 Delhi	Key Bank	0.00
1206 DA DFRF MAC #1206 Buffalo Univ	Key Bank	0.00
1207 DA DFRF MAC #1207 Buffalo College	Key Bank	0.00
1208 DA DFRF MAC #1208 Alfred	Key Bank	0.00
1209 DA DFRF Mac #1209 Fredonia	Key Bank	0.00
1211 DA DFRF Mac #1211 Upstate Medical	Key Bank	0.00
1212 DA DFRF Mac #1212 Oswego	Key Bank	0.00
1214 DA DFRF Mac #1214 Cortland	Key Bank	0.00
1215 DA DFRF MAC #1215 Stony Brook	Key Bank	0.00
1216 DA DFRF MAC #1216 Old Westbury	Key Bank	0.00
1217 DA DFRF MAC #1217 Farmingdale	Key Bank	0.00
1218 DA DFRF MAC #1218 Downstate Med	Key Bank	0.00
1219 DA DFRF MAC #1219 Maritime	Key Bank	0.00
1221 DA DFRF MAC #1221 Brockport	Key Bank	0.00
1222 DA DFRF MAC #1222 Geneseo	Key Bank	0.00
1223 DA DFRF MAC #1223 Purchase	Key Bank	0.00
1224 DA DFRF MAC #1224 New Paltz	Key Bank	0.00
1225 DA DFRF MAC #1225 Canton	Key Bank	0.00
1226 DA DFRF MAC #1226 Plattsburgh	Key Bank	0.00
1227 DA DFRF MAC #1227 Potsdam	Key Bank	0.00
1228 DA DFRF MAC #1228 Morrisville	Key Bank	0.00
1229 DA DFRF MAC #1229 SUNYIT	Key Bank	0.00
1230 DA DFRF MAC #1230 Cobleskill	Key Bank	0.00
1239 DA DFRF MAC #1239 Albany	Key Bank	0.00
1240 Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202 DA OMR MAC #2202 Binghamton	Key Bank	0.00
2203 DA OMR MAC #2203 Oneonta	Key Bank	0.00
2205 DA OMR MAC #2205 Delhi	Key Bank	0.00
2206 DA OMR MAC #2206 Buffalo Univ	Key Bank	0.00
2207 DA OMR MAC #2207 Buffalo College	Key Bank	0.00
2208 DA OMR MAC #2208 Alfred	Key Bank	0.00
2209 DA OMR MAC #2209 Fredonia	Key Bank	0.00
2211 DA OMR MAC #2211 Upstate Medical	Key Bank	0.00
2212 DA OMR MAC #2212 Oswego	Key Bank	0.00
2214 DA OMR MAC #2214 Cortland	Key Bank	0.00
2215 DA OMR MAC #2215 Stony Brook	Key Bank	0.00
2216 DA OMR MAC #2216 Old Westbury	Key Bank	0.00
2217 DA OMR MAC #2217 Farmingdale	Key Bank	0.00
2218 DA OMR MAC #2218 Downstate Med	Key Bank	0.00
2219 DA OMR MAC #2219 Maritime	Key Bank	0.00
2221 DA OMR MAC #2221 Brockport	Key Bank	0.00
2222 DA OMR MAC #2222 Geneseo	Key Bank	0.00
2223 DA OMR MAC #2223 Purchase	Key Bank	0.00
2224 DA OMR MAC #2224 New Paltz	Key Bank	0.00
2225 DA OMR MAC #2225 Canton	Key Bank	0.00
2226 DA OMR MAC #2226 Plattsburgh	Key Bank	0.00
2227 DA OMR MAC #2227 Potsdam	Key Bank	0.00
2228 DA OMR MAC #2228 Morrisville	Key Bank	0.00
2229 DA OMR MAC #2229 SUNYIT	Key Bank	0.00
2230 DA OMR MAC #2230 Cobleskill	Key Bank	0.00
2239 DA OMR MAC #2239 Albany	Key Bank	0.00
2240 DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	0.00

HOMELESS HOUSING ASSISTANCE CORPORATION

0320	Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	15,603,218.07
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NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION

0315	The Egg	Key Bank	19,649.78
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NEW YORK CONVENTION CENTER

0300	Operating Fund	JPMorgan Chase Bank, N.A.	13,497,042.24
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NEW YORK JOB DEVELOPMENT AUTHORITY

0036	Special Purpose Fund	Bank of America, N.A.	598,878.73
0371	Series H Commercial Paper	Bank of America, N.A.	1,412,814.61
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	338,832.70
0423	Escrow Account for USA Industries Inc.	Key Bank	37,274.67
0424	Escrow Account for Pluritec USA Inc.	Key Bank	19,782.38
0426	Agriculture Loan Program	Key Bank	28,731.51

NYS AFFORDABLE HOUSING CORPORATION

0491	Disbursement Account	JPMorgan Chase Bank, N.A.	76,336.82
0520	Development Account	Key Bank	4,608,182.37
0521	Development Account II	Key Bank	0.00
0522	Repayment Account	Key Bank	2,510,688.08
0523	Recapture Account	Key Bank	147,025.37
0880	Payroll Account	JPMorgan Chase Bank, N.A.	0.00

NYS DEPARTMENT OF HEALTH

0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	(1,538,320.29)
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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.	105,464.11
0625	Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	30,000.00
0626	Criminal Investigation Division	Key Bank	338,272.25
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	0.00
0827	Stock Transfer Incentive Fund	Key Bank	1,124,362.57
0847	Pari-Mutuel Revenue Transfer Account	Key Bank	0.00
0848	Off-Track Bet Tax Revenue Transfer Account	Key Bank	0.00

NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY

0028	Green Jobs - Green New York Fund	Bank of America, N.A.	0.00
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NYS HOUSING FINANCE AGENCY

0032	Operating Fund	Key Bank	0.00
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	205,007.68
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	5,191,387.20
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.	87,646.12
0270	Claims Repayment Account	Key Bank	0.00
0271	Pre-Bond Revenue Account	Key Bank	0.00
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	1,333,281.72
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	0.00
0283	Small Owner's Assistance Program Account	Key Bank	75,277.71
0285	Public Purpose Account	Key Bank	3,264,947.90
0286	Disbursement Account	Key Bank	2,004,481.98
0287	Infrastructure Development Fund	Key Bank	197,817.52
0288	Mobile Home Cooperative Fund	Key Bank	23,793.33
0290	Low Rent Lease Account	Key Bank	0.00
0292	Homeless Housing Initiatives	Key Bank	199,854.21
0294	Housing Plan Fund	Key Bank	7,709,130.24
0301	HFA - Subsidy Repayment Account	Key Bank	207,516.63
0305	HPD Disbursement Fund	Key Bank	1,885,387.19
0879	Payroll Account	JPMorgan Chase Bank, N.A.	124,951.91

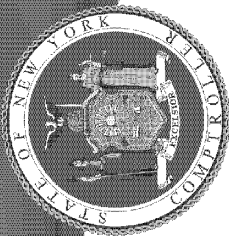
NYS HOUSING TRUST FUND CORPORATION

0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	907,103.60
0460	Escrow Account	M&T Bank	6,663,317.00
0461	Housing Modernization Account	M&T Bank	1,079,067.30
0462	General Custodial Account	M&T Bank	61,607,743.72
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	9,359,796.92
0466	Homes for Working Families Account	M&T Bank	5,445,013.42
0467	Section 8 Administrative Account	M&T Bank	21,501,209.09
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	17,119,897.98

0470	HCV Main Account	Bank of America, N.A.	28,080,248.52
0471	Empire State Relief Fund	M&T Bank	508,569.31
0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	4,211,833.49
0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	1,566,043.00
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.	17,940,527.49
0891	Small Cities Community Development Block Grant Program	M&T Bank	8,414.57
0892	Disaster Recovery Initiative Account	M&T Bank	100,635.78
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	2,214,297.31
0899	HTFC Storm Recovery Lockbox	US Bank	59,829.14
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	3,536,724.86
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	3,179,640.26
STATE INSURANCE FUND			
0053	State Insurance Fund	Bank of America, N.A.	92,581,499.52
0054	State Insurance Fund	Bank of America, N.A.	11,766,787.93
0055	State Insurance Fund	Bank of America, N.A.	13,324,007.52
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	25,135.15
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	1,056,134.21
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	31,805.61
0870	Deductions Account	Key Bank	200,535.63
0871	Bio-Tech Incubator at Farmingdale	Key Bank	0.00
WORKERS COMPENSATION BOARD			
0006	Fund for Reopened Cases	Bank of America, N.A.	0.00
0012	WCB Asset Transfer Account	Bank of America, N.A.	0.00
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	0.00
008K	Special Fund for Disability Benefits	Key Bank	42,429.43

The above balances represent funds deposited in various banking institutions per the records of the Department of Taxation and Finance, Division of Treasury, and published in accordance with Section 107 of the State Finance Law.

Division of the Treasury, Department of Taxation and Finance
Christopher Curtis Deputy Commissioner and State Treasurer



Office of the NEW YORK STATE
COMPTROLLER

Comptroller's Monthly Report on State Funds Cash Basis of Accounting

AUGUST 2020

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

August 31, 2020

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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 AUG. 2020	5 MOS. ENDED AUG. 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG. 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG. 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG. 31, 2020	MONTH OF AUG. 2019	5 MOS. ENDED AUG. 31, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:												
Personal Income Tax	\$ 1,361.5	\$ 10,793.8	\$ -	\$ -	\$ 1,361.5	\$ 10,793.8	\$ -	\$ -	\$ 2,900.5	\$ 23,150.0	\$ (1,562.4)	-6.7%
Consumption/Use Taxes	586.2	2,674.0	146.0	709.0	536.3	2,401.9	43.6	196.2	1,414.4	7,330.1	(1,349.0)	-18.4%
Business Taxes	77.6	1,649.2	55.5	55.2	-	-	48.4	208.5	103.5	2,620.2	(207.3)	-7.9%
Other Taxes	57.3	480.0	-	-	56.5	253.2	11.9	35.7	135.0	863.2	(94.3)	-10.9%
Miscellaneous Receipts	166.1	5,551.9	1,203.8	6,245.6	46.2	195.9	134.6	2,170.7	1,550.7	10,303.5	3,858.6	37.4%
Federal Receipts	-	-	4,404.5	31,852.6	-	-	186.7	752.1	6,082.3	26,382.7	6,242.0	23.7%
Total Receipts	2,248.7	21,148.9	5,808.8	39,362.4	2,000.5	13,644.8	425.2	3,363.2	12,478.1	70,631.7	6,887.6	9.8%
DISBURSEMENTS:												
Local Assistance Grants:												
Education	856.3	9,316.0	213.2	1,781.6	-	-	1.0	18.9	925.1	11,484.7	(365.2)	-3.2%
Environment and Recreation	(0.1)	-	0.1	0.9	-	-	20.6	54.8	14.4	91.1	(35.4)	-38.9%
General Government	0.6	514.2	39.4	84.3	-	-	69.0	187.8	87.5	1,104.9	(318.6)	-28.8%
Public Health:												
Medicaid	1,431.8	6,632.5	3,861.0	20,610.3	-	-	-	-	5,506.5	27,833.8	(591.0)	-2.1%
Other Public Health	72.7	857.6	552.9	2,861.3	-	-	76.1	232.9	789.4	4,153.6	(201.8)	-4.9%
Public Safety	7.9	15.2	62.2	637.6	-	-	1.1	5.8	98.6	593.2	65.4	11.0%
Public Welfare	57.1	930.9	253.9	869.9	-	-	53.1	232.3	374.1	1,820.6	212.5	11.7%
Support and Regulate Business	4.3	25.0	8.6	17.1	-	-	71.6	168.2	67.7	539.0	(325.7)	-61.0%
Transportation	12.7	37.3	350.2	1,192.1	-	-	145.7	359.2	438.0	1,910.1	(321.5)	-16.8%
Total Local Assistance Grants	2,443.3	18,328.7	5,344.5	28,055.1	-	-	438.2	1,259.9	8,295.3	49,531.0	(1,887.3)	-3.8%
Departmental Operations:												
Personal Service	663.2	3,551.6	390.7	2,602.9	-	-	-	-	1,253.3	6,429.4	(274.9)	-4.3%
Non-Personal Service	222.4	389.1	380.6	2,277.7	2.9	21.7	-	-	579.2	2,664.0	24.5	0.9%
General State Charges	271.1	3,909.6	142.9	528.0	-	-	-	-	543.0	4,770.8	(333.2)	-7.0%
Debt Service, Including Payments on Financing Agreements	-	-	-	-	337.6	437.2	-	-	74.5	543.4	(105.2)	-19.5%
Capital Projects	-	-	2.3	2.3	-	-	665.4	2,904.4	750.3	2,849.7	57.0	2.0%
Total Disbursements	3,600.0	26,179.0	6,258.0	33,466.0	340.5	458.9	1,104.6	4,164.3	11,494.8	66,788.3	(2,520.1)	-3.8%
Excess (Deficiency) of Receipts over Disbursements	(1,351.3)	(5,030.1)	(448.2)	5,896.4	1,660.0	13,185.9	(679.4)	(801.1)	983.5	3,843.4	9,407.7	244.8%
OTHER FINANCING SOURCES (USES):												
Bond and Note Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	1,161.4	11,881.1	105.6	1,312.9	49.4	810.1	566.3	843.2	2,912.1	19,905.3	(5,058.0)	-25.4%
Transfers to Other Funds	(670.4)	(2,272.5)	(19.9)	(651.2)	(1,167.9)	(1,914.9)	(36.4)	(87.4)	(2,930.1)	(19,983.1)	(5,057.1)	-25.3%
Total Other Financing Sources (Uses)	491.0	9,608.6	85.7	661.7	(1,118.5)	(1,104.8)	529.9	755.8	(18.0)	(77.8)	(0.9)	-1.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(860.3)	4,578.5	(362.5)	6,558.1	541.5	2,081.1	(149.5)	(45.3)	965.5	3,765.6	9,406.8	249.8%
Beginning Fund Balances (Deficits)	14,383.0	8,944.2	13,232.7	6,312.1	1,603.0	63.4	(830.7)	(1,034.9)	12,775.1	9,975.0	4,308.8	43.2%
Ending Fund Balances (Deficits)	\$ 13,522.7	\$ 13,522.7	\$ 12,870.2	\$ 12,870.2	\$ 2,144.5	\$ 2,144.5	\$ (1,080.2)	\$ (1,080.2)	\$ 13,740.6	\$ 13,740.6	\$ 13,716.6	99.8%

**STATE OF NEW YORK
GOVERNMENTAL FUNDS-STATE OPERATING (*)
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(amounts in millions)**

**EXHIBIT A
SUPPLEMENTAL**

	GENERAL		STATE SPECIAL REVENUE (**)		DEBT SERVICE		TOTAL STATE OPERATING FUNDS				% Increase/ Decrease
	MONTH OF AUG. 2020	5 MOS. ENDED AUG. 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG. 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG. 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG. 31, 2020	MONTH OF AUG. 2019	5 MOS. ENDED AUG. 31, 2019	
RECEIPTS:											
Personal Income Tax	\$ 1,361.5	\$ 10,793.8	\$ -	\$ -	\$ 1,361.5	\$ 10,793.8	\$ 2,723.0	\$ 21,587.6	\$ 2,908.5	\$ 23,150.0	-6.7%
Consumption/Use Taxes	586.2	2,674.0	146.0	709.0	536.3	2,401.9	1,288.5	5,784.9	1,365.8	7,070.8	-18.2%
Business Taxes	77.6	1,649.2	55.5	555.2	-	-	133.1	2,204.4	43.5	2,332.1	-5.5%
Other Taxes	57.3	480.0	-	-	56.5	253.2	113.8	733.2	123.1	827.5	-11.4%
Miscellaneous Receipts	166.1	5,551.9	1,186.8	6,139.9	46.2	195.9	1,399.1	11,887.7	1,632.2	9,115.6	30.4%
Federal Receipts	-	-	2.5	2.5	-	-	2.5	2.5	53.6	54.4	-95.4%
Total Receipts	2,448.7	21,148.9	1,390.8	7,406.6	2,000.5	13,644.8	5,640.0	42,200.3	6,126.7	42,550.4	-0.8%
DISBURSEMENTS:											
Local Assistance Grants:											
Education	856.3	9,316.0	(0.1)	332.3	-	-	856.2	9,648.3	680.8	9,728.9	-0.8%
Environment and Recreation	(0.1)	-	-	0.5	-	-	(0.1)	0.5	0.3	1.1	-64.5%
General Government	0.6	514.2	33.0	60.5	-	-	33.6	574.7	58.0	718.6	-20.0%
Public Health:											
Medicaid	1,431.8	6,632.5	424.7	2,280.8	-	-	1,856.5	8,913.3	1,759.5	11,187.7	-20.3%
Other Public Health	72.7	857.6	46.3	220.0	-	-	118.0	1,077.6	276.9	1,342.1	-19.7%
Public Safety	7.9	15.2	21.5	67.6	-	-	29.4	82.8	33.0	148.1	-44.1%
Public Welfare	57.1	930.9	-	0.9	-	-	57.1	931.8	180.7	685.0	40.1%
Support and Regulate Business	4.3	25.0	6.7	12.1	-	-	11.0	37.1	24.5	80.8	-54.1%
Transportation	12.7	37.3	345.2	1,168.8	-	-	357.9	1,206.1	388.4	1,437.0	-16.1%
Total Local Assistance Grants	2,443.3	18,328.7	876.3	4,143.5	-	-	3,319.6	22,772.2	3,402.1	25,309.3	-11.2%
Departmental Operations:											
Personal Service	663.2	3,551.6	326.9	2,087.7	-	-	990.1	5,639.3	1,205.6	6,167.2	-8.6%
Non-Personal Service	222.4	389.1	159.2	917.5	2.9	21.7	384.5	1,328.3	472.7	2,234.1	-40.5%
General State Charges	271.1	3,909.6	72.2	287.3	-	-	343.3	4,196.9	518.5	4,631.2	-9.4%
Debt Service, Including Payments on Financing Agreements	-	-	-	-	337.6	437.2	337.6	437.2	74.5	543.4	-19.5%
Capital Projects	-	-	-	-	-	-	-	-	(0.1)	-	0.0%
Total Disbursements	3,600.0	26,179.0	1,434.6	7,436.0	340.5	458.9	5,375.1	34,073.9	5,673.3	38,885.2	-12.4%
Excess (Deficiency) of Receipts over Disbursements	(1,351.3)	(5,030.1)	(43.8)	(28.4)	1,660.0	13,185.9	264.9	8,126.4	453.4	3,665.2	121.7%
OTHER FINANCING SOURCES (USES):											
Transfers from Other Funds	1,161.4	11,881.1	116.0	1,413.2	49.4	810.1	1,326.8	14,104.4	2,505.3	17,947.3	-21.4%
Transfers to Other Funds	(670.4)	(2,272.5)	(3.3)	(35.7)	(1,167.9)	(11,914.9)	(1,841.6)	(14,232.1)	(2,729.4)	(19,238.4)	-26.1%
Total Other Financing Sources (Uses)	491.0	9,608.6	112.7	1,377.5	(1,118.5)	(11,104.8)	(514.8)	(118.7)	(224.1)	(1,291.1)	90.8%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(860.3)	4,578.5	68.9	1,348.1	541.5	2,081.1	(249.9)	8,007.7	229.3	2,374.1	237.3%
Beginning Fund Balances (Deficits)	14,383.0	8,944.2	6,679.9	5,400.7	1,603.0	63.4	22,665.9	14,408.3	14,506.1	12,361.3	16.6%
Ending Fund Balances (Deficits)	\$ 13,522.7	\$ 13,522.7	\$ 6,748.8	\$ 6,748.8	\$ 2,144.5	\$ 2,144.5	\$ 22,416.0	\$ 22,416.0	\$ 14,735.4	\$ 14,735.4	52.1%

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.
 (**) Eliminations between Special Revenue - State and Federal Funds are not included.

GOVERNMENTAL FUNDS FOOTNOTES**EXHIBIT A NOTES
AUGUST 2020**

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)	\$185.0 million
Urban Development Corporation (Youth Facilities)	14.9
Housing Finance Agency (HFA)	314.3
Housing Assistance Fund	12.9
Dormitory Authority (Mental Hygiene)	354.9
Dormitory Authority and State University Income Fund	219.0
Federal Capital Projects	515.6
State bond and note proceeds	169.5

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	\$587.6 million
General Debt Service Fund	112.7
Banking Services Account	11.2
Building Administration Account	8.0
Business Services Center	26.9
Centralized Tech Services	11.5
Court Facilities Incentive Aid Fund	11.5
Dedicated Highway & Bridge Trust Fund	62.6
Dedicated Infrastructure Investment Fund	16.5
Dedicated Mass Transportation (Non MTA)	204.0
Environmental Protection Fund	1.3
Health Insurance Revolving Fund	14.0
Mass Transportation Operating Assistance Fund	12.0
Mass Transportation Financial Assistance	21.7
New York Central Business District Trust Fund	195.4
New York City County Clerks' Operations Offset	62.5
Railroad Account	2.8
State Fair Receipts	2.2
State University Income Fund	3.0
Transit Authority Account	851.1
	12.2

Also included in the General Fund are transfers representing payments for patients residing in State-operated health, mental hygiene and State University facilities to Debt Service funds (\$3.3m), and the State University Income Fund (\$50.0m).

\$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 August 31, 2020 - pursuant to a certification of the Budget Director - the reserve amount is (\$59.8m), which was funded by a transfer from the General Fund.

Special Revenue Funds "Transfers To Other Funds" includes transfers to Mental Health Services Fund and Department of Health Income Fund (\$613.7m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities; the General Debt Service Fund (\$2.3m), Medicaid Medicaid Management Information System Escrow Fund (\$6.3m), SUNY Capital Projects Fund (\$1.0m), and All Other Capital Projects (\$20.3m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Federal Department of Health Services Fund	\$1.8 million
SUNY Income Fund	4.9

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	\$9,120.8 million
Local Government Assistance Tax Fund	1,201.0
Sales Tax Revenue Bond Tax Fund	653.0
Clean Water/Clean Air Fund	232.5
Mental Health Services Fund	657.3

Also included in Debt Service funds are transfers to Special Revenue funds representing receipts in excess of lease-purchase obligations that are used to finance a portion of the operating expenses for the Department of Health (\$50.3m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund (\$8.7m), the General Debt Service Fund - Lease Purchase (\$55.5m), and the Revenue Bond Tax Fund (\$23.2m).

EXHIBIT B

STATE OF NEW YORK
 PROPRIETARY FUNDS
 COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
 (amounts in millions)

	ENTERPRISE		INTERNAL SERVICE		TOTAL PROPRIETARY FUNDS			YEAR OVER YEAR		
	MONTH OF AUG. 2020	5 MOS. ENDED AUG 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG 31, 2020	MONTH OF AUG. 2019	5 MOS. ENDED AUG. 31, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	\$ 7.7	\$ 30.0	\$ 32.4	\$ 134.6	\$ 40.1	\$ 164.6	\$ 44.6	\$ 230.7	\$ (66.1)	-28.7%
Federal Receipts	3,020.9	31,382.2	-	-	3,020.9	31,382.2	0.9	4.9	31,377.3	640,353.1%
Unemployment Taxes	1,831.3	10,529.5	-	-	1,831.3	10,529.5	160.6	808.2	9,721.3	1,202.8%
Total Receipts	<u>4,859.9</u>	<u>41,941.7</u>	<u>32.4</u>	<u>134.6</u>	<u>4,892.3</u>	<u>42,076.3</u>	<u>206.1</u>	<u>1,043.8</u>	<u>41,032.5</u>	<u>3,931.1%</u>
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	1.3	5.8	9.9	58.8	11.2	64.6	10.3	54.8	9.8	17.9%
Non-Personal Service	4.6	23.4	41.6	173.9	46.2	197.3	43.6	182.5	14.8	8.1%
General State Charges	0.1	0.7	5.7	29.0	5.8	29.7	4.6	25.7	4.0	15.6%
Unemployment Benefits	4,852.1	41,902.3	-	-	4,852.1	41,902.3	161.3	813.8	41,088.5	5,049.0%
Total Disbursements	<u>4,868.1</u>	<u>41,932.2</u>	<u>57.2</u>	<u>261.7</u>	<u>4,915.3</u>	<u>42,193.9</u>	<u>219.8</u>	<u>1,076.8</u>	<u>41,117.1</u>	<u>3,818.5%</u>
Excess (Deficiency) of Receipts Over Disbursements	<u>1.8</u>	<u>9.5</u>	<u>(24.8)</u>	<u>(127.1)</u>	<u>(23.0)</u>	<u>(117.6)</u>	<u>(13.7)</u>	<u>(33.0)</u>	<u>(84.6)</u>	<u>-256.4%</u>
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	3.0	12.1	69.6	12.1	72.6	1.3	40.1	32.5	81.0%
Transfers to Other Funds	-	-	(0.2)	(0.2)	(0.2)	(0.2)	(0.4)	(0.4)	(0.2)	-50.0%
Total Other Financing Sources (Uses)	<u>-</u>	<u>3.0</u>	<u>11.9</u>	<u>69.4</u>	<u>11.9</u>	<u>72.4</u>	<u>0.9</u>	<u>39.7</u>	<u>32.7</u>	<u>82.4%</u>
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	<u>1.8</u>	<u>12.5</u>	<u>(12.9)</u>	<u>(57.7)</u>	<u>(11.1)</u>	<u>(45.2)</u>	<u>(12.8)</u>	<u>6.7</u>	<u>(51.9)</u>	<u>-774.6%</u>
Beginning Fund Balances (Deficits)	<u>40.4</u>	<u>29.7</u>	<u>(342.3)</u>	<u>(297.5)</u>	<u>(301.9)</u>	<u>(267.8)</u>	<u>(256.6)</u>	<u>(276.1)</u>	<u>8.3</u>	<u>3.0%</u>
Ending Fund Balances (Deficits)	<u>\$ 42.2</u>	<u>\$ 42.2</u>	<u>\$ (355.2)</u>	<u>\$ (355.2)</u>	<u>\$ (313.0)</u>	<u>\$ (313.0)</u>	<u>\$ (269.4)</u>	<u>\$ (269.4)</u>	<u>\$ (43.6)</u>	<u>-16.2%</u>

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 AUG. 2020	5 MOS. ENDED AUG 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG 31, 2020	MONTH OF AUG. 2020	5 MOS. ENDED AUG 31, 2020	MONTH OF AUG. 2019	5 MOS. ENDED AUG. 31, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	\$ 5.6	\$ 48.3	\$ (0.6)	\$ -	\$ 5.0	\$ 48.3	\$ 30.1	\$ 54.0	\$ (5.7)	-10.6%
Total Receipts	<u>5.6</u>	<u>48.3</u>	<u>(0.6)</u>	<u>-</u>	<u>5.0</u>	<u>48.3</u>	<u>30.1</u>	<u>54.0</u>	<u>(5.7)</u>	<u>-10.6%</u>
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	5.5	30.4	-	0.1	5.5	30.5	5.1	28.6	1.9	6.6%
Non-Personal Service	0.9	3.8	-	-	0.9	3.8	1.1	5.7	(1.9)	-33.3%
General State Charges	3.4	18.9	-	0.1	3.4	19.0	3.2	18.1	0.9	5.0%
Total Disbursements	<u>9.8</u>	<u>53.1</u>	<u>-</u>	<u>0.2</u>	<u>9.8</u>	<u>53.3</u>	<u>9.4</u>	<u>52.4</u>	<u>0.9</u>	<u>1.7%</u>
Excess (Deficiency) of Receipts Over Disbursements	<u>(4.2)</u>	<u>(4.8)</u>	<u>(0.6)</u>	<u>(0.2)</u>	<u>(4.8)</u>	<u>(5.0)</u>	<u>20.7</u>	<u>1.6</u>	<u>(6.6)</u>	<u>-412.5%</u>
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Total Other Financing Sources (Uses)	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>0.0%</u>
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	<u>(4.2)</u>	<u>(4.8)</u>	<u>(0.6)</u>	<u>(0.2)</u>	<u>(4.8)</u>	<u>(5.0)</u>	<u>20.7</u>	<u>1.6</u>	<u>(6.6)</u>	<u>-412.5%</u>
Beginning Fund Balances (Deficits)	<u>(1.7)</u>	<u>(1.1)</u>	<u>14.7</u>	<u>14.3</u>	<u>13.0</u>	<u>13.2</u>	<u>(8.9)</u>	<u>10.2</u>	<u>3.0</u>	<u>29.4%</u>
Ending Fund Balances (Deficits)	<u>\$ (5.9)</u>	<u>\$ (5.9)</u>	<u>\$ 14.1</u>	<u>\$ 14.1</u>	<u>\$ 8.2</u>	<u>\$ 8.2</u>	<u>\$ 11.8</u>	<u>\$ 11.8</u>	<u>\$ (3.6)</u>	<u>-30.5%</u>

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR FIVE MONTHS ENDED AUGUST 31, 2020
(amounts in millions)

EXHIBIT D

ALL GOVERNMENTAL FUNDS					
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	\$ 21,378.0	\$ 21,444.0	\$ 21,587.6	\$ 209.6	\$ 143.6
Consumption/Use	6,187.0	5,747.0	5,981.1	(205.9)	234.1
Business	2,549.0	2,512.0	2,412.9	(136.1)	(99.1)
Other	773.0	821.0	768.9	(4.1)	(52.1)
Miscellaneous Receipts	12,870.0	14,247.0	14,164.1	1,294.1	(82.9)
Federal Receipts	30,657.0	33,377.0	32,604.7	1,947.7	(772.3)
Total Receipts	74,414.0	78,148.0	77,519.3	3,105.3	(628.7)
DISBURSEMENTS:					
Local Assistance Grants	52,812.0	49,081.0	47,643.7	(5,168.3)	(1,437.3)
Departmental Operations	8,867.0	9,212.0	8,843.0	(24.0)	(369.0)
General State Charges	4,574.0	4,509.0	4,437.6	(136.4)	(71.4)
Debt Service	442.0	444.0	437.2	(4.8)	(6.8)
Capital Projects	3,801.0	3,162.0	2,906.7	(894.3)	(255.3)
Total Disbursements	70,496.0	66,408.0	64,268.2	(6,227.8)	(2,139.8)
Excess (Deficiency) of Receipts over Disbursements	3,918.0	11,740.0	13,251.1	9,333.1	1,511.1
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	-	-	-	-	-
Transfers from Other Funds	16,213.0	15,061.0	14,847.3	(1,365.7)	(213.7)
Transfers to Other Funds	(16,289.0)	(15,150.0)	(14,926.0)	(1,363.0)	224.0
Total Other Financing Sources (Uses)	(76.0)	(89.0)	(78.7)	(2.7)	10.3
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	3,842.0	11,651.0	13,172.4	9,330.4	1,521.4
Fund Balances (Deficits) at April 1	14,284.0	14,283.0	14,284.8	0.8	1.8
Fund Balances (Deficits) at August 31, 2020	\$ 18,126.0	\$ 25,934.0	\$ 27,457.2	\$ 9,331.2	\$ 1,523.2

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2020-21 First Quarter Update dated August 13, 2020.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR FIVE MONTHS ENDED AUGUST 31, 2020
(amounts in millions)

	STATE OPERATING FUNDS (****)			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 21,378.0	\$ 21,444.0	\$ 21,587.6	\$ 209.6
Consumption/Use	6,006.0	5,558.0	5,784.9	(221.1)
Business	2,354.0	2,314.0	2,204.4	(149.6)
Other	737.0	785.0	733.2	(3.8)
Miscellaneous Receipts	11,317.0	12,007.0	11,887.7	570.7
Federal Receipts	1.0	1.0	2.5	1.5
Total Receipts	41,793.0	42,109.0	42,200.3	407.3
DISBURSEMENTS:				
Local Assistance Grants	25,176.0	23,095.0	22,472.2	(2,703.8)
Departmental Operations	7,992.0	7,094.0	6,967.6	(1,024.4)
General State Charges	4,429.0	4,260.0	4,196.9	(232.1)
Debt Service	442.0	444.0	437.2	(4.8)
Capital Projects	-	-	-	-
Total Disbursements	38,039.0	34,893.0	34,073.9	(3,965.1)
Excess (Deficiency) of Receipts over Disbursements	3,754.0	7,216.0	8,126.4	4,372.4
OTHER FINANCING SOURCES (USES):				
Transfers from Other Funds	14,258.0	13,956.0	14,104.4	(153.6)
Transfers to Other Funds	(15,518.0)	(14,338.0)	(14,223.1)	(1,294.9)
Total Other Financing Sources (Uses)	(1,260.0)	(382.0)	(118.7)	1,141.3
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	2,494.0	6,834.0	8,007.7	5,513.7
Fund Balances (Deficits) at April 1	14,408.0	14,407.0	14,408.3	0.3
Fund Balances (Deficits) at August 31, 2020	\$ 16,902.0	\$ 21,241.0	\$ 22,416.0	\$ 5,514.0

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2020-21 First Quarter Update dated August 13, 2020.

(***) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.

(****) Eliminations between Special Revenue - State and Federal Funds are not included.

**STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR FIVE MONTHS ENDED AUGUST 31, 2020
(amounts in millions)**

EXHIBIT D

	GENERAL FUND				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	\$ 10,689.0	\$ 10,722.0	\$ 10,793.8	\$ 104.8	\$ 71.8
Consumption/Use	2,779.0	2,567.0	2,674.0	(105.0)	107.0
Business	1,831.0	1,771.0	1,649.2	(181.8)	(121.8)
Other	493.0	520.0	480.0	(13.0)	(40.0)
Miscellaneous Receipts	5,020.0	5,485.0	5,551.9	531.9	66.9
Federal Receipts	-	-	-	-	-
Transfers From:					
PIT / ECET in excess of Revenue Bond Debt Service	9,130.0	9,030.0	9,120.8	(9.2)	90.8
Sales Tax in excess of LGAC / STRBF Debt Service	1,952.0	1,753.0	1,854.0	(98.0)	101.0
Real Estate Taxes in excess of CW/CA Debt Service	224.0	243.0	232.5	8.5	(10.5)
All Other	505.0	621.0	673.8	168.8	52.8
Total Receipts and Other Financing Sources	32,623.0	32,712.0	33,030.0	407.0	318.0
DISBURSEMENTS:					
Local Assistance Grants	20,376.0	18,693.0	18,328.7	(2,047.3)	(364.3)
Departmental Operations	4,755.0	3,836.0	3,940.7	(814.3)	104.7
General State Charges	4,039.0	3,970.0	3,909.6	(129.4)	(60.4)
Transfers To:					
Debt Service	106.0	82.0	112.7	6.7	30.7
Capital Projects	1,914.0	1,080.0	822.1	(1,091.9)	(257.9)
State Share Medicaid	-	-	53.3	53.3	53.3
SUNY Operations	1,093.0	926.0	851.1	(241.9)	(74.9)
Other Purposes	497.0	519.0	433.3	(63.7)	(85.7)
Total Disbursements and Other Financing Uses	32,780.0	29,106.0	28,451.5	(4,328.5)	(654.5)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(157.0)	3,606.0	4,578.5	4,735.5	972.5
Fund Balances (Deficits) at April 1	8,944.0	8,944.0	8,944.2	0.2	0.2
Fund Balances (Deficits) at August 31, 2020	\$ 8,787.0	\$ 12,550.0	\$ 13,522.7	\$ 4,735.7	\$ 972.7

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2020-21 First Quarter Update dated August 13, 2020.

(***) Includes transfers to the Department of Health Income Fund and the State University Income Fund representing payments for patients residing in State-Operated Health and State University facilities.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR FIVE MONTHS ENDED AUGUST 31, 2020
(amounts in millions)

	SPECIAL REVENUE FUNDS					
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Personal Income	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Consumption/Use	723.0	686.0	709.0	-	709.0	23.0
Business	523.0	543.0	555.2	-	555.2	32.2
Miscellaneous Receipts	6,231.0	6,446.0	6,245.6	-	6,245.6	14.6
Federal Receipts	29,835.0	32,632.0	31,852.6	-	31,852.6	(779.4)
Transfers from Other Funds (***)	1,766.0	1,530.0	1,413.2	(100.3)	1,312.9	(217.1)
Total Receipts and Other Financing Sources	39,078.0	41,837.0	40,775.6	(100.3)	40,675.3	(1,161.7)
DISBURSEMENTS:						
Local Assistance Grants	30,358.0	29,078.0	28,055.1	-	28,055.1	(1,022.9)
Departmental Operations	4,095.0	5,353.0	4,880.6	-	4,880.6	(472.4)
General State Charges	535.0	539.0	528.0	-	528.0	(11.0)
Capital Projects	-	-	2.3	-	2.3	2.3
Transfers to Other Funds (***)	754.0	777.0	751.5	(100.3)	651.2	(125.8)
Total Disbursements and Other Financing Uses	35,742.0	35,747.0	34,217.5	(100.3)	34,117.2	(1,629.8)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	3,336.0	6,090.0	6,558.1	-	6,558.1	468.1
Fund Balances (Deficits) at April 1	6,312.0	6,311.0	6,312.1	-	6,312.1	0.1
Fund Balances (Deficits) at August 31, 2020	\$ 9,648.0	\$ 12,401.0	\$ 12,870.2	\$ -	\$ 12,870.2	\$ 469.2

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2020-21 First Quarter Update dated August 13, 2020.

(***) Actual reported transfer amounts include eliminations between Special Revenue - State and Federal Funds.

**STATE OF NEW YORK
BUDGETARY BASIS – FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR FIVE MONTHS ENDED AUGUST 31, 2020
(amounts in millions)**

EXHIBIT D

	STATE SPECIAL REVENUE FUNDS				FEDERAL SPECIAL REVENUE FUNDS			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Enacted Financial Plan	Updated Financial Plan (*)	Actual	Actual Over/ (Under) Enacted Financial Plan
RECEIPTS:								
Taxes:								
Personal Income	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Consumption/Use	723.0	686.0	709.0	(14.0)	-	-	-	-
Business	523.0	543.0	555.2	32.2	-	-	-	-
Miscellaneous Receipts	6,138.0	6,353.0	6,138.9	1.9	-	83.0	105.7	12.7
Federal Receipts	-	-	2.5	2.5	-	32,632.0	31,850.1	(781.9)
Transfers from Other Funds	1,766.0	1,530.0	1,413.2	(352.8)	-	-	-	-
Total Receipts and Other Financing Sources	9,150.0	9,112.0	8,819.8	(330.2)		32,725.0	31,955.8	(769.2)
DISBURSEMENTS:								
Local Assistance Grants	4,800.0	4,402.0	4,143.5	(656.5)		24,676.0	23,911.6	(764.4)
Departmental Operations	3,220.0	3,235.0	3,005.2	(214.8)		2,116.0	1,875.4	(240.6)
General State Charges	390.0	290.0	287.3	(102.7)		249.0	240.7	(8.3)
Capital Projects	-	-	-	-		-	2.3	2.3
Transfers to Other Funds	63.0	51.0	35.7	(27.3)		726.0	715.8	(10.2)
Total Disbursements and Other Financing Uses	8,473.0	7,978.0	7,471.7	(1,001.3)		27,769.0	26,745.8	(1,023.2)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	677.0	1,134.0	1,348.1	671.1		4,956.0	5,210.0	254.0
Fund Balances (Deficits) at April 1	5,401.0	5,400.0	5,400.7	(0.3)		911.0	911.4	0.4
Fund Balances (Deficits) at August 31, 2020	\$ 6,078.0	\$ 6,534.0	\$ 6,748.8	\$ 670.8		\$ 5,867.0	\$ 6,121.4	\$ 254.4

(*) Source: 2020-21 Enacted Financial Plan dated April 26, 2020.

(**) Source: 2020-21 First Quarter Update dated August 13, 2020.

**STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR FIVE MONTHS ENDED AUGUST 31, 2020
(amounts in millions)**

EXHIBIT D

	DEBT SERVICE FUNDS			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 10,689.0	\$ 10,722.0	\$ 10,793.8	\$ 71.8
Consumption/Use	2,504.0	2,305.0	2,401.9	(102.1)
Other	244.0	265.0	253.2	9.2
Miscellaneous Receipts	159.0	169.0	195.9	36.9
Federal Receipts	1.0	1.0	-	(1.0)
Transfers from Other Funds	681.0	779.0	810.1	129.1
Total Receipts and Other Financing Sources	14,278.0	14,241.0	14,454.9	176.9
DISBURSEMENTS:				
Departmental Operations	17.0	23.0	21.7	4.7
Debt Service	442.0	444.0	437.2	(4.8)
Transfers to Other Funds	11,845.0	11,680.0	11,914.9	69.9
Total Disbursements and Other Financing Uses	12,304.0	12,147.0	12,373.8	69.8
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,974.0	2,094.0	2,081.1	107.1
Fund Balances (Deficits) at April 1	63.0	63.0	63.4	0.4
Fund Balances (Deficits) at August 31, 2020	\$ 2,037.0	\$ 2,157.0	\$ 2,144.5	\$ 107.5
				\$ 0.4
				\$ (12.5)

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2020-21 First Quarter Update dated August 13, 2020.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR FIVE MONTHS ENDED AUGUST 31, 2020
(amounts in millions)

EXHIBIT D

CAPITAL PROJECTS FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Consumption/Use	\$ 181.0	\$ 189.0	\$ 196.2	\$ -	\$ 196.2	\$ 15.2
Business	195.0	198.0	208.5	-	208.5	13.5
Other	36.0	36.0	35.7	-	35.7	(0.3)
Miscellaneous Receipts	1,460.0	2,147.0	2,170.7	-	2,170.7	710.7
Federal Receipts	821.0	744.0	752.1	-	752.1	(68.9)
Bond and Note Proceeds, net	-	-	-	-	-	-
Transfers from Other Funds	1,955.0	1,105.0	843.2	-	843.2	(1,111.8)
Total Receipts and Other Financing Sources	4,648.0	4,419.0	4,206.4	-	4,206.4	(441.6)
DISBURSEMENTS:						
Local Assistance Grants	2,078.0	1,310.0	1,259.9	-	1,259.9	(818.1)
Capital Projects	3,801.0	3,162.0	2,904.4	-	2,904.4	(896.6)
Transfers to Other Funds	80.0	86.0	87.4	-	87.4	7.4
Total Disbursements and Other Financing Uses	5,959.0	4,558.0	4,251.7	-	4,251.7	(1,707.3)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,311.0)	(139.0)	(45.3)	-	(45.3)	1,265.7
Fund Balances (Deficits) at April 1	(1,035.0)	(1,035.0)	(1,034.9)	-	(1,034.9)	0.1
Fund Balances (Deficits) at August 31, 2020	\$ (2,346.0)	\$ (1,174.0)	\$ (1,080.2)	\$ -	\$ (1,080.2)	\$ 1,265.8

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2020-21 First Quarter Update dated August 13, 2020.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2020-2021
FOR FIVE MONTHS ENDED AUGUST 31, 2020
(amounts in millions)

EXHIBIT D

	STATE CAPITAL PROJECTS FUNDS				FEDERAL CAPITAL PROJECTS FUNDS					
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Consumption/Use	\$ 181.0	\$ 189.0	\$ 196.2	\$ 15.2	\$ 7.2	\$ -	\$ -	\$ -	\$ -	\$ -
Business	195.0	198.0	208.5	13.5	10.5	-	-	-	-	-
Other	36.0	36.0	35.7	(0.3)	(0.3)	-	-	-	-	-
Miscellaneous Receipts	1,460.0	2,147.0	2,170.4	710.4	23.4	-	-	0.3	0.3	0.3
Federal Receipts	-	-	-	-	-	821.0	744.0	752.1	(88.9)	8.1
Bond and Note Proceeds, net	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds	1,954.0	1,105.0	843.2	(1,110.8)	(261.8)	1.0	-	-	(1.0)	-
Total Receipts and Other Financing Sources	3,826.0	3,675.0	3,454.0	(372.0)	(221.0)	822.0	744.0	752.4	(69.6)	8.4
DISBURSEMENTS:										
Local Assistance Grants	1,812.0	1,111.0	1,072.3	(739.7)	(38.7)	266.0	199.0	187.6	(78.4)	(11.4)
Capital Projects	3,312.0	2,645.0	2,386.7	(925.3)	(258.3)	489.0	517.0	517.7	28.7	0.7
Transfers to Other Funds	80.0	85.0	87.4	7.4	2.4	-	1.0	-	-	(1.0)
Total Disbursements and Other Financing Uses	5,204.0	3,841.0	3,546.4	(1,657.6)	(284.6)	755.0	717.0	705.3	(49.7)	(11.7)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,378.0)	(166.0)	(92.4)	1,285.6	73.6	67.0	27.0	47.1	(19.9)	20.1
Fund Balances (Deficits) at April 1	(471.0)	(471.0)	(472.2)	(1.2)	(1.2)	(564.0)	(564.0)	(562.7)	1.3	1.3
Fund Balances (Deficits) at August 31, 2020	\$ (1,849.0)	\$ (637.0)	\$ (564.6)	\$ 1,284.4	\$ 72.4	\$ (497.0)	\$ (537.0)	\$ (515.6)	\$ (18.6)	\$ 21.4

(*) Source: 2020-21 Enacted Financial Plan dated April 25, 2020.

(**) Source: 2020-21 First Quarter Update dated August 13, 2020.

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		5 MOS. ENDED		MONTH OF		5 MOS. ENDED		MONTH OF		5 MOS. ENDED		MONTH OF		5 MOS. ENDED		MONTH OF		5 MOS. ENDED		\$ Increase/Decrease		% Increase/Decrease	
	AUG. 2020	AUG. 31, 2020	AUG. 2020	AUG. 31, 2020	AUG. 2020	AUG. 31, 2020	AUG. 2020	AUG. 31, 2020	AUG. 2020	AUG. 31, 2020	AUG. 2020	AUG. 31, 2020	AUG. 2020	AUG. 31, 2020	AUG. 2020	AUG. 31, 2020	AUG. 2019	AUG. 31, 2019						
PERSONAL INCOME TAX																								
Withholding	\$ 2,876.6	\$ 15,488.8	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,933.7	\$ 15,679.0	\$	\$	(190.2)	-1.2%		
Estimated Payments	121.3	8,225.8	-	-	-	-	-	-	-	-	-	-	-	-	-	-	98.7	9,568.6	(1,343.8)					
Returns	69.3	2,559.1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	45.1	2,502.0	57.1			2.3%		
State/City Offsets	(28.1)	(383.1)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	(20.9)	(395.8)	(12.7)			-3.2%		
Other (Assessments/LLC)	75.0	408.6	-	-	-	-	-	-	-	-	-	-	-	-	-	-	95.7	556.7	(148.1)			-26.6%		
Gross Receipts	3,114.1	26,299.2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,152.3	27,911.5	(1,612.3)			-5.8%		
Transfers to School Tax Relief Fund	(1,361.5)	(10,793.8)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%		
Transfers to Revenue Bond Tax Fund	(391.1)	(4,711.6)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	(243.8)	(4,761.5)	(49.9)			-1.0%		
Less: Refunds Issued	1,361.5	10,793.8	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2,908.5	23,150.0	(1,562.4)			-6.7%		
Total	536.5	2,403.7	73.6	343.4	536.3	2,401.9	536.3	2,401.9	536.3	2,401.9	536.3	2,401.9	43.6	196.2	1,312.1	5,891.1	1,414.4	7,330.1	(1,349.0)			-18.4%		
CONSUMPTION/USE TAXES																								
Sales and Use																								
Auto Rental	-	-	2.1	6.0	-	-	-	-	-	-	-	-	-	-	-	-	0.1	23.5	(1,302.7)				-20.2%	
Cigarette/Tobacco Products	26.6	134.2	60.4	309.5	-	-	-	-	-	-	-	-	-	-	-	-	92.2	457.2	(13.5)			-3.0%		
Medical Marijuana	-	-	0.8	3.2	-	-	-	-	-	-	-	-	-	-	-	-	0.4	2.3	0.9			39.1%		
Motor Fuel	-	-	9.1	35.4	-	-	-	-	-	-	-	-	33.4	130.0	-	-	42.5	165.4	(58.0)			-26.0%		
Alcoholic Beverage	23.1	120.0	-	-	-	-	-	-	-	-	-	-	-	-	-	-	19.5	112.0	8.0			7.1%		
Highway Use	-	-	0.1	0.2	-	-	-	-	-	-	-	-	10.2	55.4	-	-	10.7	60.0	(4.4)			-7.3%		
Vapor Excise	-	-	(0.1)	11.3	-	-	-	-	-	-	-	-	-	-	-	-	-	-	11.3			100.0%		
Opiod Excise	-	16.1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	16.1			100.0%		
Total	586.2	2,674.0	146.0	709.0	586.3	2,401.9	586.3	2,401.9	586.3	2,401.9	586.3	2,401.9	43.6	196.2	1,312.1	5,891.1	1,414.4	7,330.1	(1,349.0)			-18.4%		
BUSINESS TAXES																								
Corporation Franchise	18.0	980.5	11.7	289.6	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,355.2	(85.1)			-6.3%	
Corporation and Utilities	3.6	100.8	(1.4)	31.4	-	-	-	-	-	-	-	-	0.1	2.9	-	-	2.3	135.1	(17.3)			-11.4%		
Insurance	15.6	439.8	0.4	50.2	-	-	-	-	-	-	-	-	-	-	-	-	16.0	490.0	(115.3)			-19.0%		
Bank	40.4	128.1	6.1	20.9	-	-	-	-	-	-	-	-	-	-	-	-	46.5	149.0	146.4			5,630.8%		
Petroleum Business	-	-	38.7	163.1	-	-	-	-	-	-	-	-	48.3	205.6	-	-	87.0	368.7	(136.0)			-26.9%		
Total	77.6	1,649.2	55.5	555.2	-	-	-	-	-	-	-	-	48.4	208.5	181.5	2,412.9	103.5	2,620.2	(207.3)			-7.9%		
OTHER TAXES																								
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%		
Estate and Gift	55.8	475.5	-	-	-	-	-	-	-	-	-	-	-	-	-	-	55.8	475.5	109.8			30.0%		
Pari-Mutuel	1.4	4.1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2.2	7.0	(2.9)			-41.4%		
Real Estate Transfer	-	-	-	-	-	-	-	-	-	-	-	-	11.9	35.7	-	-	90.7	489.0	(200.4)			-41.0%		
Racing and Exhibitions	-	0.1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.1	0.9	(0.8)			-88.9%		
Employer Compensation Expense Tax	0.1	0.3	-	-	-	-	-	-	-	-	-	-	0.3	0.6	-	-	0.2	0.6	-			0.0%		
Total	57.3	480.0	-	-	-	-	-	-	-	-	-	-	11.9	35.7	125.7	768.9	135.0	863.2	(94.3)			-10.9%		
Total Tax Receipts	\$ 2,082.6	\$ 15,597.0	\$ 201.5	\$ 1,264.2	\$ 1,954.3	\$ 13,448.9	\$ 1,954.3	\$ 13,448.9	\$ 1,954.3	\$ 13,448.9	\$ 1,954.3	\$ 13,448.9	\$ 103.9	\$ 440.4	\$ 4,342.3	\$ 30,750.5	\$ 4,361.4	\$ 33,963.5	\$ (3,213.0)			-9.5%		

EXHIBIT

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

	2021												5 Months Ended August 31		\$ Increase/ (Decrease)	% Increase/ Decrease
	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019		
Revenues of State Departments:																
Administrative Recoveries:																
Commissions	25.0	8.8	25.4	9.1	8.9	-	-	-	8.9	-	-	-	77.2	51.7	25.5	48.3%
Gifts, Grants and Donations	0.6	(0.3)	0.2	0.2	-	-	-	-	-	-	-	-	(1.9)	2.6	(1.9)	-73.1%
Indirect Cost Recoveries	0.6	2.2	27.9	0.7	1.9	-	-	-	1.9	-	-	-	33.3	17.3	16.0	92.5%
Patient/Care Reimbursement	529.6	375.5	389.2	229.5	229.5	5.9	5.9	5.9	5.9	6.1	6.1	6.1	1,391.2	350.0	(4.7)	-13.4%
Reduction and Settlements	7.0	16.3	13.2	17.7	12.7	-	-	-	12.7	68.7	68.7	68.7	72.3	18.1	(5.6)	-7.7%
Student Loans	6.1	1.4	3.2	0.6	4.2	0.3	0.3	0.3	4.2	51.2	51.2	51.2	51.2	33.1	(5.6)	182.9%
All Other	(19.5)	10.7	30.0	75.6	46.8	6.8	6.8	6.8	6.8	23.9	23.9	23.9	143.6	270.5	(4.4)	-15.5%
Sales	0.5	0.6	2.6	3.0	0.6	-	-	-	0.6	7.3	7.3	7.3	11.6	11.6	(4.3)	-37.1%
Tuition	(67.5)	33.6	56.9	50.9	113.3	-	-	-	113.3	-	-	-	187.2	420.0	(232.8)	-55.4%
Total Miscellaneous Receipts	2,637.2	2,438.7	5,557.9	1,978.6	1,550.7	-	-	-	-	-	-	-	14,164.1	10,305.5	3,858.6	37.4%
Federal Receipts	10,883.1	4,207.0	7,520.2	5,423.2	4,591.2	-	-	-	-	-	-	-	32,604.7	26,362.7	6,242.0	23.7%
Total Receipts	17,158.3	9,765.3	20,227.0	19,894.2	10,484.2	-	-	-	-	-	-	-	77,519.3	70,631.7	6,887.6	9.8%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	1,149.2	4,132.7	3,964.9	759.2	1,070.5	-	-	-	-	-	-	-	11,116.5	11,484.7	(368.2)	-3.2%
Environment and Recreation	4.5	3.7	14.0	12.9	20.6	-	-	-	-	-	-	-	55.7	91.1	(35.4)	-38.9%
General Government	48.5	17.7	543.7	67.4	109.0	-	-	-	-	-	-	-	786.3	1,104.9	(318.6)	-28.8%
Public Health:																
Medicaid	5,410.3	5,069.6	6,082.5	5,357.6	5,292.8	-	-	-	-	-	-	-	27,242.8	27,833.8	(591.0)	-2.1%
Other Public Health	602.5	638.5	980.4	1,028.7	701.7	-	-	-	-	-	-	-	3,951.8	4,153.6	(201.8)	-4.9%
Public Safety	85.3	63.6	163.3	265.2	71.2	-	-	-	-	-	-	-	668.6	552.2	116.4	21.1%
Public Welfare	211.8	217.7	388.7	850.9	394.1	-	-	-	-	-	-	-	2,033.1	1,920.6	112.5	5.9%
Support and Regulate Business	48.1	15.1	35.9	26.7	84.5	-	-	-	-	-	-	-	210.3	539.0	(328.7)	-61.0%
Transportation	82.0	18.1	25.0	82.0	25.0	-	-	-	-	-	-	-	1,133.3	1,133.3	-	0.0%
Total Local Assistance Grants	7,660.2	10,276.5	12,246.0	9,234.0	8,224.0	-	-	-	-	-	-	-	47,643.7	49,531.0	(1,887.3)	-3.8%
Departmental Operations:																
Personal Service	1,589.5	1,135.9	1,116.4	1,278.8	1,053.9	-	-	-	-	-	-	-	6,154.5	6,428.4	(274.9)	-4.3%
Non-Personal Service	584.1	417.0	504.4	577.1	605.9	-	-	-	-	-	-	-	2,664.0	2,664.0	-	0.0%
General State Charges	535.2	395.0	2,621.5	471.9	414.0	-	-	-	-	-	-	-	4,437.6	4,770.8	(333.2)	-7.0%
Debt Service, Including Payments on	36.5	23.5	28.9	10.7	337.6	-	-	-	-	-	-	-	437.2	543.4	(106.2)	-19.5%
Financing Agreements	509.8	406.0	681.8	641.4	667.7	-	-	-	-	-	-	-	2,906.7	2,945.7	(39.0)	-1.3%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	10,895.3	12,656.9	17,198.0	12,213.9	11,303.1	-	-	-	-	-	-	-	64,268.2	66,786.3	(2,520.1)	-3.8%
Excess (Deficiency) of Receipts over Disbursements	6,263.0	(2,891.6)	3,028.3	7,670.3	(818.9)	-	-	-	-	-	-	-	13,251.1	3,843.4	9,407.7	244.8%
OTHER FINANCING SOURCES (USES):																
Bond and Note Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	1,063.1	1,863.4	4,185.9	5,857.2	1,882.7	-	-	-	-	-	-	-	14,847.3	18,905.3	(5,058.0)	-26.4%
Transfers to Other Funds	(1,068.5)	(1,860.9)	(4,240.9)	(5,983.1)	(1,884.6)	-	-	-	-	-	-	-	(14,926.0)	(18,983.1)	(5,057.1)	-26.3%
Total Other Financing Sources (Uses)	(34.4)	(2.9)	(65.0)	(5.9)	(11.9)	-	-	-	-	-	-	-	(78.7)	(77.8)	(0.9)	-1.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	6,228.6	(2,894.1)	2,973.3	7,664.4	(830.8)	-	-	-	-	-	-	-	13,172.4	3,765.6	9,406.8	243.8%
Ending Fund Balance	\$ 20,544.4	\$ 17,650.3	\$ 20,623.6	\$ 28,288.0	\$ 27,457.2	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 27,457.2	\$ 13,740.6	\$ 13,716.6	99.8%

(*) 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 2020-2021
(amounts in millions)

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	2020 \$	2019 \$	5 Months Ended August 31 \$	% Increase/ Decrease
Beginning Fund Balance	\$ 14,408.3	\$ 16,171.6	\$ 13,342.7	\$ 14,565.2	\$ 22,665.9								\$ 14,408.3	\$ 12,361.3	\$ 2,047.0	16.6%
RECEIPTS:																
Taxes:																
Personal Income Tax:																
Withholdings	3,187.3	2,928.3	3,096.3	3,400.3	2,876.6								15,488.8	15,679.0	(190.2)	-1.2%
Estimated Payments	211.6	70.9	1,469.0	6,326.0	121.3								8,225.8	9,569.6	(1,343.8)	-14.0%
Returns	339.1	124.7	260.9	1,785.1	69.3								2,559.1	2,502.0	57.1	2.3%
State City/Offices	(38.9)	(38.9)	(38.9)	(187.0)	(26.1)								(388.1)	(388.9)	(0.8)	-0.2%
State City/Offices (LLC)	(10.4)	(10.4)	(10.4)	(10.4)	(26.1)								(10.4)	(10.4)	0.0	0.0%
Gross Receipts	3,775.6	3,144.2	4,354.8	11,410.5	3,114.1								26,299.2	27,911.3	(1,612.3)	-5.8%
Transfers to School Tax Relief Fund	-	-	-	-	-								-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	-	-	-	-	-								-	-	-	0.0%
Refunds Issued	(1,709.4)	(845.0)	(468.3)	(1,179.9)	(391.1)								(4,711.6)	(4,711.6)	(49.9)	-1.0%
Total Personal Income Tax	2,066.2	2,199.2	4,386.5	10,230.7	2,723.0								21,587.6	23,150.0	(1,562.4)	-6.7%
Consumption/Use Taxes:																
Real Property Use	899.4	790.8	1,210.0	1,132.4	1,146.4								5,149.0	6,451.7	(1,302.7)	-20.2%
Auto Rental	(0.1)	(1.5)	3.4	2.1	2.1								6.0	6.0	0.0	100.0%
Cigarette/Tobacco Products	98.8	74.0	96.1	97.8	87.0								443.7	457.2	(13.5)	-3.0%
Medical Marijuana	0.5	0.6	0.7	0.6	0.8								3.2	2.3	0.9	39.1%
Motor Fuel	6.5	4.7	6.6	8.5	9.1								35.4	47.4	(12.0)	-25.3%
Alcoholic Beverage	26.7	21.4	22.8	26.0	23.1								120.0	112.0	8.0	7.1%
Highway Use	-	0.1	-	-	0.1								0.2	0.2	0.0	0.0%
Other Taxes	7.2	0.1	11.7	(0.4)	(0.1)								18.1	11.3	6.8	100.0%
Total Consumption/Use Taxes	1,009.0	890.2	1,341.3	1,275.9	1,288.5								5,794.9	7,070.8	(1,285.9)	-18.2%
Business Taxes:																
Corporation Franchise	254.4	(134.7)	557.5	563.2	29.7								1,270.1	1,355.2	(85.1)	-6.3%
Corporation and Utilities	15.5	(9.5)	94.3	29.7	2.2								132.2	147.3	(15.1)	-10.3%
Insurance	72.2	30.2	30.2	30.2	48.5								149.0	60.3	88.7	147.1%
Petroleum Business	30.3	17.6	37.7	38.8	36.7								163.1	221.7	(58.6)	-26.4%
Total Business Taxes	377.8	(117.5)	1,145.3	665.7	133.1								2,204.4	2,332.1	(127.7)	-5.5%
Other Taxes:																
Real Property Gains	-	-	-	-	-								-	-	-	0.0%
Estate and Gift	72.7	52.0	147.3	147.7	55.8								475.5	365.7	109.8	30.0%
Real Estate	0.2	0.2	0.2	0.2	0.4								0.8	0.8	0.0	0.0%
Real Estate Transfer	57.2	48.4	37.9	53.0	56.4								252.9	453.3	(200.4)	-44.2%
Racing and Exhibitions	0.1	-	-	-	-								0.1	0.9	(0.8)	-88.9%
Employee Compensation Expense Tax	0.2	(0.2)	0.2	0.2	0.2								0.6	0.6	0.0	0.0%
Total Other Taxes	130.9	100.4	186.2	201.9	113.8								733.2	827.5	(94.3)	-11.4%
Total Taxes	3,589.9	3,072.3	7,041.3	12,374.2	4,238.4								30,310.1	33,380.4	(3,070.3)	-9.2%
Miscellaneous Receipts:																
Abandoned Property	1.6	0.7	0.8	0.9	25.9								29.9	10.9	19.0	174.3%
Bottle Bill	0.7	0.3	20.6	(4.6)	0.1								17.1	9.1	8.0	87.9%
Assessments:																
Business	42.7	21.8	82.4	69.8	33.4								250.1	287.3	(37.2)	-12.9%
Medical Care	571.2	486.8	506.1	442.6	453.6								2,450.3	2,748.4	(298.1)	-10.8%
Other	-	0.1	0.4	4.4	0.4								0.1	0.5	(0.4)	-80.0%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	2.2	2.9	2.9	4.9	4.8								17.7	30.0	(12.3)	-41.0%
Audit Fees	-	-	0.1	0.2	0.7								1.0	2.4	(1.4)	-58.3%
Business/Professional	67.2	69.8	114.4	54.3	46.0								351.7	341.2	10.5	3.1%
Charitable	3.0	0.3	0.2	1.6	88.8								105.0	103.9	1.1	1.0%
Motor Vehicle	(82.0)	(33.2)	144.2	140.3	40.2								209.5	272.7	(63.2)	-23.2%
Recreational/Consumer	43.0	-	36.1	34.2	32.3								145.6	332.5	(186.9)	-56.2%
Fines, Penalties and Forfeitures	98.6	231.6	16.1	199.9	3.5								549.7	1,059.9	(509.2)	-48.1%
Gaming:																
Casino	-	-	-	20.8	185.9								20.8	122.9	(102.1)	-83.1%
Lottery	157.0	142.1	173.8	20.8	10.0								87.0	1,059.9	(972.9)	-90.9%
Video Lottery	-	0.6	-	(0.4)	-								394.3	394.3	0.0	0.0%
Interest Earnings	29.2	13.8	7.7	4.3	5.4								60.4	186.2	(125.8)	-67.6%
Receipts from Public Authorities:																
Bond Proceeds	-	1,000.0	3,500.0	-	-								4,500.0	-	4,500.0	100.0%
Cost Recovery Assessments	-	-	-	-	-								-	5.1	(5.1)	-100.0%

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	2020				2021				5 Months Ended August 31							
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019	\$ Increase / (Decrease)	% Increase / Decrease
Insurance Fees	0.5	1.4	25.5	24.7	-	-	-	-	-	-	-	-	52.1	25.1	27.0	107.6%
Non Bond Related	8.9	0.3	-	4.2	1.8	-	-	-	-	-	-	-	23.2	23.2	-	0.0%
Receipts from Municipalities	9.3	2.5	3.8	3.8	1.7	-	-	-	-	-	-	-	21.1	42.3	(21.2)	-50.1%
Rentals	(5.1)	(42.8)	(0.3)	2.0	4.0	-	-	-	-	-	-	-	106.8	(138.5)	(149.0)	-138.5%
Revenues of State Departments:																
Administrative Recoveries	25.0	8.8	25.4	8.1	8.9	-	-	-	-	-	-	-	77.2	51.7	25.5	48.3%
Commissions	0.6	(0.3)	0.2	0.2	-	-	-	-	-	-	-	-	0.7	0.7	0.7	100.0%
Asset Conversion	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Gifts, Grants and Donations	0.6	1.5	22.1	0.7	0.6	-	-	-	-	-	-	-	25.5	5.5	20.0	363.6%
Indirect Cost Recoveries	5.5	5.4	7.4	5.9	6.1	-	-	-	-	-	-	-	30.3	35.9	(5.6)	-15.6%
Patient/Client Care Reimbursement	528.5	372.8	350.6	227.5	221.8	-	-	-	-	-	-	-	1,689.2	1,081.5	617.7	57.1%
Rebates	0.1	6.6	5.7	10.2	5.3	-	-	-	-	-	-	-	30.4	30.4	(2.5)	-8.2%
Restitution and Settlements	0.1	0.4	0.6	0.2	41.8	-	-	-	-	-	-	-	46.9	16.7	30.2	180.8%
Student Loans	6.1	8.4	3.9	6.4	13.2	-	-	-	-	-	-	-	23.9	23.9	(1.4)	-15.5%
Other	(20.1)	8.0	16.2	76.3	46.5	-	-	-	-	-	-	-	155.3	23.9	131.4	549.8%
Sales	(20.1)	0.6	2.6	3.0	0.5	-	-	-	-	-	-	-	7.2	7.2	(0.2)	-2.7%
Tuition	(67.5)	33.6	55.9	113.3	-	-	-	-	-	-	-	-	420.0	420.0	(232.8)	-55.4%
Total Miscellaneous Receipts	1,431.2	2,321.8	5,133.0	1,602.8	1,399.1	-	-	-	-	-	-	-	11,887.7	9,115.0	2,772.1	30.4%
Federal Receipts	-	-	4.1	(4.1)	2.5	-	-	-	-	-	-	-	2.5	54.4	(51.9)	-95.4%
Total Receipts	5,015.1	5,394.1	12,178.4	13,972.7	5,640.0	-	-	-	-	-	-	-	42,200.3	42,550.4	(350.1)	-0.8%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	754.3	4,065.1	3,409.1	563.6	856.2	-	-	-	-	-	-	-	9,648.3	9,728.9	(80.6)	-0.8%
Environment and Recreation	0.1	0.3	-	0.2	(0.1)	-	-	-	-	-	-	-	0.5	1.1	(0.6)	-54.5%
General Government	16.1	4.6	500.0	20.4	33.6	-	-	-	-	-	-	-	574.7	718.6	(143.9)	-20.0%
Public Health:																
Alcoholism	757.7	1,757.9	2,467.4	2,048.9	1,869.5	-	-	-	-	-	-	-	8,913.3	11,107.7	(2,274.4)	-20.3%
Other Public Health	93.5	72.8	307.2	488.9	119.0	-	-	-	-	-	-	-	1,342.1	1,342.1	-	0.0%
Public Safety	20.9	11.1	4.5	16.9	29.4	-	-	-	-	-	-	-	92.8	148.1	(55.3)	-44.7%
Public Welfare	77.0	158.2	61.4	57.1	57.1	-	-	-	-	-	-	-	931.8	665.0	266.8	40.1%
Support and Regulate Business	4.6	7.1	9.0	5.4	11.0	-	-	-	-	-	-	-	37.1	80.8	(43.7)	-54.1%
Transportation	61.7	41.7	18.5	729.3	367.9	-	-	-	-	-	-	-	1,206.1	1,437.0	(230.9)	-16.1%
Total Local Assistance Grants	1,785.9	6,118.7	6,307.1	4,440.9	3,319.6	-	-	-	-	-	-	-	27,372.2	25,309.3	2,062.9	8.1%
Departmental Operations:																
General State Charges	1,494.8	1,094.1	955.5	1,114.0	990.1	-	-	-	-	-	-	-	5,639.3	6,167.2	(527.9)	-8.6%
Non-Personal Service	343.3	372.9	335.8	(398.2)	384.5	-	-	-	-	-	-	-	1,328.3	2,234.1	(905.8)	-40.5%
General State Charges	512.5	370.3	2,582.6	398.2	343.3	-	-	-	-	-	-	-	4,196.9	4,631.2	(434.3)	-9.4%
Debt Service, Including Payments on Financing Agreements	38.5	23.5	28.9	10.7	337.6	-	-	-	-	-	-	-	437.2	543.4	(106.2)	-19.5%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	4,373.0	7,970.3	10,709.9	5,645.6	5,375.1	-	-	-	-	-	-	-	34,073.9	38,895.2	(4,811.3)	-12.4%
Excess (Deficiency) of Receipts over Disbursements	642.1	(2,576.2)	1,468.5	8,327.1	294.9	-	-	-	-	-	-	-	8,126.4	3,665.2	4,461.2	121.7%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds (**)	1,939.1	1,674.9	3,796.1	5,367.5	1,326.8	-	-	-	-	-	-	-	14,104.4	17,947.3	(3,842.9)	-21.4%
Transfer to Other Funds (**)	(817.9)	(1,727.6)	(4,202.1)	(5,633.9)	(1,841.6)	-	-	-	-	-	-	-	(14,223.1)	(19,238.4)	(5,015.3)	-26.1%
Total Other Financing Sources (Uses)	1,121.2	(92.7)	(406.0)	(286.4)	(514.8)	-	-	-	-	-	-	-	(118.7)	(1,291.1)	1,172.4	90.8%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,763.3	(2,928.9)	1,062.5	8,060.7	(249.9)	-	-	-	-	-	-	-	8,007.7	2,374.1	5,633.6	237.3%
Ending Fund Balance	\$ 16,171.6	\$ 13,942.7	\$ 14,605.2	\$ 22,665.9	\$ 22,416.0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 22,416.0	\$ 14,735.4	\$ 7,680.6	52.1%
*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal funds) and Debt Service Funds. Eliminations between State and Federal Special Revenue Funds are not included.																

EXHIBIT F

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EXHIBIT F

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	2020	2019	\$ Increase/ (Decrease)	% Increase/ Decrease
Student Loans	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other	4.8	4.5	4.9	11.9	6.1	-	-	-	-	-	-	-	32.2	19.5	12.7	65.1%
Sales	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1.0%
Total Miscellaneous Receipts	37.3	1,254.0	3,752.2	342.3	166.1	-	-	-	-	-	-	-	5,551.9	1,434.6	4,117.3	287.0%
Federal Receipts	-	-	-	-	-	-	-	-	-	-	-	-	-	0.1	(0.1)	-100.0%
Total Receipts	1,882.6	2,694.5	7,631.3	6,691.8	2,248.7	-	-	-	-	-	-	-	21,148.9	18,274.3	2,874.6	15.7%
DISBURSEMENTS:																
Local Assistance Grants:																
Economic Development	754.2	4,030.1	3,112.1	563.3	856.3	-	-	-	-	-	-	-	9,316.0	9,377.2	(61.2)	-0.7%
Environment and Recreation	0.1	-	-	-	(0.1)	-	-	-	-	-	-	-	0.5	(0.5)	(0.5)	-100.0%
General Government	6.8	0.7	483.7	12.4	0.6	-	-	-	-	-	-	-	514.2	640.0	(125.8)	-19.7%
Public Health:																
Medicaid	229.4	1,283.6	2,466.9	1,220.8	1,431.8	-	-	-	-	-	-	-	6,632.5	8,672.6	(2,040.1)	-23.5%
Other Public Health	63.9	47.3	239.8	433.9	72.7	-	-	-	-	-	-	-	857.6	936.0	(78.4)	-8.4%
Public Safety	2.9	1.4	0.3	2.7	7.9	-	-	-	-	-	-	-	15.2	67.9	(52.7)	-77.6%
Public Welfare	76.9	158.0	61.4	577.5	57.1	-	-	-	-	-	-	-	930.9	661.4	269.5	40.7%
Support and Regulate Business	1.4	4.5	4.6	4.5	4.5	-	-	-	-	-	-	-	37.3	65.1	(27.8)	-42.6%
Transportation	0.1	-	-	24.5	12.7	-	-	-	-	-	-	-	37.3	65.1	(27.8)	-39.8%
Total Local Assistance Grants	1,138.9	5,527.8	6,378.8	2,839.9	2,443.3	-	-	-	-	-	-	-	18,328.7	20,486.2	(2,157.5)	-10.5%
Departmental Operations:																
Personal Service	883.7	691.3	564.6	738.8	663.2	-	-	-	-	-	-	-	3,551.6	3,960.1	(408.5)	-11.0%
Non-Personal Service	313.2	195.2	165.0	(506.7)	222.4	-	-	-	-	-	-	-	389.1	1,038.3	(650.2)	-62.6%
General State Charges	460.2	330.5	2,511.9	335.9	271.1	-	-	-	-	-	-	-	3,909.6	4,246.8	(340.2)	-8.0%
Total Disbursements	2,806.0	6,744.8	9,620.3	3,407.9	3,600.0	-	-	-	-	-	-	-	26,179.0	29,759.4	(3,580.4)	-12.0%
Excess (Deficiency) of Receipts over Disbursements	(923.4)	(4,050.3)	(1,989.0)	3,283.9	(1,351.3)	-	-	-	-	-	-	-	(5,030.1)	(11,485.1)	6,455.0	56.2%
OTHER FINANCING SOURCES (USES):																
Transfers from Revenue Bond Tax Fund	1,032.9	1,098.9	2,178.3	4,323.6	487.1	-	-	-	-	-	-	-	9,120.8	11,474.1	(2,353.3)	-20.5%
Transfers from LGAC / STRBTF	284.6	162.2	560.4	420.1	426.7	-	-	-	-	-	-	-	1,854.0	2,562.0	(708.0)	-28.2%
Transfers from CWICA Fund	43.8	48.4	37.5	50.5	52.3	-	-	-	-	-	-	-	232.5	430.1	(197.6)	-45.9%
Transfers from Other Funds	74.9	193.6	83.5	126.5	195.3	-	-	-	-	-	-	-	673.8	645.0	28.8	4.5%
Transfers to State Capital Projects	800.3	(203.8)	(312.4)	(306.1)	(565.6)	-	-	-	-	-	-	-	(587.6)	(1,063.5)	(1,065.9)	-64.5%
Transfers to All Other Capital Projects	-	-	(30.5)	(204.0)	-	-	-	-	-	-	-	-	(234.5)	(688.5)	(454.0)	-66.0%
Transfers to General Debt Service	(32.0)	1.7	(3.7)	(62.7)	4.0	-	-	-	-	-	-	-	(112.7)	(253.9)	(141.2)	-55.0%
Transfers to All Other State Funds	(142.5)	(23.9)	(670.7)	(62.4)	(105.9)	-	-	-	-	-	-	-	(1,337.7)	(1,471.3)	(133.6)	-9.1%
Total Other Financing Sources (Uses)	2,061.7	1,278.0	1,542.4	4,235.5	491.0	-	-	-	-	-	-	-	9,608.6	11,165.8	(1,557.2)	-13.9%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,138.3	(2,772.3)	(446.6)	7,519.4	(860.3)	-	-	-	-	-	-	-	4,578.5	(319.3)	4,897.8	1,533.9%
Ending Fund Balance	\$ 10,082.5	\$ 7,310.2	\$ 6,863.6	\$ 14,383.0	\$ 13,522.7	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 13,522.7	\$ 6,886.4	\$ 6,636.3	96.4%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT G

	2020												5 Months Ended August 31,		% Increase (Decrease)	% Increase (Decrease)
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019		
Beginning Fund Balance	\$ 6,312.1	\$ 11,234.0	\$ 11,140.2	\$ 14,472.7	\$ 13,232.7								\$ 6,312.1	\$ 3,842.4	\$ 2,469.7	64.3%
RECEIPTS:																
Taxes:																
Personal Income Tax	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Consumption/Use Taxes:																
Alcohol Use	99.3	61.2	65.6	72.7	70.6								543.4	462.7	(119.3)	-25.8%
Auto Rental	(0.1)	(1.5)	3.4	3.4	2.1								6.0	6.0	0.0%	-25.8%
Cigarette/Tobacco Products	68.8	51.3	60.2	68.8	60.4								309.5	319.2	(9.7)	-3.0%
Medical Marijuana	0.5	0.6	0.7	0.6	0.8								3.2	2.3	0.9	39.1%
Motor Fuel	6.5	4.7	6.6	8.5	9.1								35.4	47.4	(12.0)	-25.3%
Alcoholic Beverage	-	-	-	-	-								-	-	-	0.0%
Highway Sales Tax	-	-	-	-	-								-	-	-	0.0%
Vapor Excise	0.1	0.1	-	-	0.1								0.2	0.2	-	0.0%
Total Consumption/Use Taxes	156.0	186.5	148.2	152.3	146.0								769.8	831.8	(122.0)	-14.8%
Business Taxes:																
Corporation Franchise	57.0	(3.2)	110.1	114.0	11.7								289.6	342.3	(52.7)	-15.4%
Real Estate Transfer Tax	7.2	(0.4)	38.6	4.4	0.4								50.2	73.6	(23.4)	-31.8%
Insurance	1.3	0.6	12.9	-	6.1								20.9	3.9	17.0	435.9%
Bank	30.3	17.6	37.7	174.2	38.7								163.1	221.7	(58.6)	-26.4%
Petroleum Business	88.0	7.7	219.3	174.2	55.5								555.2	607.2	(52.0)	-8.6%
Total Business Taxes	254.0	114.2	368.0	326.5	201.5								1,264.2	1,510.0	(245.8)	-16.8%
Miscellaneous Receipts:																
Abandoned Property	1.2	0.7	0.6	0.9	0.8								4.4	4.8	(0.4)	-8.3%
Assessments:																
Business	46.7	62.4	82.6	71.5	41.0								304.2	344.6	(40.4)	-11.7%
Medical Care	569.3	464.7	504.4	440.8	461.5								2,440.7	2,733.5	(292.8)	-10.7%
Public Utilities	0.1	-	0.4	-	-								5.3	6.7	(1.4)	-20.9%
Other	-	-	-	-	-								-	0.2	(0.2)	-100.0%
Fees, Licenses and Permits:																
Auto Fees	-	-	0.1	0.2	0.7								1.0	2.4	(1.4)	-58.3%
Business/Professional	48.2	70.4	86.5	40.8	36.3								282.2	263.8	18.4	7.0%
Civil	3.2	2.4	2.6	1.4	6.1								15.7	20.2	(4.5)	-22.3%
Criminal	0.5	0.3	0.1	1.5	1.2								2.4	2.2	0.2	9.1%
Vehicle	1.8	1.6	3.0	30.5	27.0								132.6	132.6	0.0%	0.0%
Recreational/Consumer	43.0	-	36.0	34.3	31.8								145.1	324.9	(179.8)	-55.3%
Fines, Penalties and Forfeitures	10.0	5.8	1.6	14.0	0.4								31.8	199.2	(167.4)	-84.0%
Gaming:																
Casino	-	-	-	20.8	-								20.8	123.9	(102.1)	-83.1%
Lottery	157.0	142.1	173.6	242.5	195.9								911.0	1,011.0	(99.0)	-9.8%
Video Lottery	16.5	11.7	7.5	(0.4)	5.2								0.2	34.3	(34.1)	-99.9%
Interest Earnings	-	-	-	4.3	-								45.2	111.4	(66.2)	-59.4%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-								-	-	-	0.0%
Cost Recovery Assessments	0.5	1.4	5.3	-	-								7.2	7.2	-	0.0%
Non Bond Related	8.9	0.3	-	4.2	1.8								15.2	23.1	(7.9)	-34.2%
Receipts from Municipalities	9.3	2.2	3.7	3.7	1.6								20.5	24.3	(3.8)	-15.6%
Rentals	(5.3)	(42.9)	(0.4)	1.9	3.8								(42.9)	109.8	(148.7)	-140.5%
Revenue of State Departments:																
Departmental Recoveries	24.6	8.5	8.7	8.7	8.8								59.3	29.7	29.6	99.7%
Commissions	0.2	0.1	0.1	0.2	0.3								0.9	2.3	(1.4)	-60.9%
Commissions - Asset Conversion	-	-	-	-	-								-	-	-	0.0%
Gifts, Grants and Donations	0.6	1.5	22.1	0.7	0.6								25.5	5.5	20.0	363.6%
Indirect Cost Recoveries	483.0	305.7	305.9	198.8	167.0								1,461.2	846.3	(614.9)	-72.7%
Student Care Reimbursement	7.8	13.6	14.1	17.7	9.5								62.7	69.3	(6.6)	-9.5%
Rebates	3.7	0.4	0.6	0.1	41.8								46.6	16.5	30.1	182.4%
Restitution and Settlements	6.1	1.4	3.2	6.4	6.8								23.9	28.3	(4.4)	-15.5%
Student Loans	(24.6)	4.4	13.1	63.5	40.0								96.4	218.7	(122.3)	-55.9%
All Other	-	-	-	-	-								0.1	0.1	-	0.0%
Sales	1,361.9	1,187.7	1,347.4	1,223.8	1,133.3								6,243.6	7,545.7	(1,303.1)	-17.2%
Total Miscellaneous Receipts	1,361.9	1,187.7	1,347.4	1,223.8	1,133.3								6,243.6	7,545.7	(1,303.1)	-17.2%
Federal Receipts	10,777.4	4,104.3	7,352.3	5,214.1	4,404.5								31,852.6	25,683.1	6,169.5	24.0%
Total Receipts	12,393.3	5,326.2	9,067.7	6,765.4	5,899.8								39,362.4	34,747.8	4,614.6	13.3%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT G

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (1)	2020	2019	5 Months Ended August 31 (Decreases)	% Increase/ Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	383.0	102.6	847.9	234.9	213.2								-	1,781.6	2,062.1	(280.5)	-13.6%
Environment and Recreation	-	0.5	-	0.3	0.1								-	0.9	0.9	-	0.0%
General Government	11.3	6.1	8.5	19.0	39.4								-	84.3	105.7	(21.4)	-20.2%
Public Health:																	
Public Health	5,180.9	3,816.0	3,615.6	4,136.8	3,861.0								-	20,510.3	19,161.2	1,449.1	7.6%
Other Public Health	509.6	533.0	709.7	555.1	552.9								-	2,861.3	3,030.9	(169.6)	-5.6%
Public Safety	92.4	62.2	159.2	261.6	62.2								-	637.6	515.7	121.9	23.6%
Public Welfare	134.9	25.9	253.6	201.6	253.9								-	869.9	1,047.1	(177.2)	-16.9%
Support and Regulate Business	0.3	0.7	6.5	1.0	8.6								-	177.1	23.1	(154.0)	-85.0%
Transfers to Other Funds	6.3	0.3	70.9	709.4	345.5								-	1,107.1	1,324.3	(217.2)	-16.4%
Total Local Assistance Grants	6,377.9	4,591.7	5,623.6	6,126.4	5,341.5								-	28,055.1	27,344.3	710.8	2.6%
Departmental Operations:																	
Personal Service	675.8	444.6	551.8	540.0	390.7								-	2,602.9	2,439.3	163.6	6.7%
Non-Personal Service	270.9	220.9	327.3	1,078.0	380.6								-	1,603.7	1,603.7	0.0	0.0%
Capital Projects	73.0	64.5	109.6	136.0	145.9								-	529.1	321.0	208.1	64.8%
Total Disbursements	7,399.6	5,321.7	6,612.3	7,874.4	6,258.0								-	33,466.0	31,908.3	1,557.7	4.9%
Excess (Deficiency) of Receipts over Disbursements	4,993.7	4.5	2,455.4	(1,106.9)	(448.2)								-	5,896.4	2,839.5	3,056.9	107.7%
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	222.7	41.5	897.4	135.6	116.0								(100.3)	1,312.9	1,491.7	(178.8)	-13.0%
Transfers to Other Funds	(304.5)	(129.9)	(20.5)	(265.6)	(30.5)								100.3	(651.2)	(712.3)	(61.1)	-9.6%
Total Other Financing Sources (Uses)	(81.8)	(88.3)	877.1	(131.0)	85.7								-	661.7	779.4	(117.7)	-15.1%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	4,911.9	(83.8)	3,332.5	(1,240.9)	(362.5)								-	6,558.1	3,618.9	2,939.2	81.2%
Ending Fund Balance	\$ 11,224.0	\$ 11,140.2	\$ 14,472.7	\$ 13,232.7	\$ 12,870.2								\$ -	\$ 12,870.2	\$ 7,461.3	\$ 5,408.9	73.5%

(1) 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 2020-2021
(amounts in millions)

EXHIBIT G

	2020		2021							5 Months Ended August 31		% Increase/ Decrease				
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY		MARCH	2020	2019	\$ Increase/ (Decrease)
Beginning Fund Balance	\$ 5,400.7	\$ 5,996.2	\$ 5,710.4	\$ 7,246.4	\$ 6,679.9								\$ 5,400.7	\$ 5,090.8	\$ 309.9	6.1%
RECEIPTS:																
Taxes:																
Personal Income Tax	-	-	-	-	-								-	-	-	0.0%
Consumption/Use Taxes:																
Sales and Use	80.3	51.2	65.6	72.7	73.6								343.4	462.7	(119.3)	-25.8%
Auto Rental	(0.1)	(1.5)	3.4	2.1	2.1								6.0	-	6.0	100.0%
Cigarette/Tobacco Products	68.8	51.3	60.2	68.8	60.4								309.5	319.2	(8.7)	-3.0%
Medical Marijuana	0.5	0.7	0.6	0.6	0.8								3.2	2.3	0.9	38.1%
Motor Fuel	6.5	4.7	6.6	8.5	9.1								35.4	47.4	(12.0)	-25.3%
Alcoholic Beverage	-	-	-	-	-								-	-	-	0.0%
Highway Use	-	0.1	-	-	0.1								0.2	0.2	-	0.0%
Vapor Tax	-	-	11.7	(0.4)	(0.1)								11.3	10.9	0.4	3.6%
Total Consumption/Use Taxes	156.0	106.5	148.2	152.3	146.0								768.0	831.8	(122.8)	-14.8%
Business Taxes																
Corporation Franchise	57.0	(3.2)	110.1	114.0	11.7								289.6	342.3	(52.7)	-15.4%
Corporation and Utilities	2.2	(6.9)	20.5	17.0	(1.4)								31.4	45.7	(14.3)	-31.3%
Insurance	7.2	(0.4)	38.6	4.4	0.4								50.2	73.6	(23.4)	-31.8%
Bank	1.3	0.6	12.9	-	6.1								20.9	3.9	17.0	435.9%
Petroleum Business	30.3	17.6	37.7	38.8	38.7								163.1	221.7	(58.6)	-26.4%
Total Business Taxes	98.0	7.7	219.8	174.2	55.5								687.2	837.2	(150.0)	-19.2%
Total Taxes	254.0	114.2	368.0	326.5	201.5								1,264.2	1,519.0	(254.8)	-16.8%
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	1.2	0.7	0.8	0.9	0.8								4.4	4.8	(0.4)	-8.3%
Assessments:																
Business	42.7	21.8	82.4	69.8	33.4								250.1	287.3	(37.2)	-12.9%
Medical Care	569.3	464.7	504.4	440.8	461.5								2,440.7	2,733.5	(292.8)	-10.7%
Public Utilities	0.1	-	0.4	4.4	0.4								5.3	6.7	(1.4)	-20.9%
Other	-	-	-	-	-								-	0.2	(0.2)	-100.0%
Fees, Licenses and Permits:																
Audit Fees	-	-	0.1	0.2	0.7								1.0	2.4	(1.4)	-58.3%
Business/Professional	48.2	70.4	86.5	40.8	36.3								282.2	263.8	18.4	7.0%
Civil	3.2	2.4	2.6	1.4	6.1								15.7	20.2	(4.5)	-22.3%
Criminal	0.5	0.3	0.1	1.5	-								2.2	0.2	2.0	9.1%
Motor Vehicle	18.4	15.8	17.0	30.6	27.0								108.8	133.1	(24.3)	-18.3%
Recreational/Consumer	43.0	-	36.0	34.3	31.8								145.1	34.9	(179.8)	-55.3%
Fines, Penalties and Forfeitures	9.7	5.6	1.4	13.8	0.2								30.7	196.1	(165.4)	-84.3%
Gaming:																
Casino	-	-	-	20.8	-								20.8	122.9	(102.1)	-83.1%
Lottery	157.0	142.1	173.8	202.2	195.9								871.0	1,078.6	(207.6)	-19.2%
Video Lottery	-	0.6	-	(0.4)	-								0.2	384.3	(384.1)	-98.9%
Interest Earnings	13.5	7.8	6.1	3.4	4.0								34.8	99.7	(64.9)	-85.1%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-								-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	-								-	-	-	0.0%
Insurance Fees	0.5	1.4	5.3	-	-								7.2	7.2	-	0.0%
Non Bond Related	8.9	0.3	-	4.2	1.8								15.2	23.1	(7.9)	-34.2%
Receipts from Municipalities	9.3	2.2	3.7	3.7	1.6								20.5	24.3	(3.8)	-15.6%
Rentals	(5.3)	(42.9)	(0.4)	1.9	3.8								(42.9)	105.8	(148.7)	-140.5%
Revenues of State Departments:																
Administrative Recoveries	24.6	8.5	8.7	8.7	8.8								59.3	29.7	29.6	99.7%
Commissions	0.2	0.1	0.1	0.2	0.3								0.9	2.3	(1.4)	-60.9%
Commissions - Asset Conversion	-	-	-	-	-								-	-	-	0.0%
Gifts, Grants and Donations	0.6	1.5	22.1	0.7	0.6								25.5	5.5	20.0	363.6%
Indirect Cost Recoveries	-	-	-	-	-								-	-	0.9	100.0%
Patient/Client Care Reimbursement	483.0	305.7	305.8	188.8	167.9								1,461.2	843.9	617.3	73.1%
Rebates	0.1	4.9	6.6	10.2	2.1								23.9	27.6	(3.7)	-13.4%
Restitution and Settlements	3.7	0.4	0.6	0.1	41.8								46.6	16.5	30.1	182.4%
Student Loans	6.1	4.4	3.2	6.4	6.8								28.3	28.3	-	0.0%
Other	(24.9)	4.1	13.1	63.4	39.4								95.1	218.1	(123.0)	-15.5%
Sales	0.5	0.6	0.8	0.7	0.5								3.1	7.4	(4.3)	-58.1%
Tuition	(67.5)	33.6	56.9	50.9	113.3								187.2	420.0	(232.8)	-55.4%
Total Miscellaneous Receipts	1,346.6	1,054.0	1,338.1	1,214.4	1,188.8								6,139.9	7,431.3	(1,291.4)	-17.4%
Federal Receipts	-	-	4.1	(4.1)	2.5								-	17.5	(15.0)	-85.7%
Total Receipts	1,600.6	1,168.2	1,710.2	1,536.8	1,390.8								7,406.6	8,967.8	(1,561.2)	-17.4%

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	2020	2019	\$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	0.1	35.0	297.0	0.3	(0.1)								322.3	351.7	(29.4)	-5.5%
Environment and Recreation	-	0.3	-	0.2	-								0.5	0.6	(0.1)	-16.7%
General Government	9.3	3.9	6.3	8.0	33.0								60.5	78.6	(18.1)	-23.0%
Public Health:																
Medicaid	528.3	474.2	30.5	823.1	424.7								2,280.8	2,515.1	(234.3)	-9.3%
Other Public Health	29.6	25.5	67.4	52.2	45.3								220.0	406.1	(186.1)	-45.8%
Public Safety	18.0	9.7	4.2	14.2	21.5								67.6	80.2	(12.6)	-15.7%
Public Welfare	0.1	0.2	-	0.6	-								0.9	3.6	(2.7)	-75.0%
Support and Regulate Business	-	0.4	4.4	0.6	6.7								12.1	19.3	(6.2)	-33.9%
Transportation	61.2	4.4	3.3	70.6	34.7								1,121.1	1,371.8	(250.7)	-19.0%
Total Local Assistance Grants	647.0	580.9	428.3	1,691.0	878.3								4,143.5	4,323.1	(179.6)	-4.2%
Departmental Operations:																
Personal Service	801.1	393.6	390.9	375.2	326.9								2,087.7	2,177.1	(89.4)	-4.1%
Non-Personal Service	230.1	176.8	158.7	192.7	159.2								1,173.8	1,173.8	(256.3)	-21.8%
General State Charges	52.3	39.8	70.7	52.3	72.2								287.3	381.4	(94.1)	-24.7%
Capital Projects	-	-	-	-	-								-	-	-	0.0%
Total Disbursements	1,530.5	1,201.1	1,048.6	2,221.2	1,434.6								7,436.0	8,561.4	(1,125.4)	-13.1%
Excess (Deficiency) of Receipts over Disbursements	70.1	(32.9)	661.6	(684.4)	(43.8)								(29.4)	406.4	(435.8)	-107.2%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	222.7	41.5	897.4	135.6	116.0								1,413.2	1,835.7	(422.5)	-23.0%
Transfers to Other Funds	2.7	5.6	(23.0)	(17.7)	(3.3)								(35.7)	(228.2)	(192.5)	-84.4%
Total Other Financing Sources (Uses)	225.4	47.1	874.4	117.9	112.7								1,377.5	1,607.5	(230.0)	-14.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	295.5	14.2	1,536.0	(566.5)	68.9								1,346.1	2,013.9	(665.8)	-33.1%
Ending Fund Balance	\$ 5,696.2	\$ 5,710.4	\$ 7,246.4	\$ 6,679.9	\$ 6,748.8	\$ 6,748.8	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 6,748.8	\$ 7,104.7	\$ (355.9)	-5.0%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT G

	5 Months Ended August 31												% Increase/ Decrease		
	2020	2019													
	\$	911.4	\$	(1,248.4)									\$	2,159.8	173.0%
Beginning Fund Balance															
RECEIPTS:															
Miscellaneous Receipts:															
Abandoned Property	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Assessments:															
Business	4.0	40.6	0.2	1.7	7.6	-	-	-	-	-	-	-	57.3	(3.2)	
Medical Care	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Public Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Fees, Licenses and Permits:															
Business/Professional	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Criminal	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Motor Vehicle	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Recreational/Consumer	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Fines, Penalties and Forfeitures	0.3	0.2	0.2	0.2	0.2	-	-	-	-	-	-	-	3.1	(2.0)	
Interest Earnings	3.0	3.9	1.4	0.9	1.2	-	-	-	-	-	-	-	11.7	(1.3)	
Receipts from Public Authorities:															
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Cost Recovery Assessments	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Insurance Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Non Bond Related	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Receipts from Municipalities	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Rentals	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Revenues of State Departments:															
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Commissions	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Patient/Client Care Reimbursement	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Rebates	7.7	8.7	7.5	7.5	7.4	-	-	-	-	-	-	-	41.7	(2.9)	
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Student Loans	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
All Other	0.3	0.3	-	0.1	0.6	-	-	-	-	-	-	-	0.6	0.7	
Sales	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Tuition	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Total Miscellaneous Receipts	15.3	53.7	9.3	10.4	17.0	-	-	-	-	-	-	-	114.4	(8.7)	
Federal Receipts	10,777.4	4,104.3	7,348.2	5,218.2	4,402.0	-	-	-	-	-	-	-	25,665.6	-7.6%	
Total Receipts	10,792.7	4,158.0	7,357.5	5,228.6	4,419.0	-	-	-	-	-	-	-	25,780.0	6,175.8	
														24.1%	
														24.0%	

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT G

	2020	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021	JANUARY	FEBRUARY	MARCH	2020	2019	5 Months Ended August 31	% Increase/ Decrease
	APRIL															(Decrease)	
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	382.9	67.6	500.9	234.6	213.3									1,449.3	1,710.4	(261.1)	-15.3%
Environment and Recreation	-	0.2	-	0.1	0.1									0.4	0.3	0.1	33.3%
General Government	2.0	2.2	2.2	11.0	6.4									23.8	27.1	(3.3)	-12.2%
Public Health:																	
Medicaid	4,652.6	3,341.8	3,585.1	3,313.7	3,436.3									18,329.5	16,646.1	1,683.4	10.1%
Other Public Health	480.0	507.5	842.3	503.9	507.6									2,641.3	2,524.8	116.5	4.6%
Public Safety	74.4	52.5	155.0	247.4	40.7									2,570.0	435.5	134.5	30.9%
Public Welfare	134.8	25.7	253.6	201.0	253.9									869.0	1,043.5	(174.5)	-16.7%
Support and Regulate Business	0.3	0.3	2.1	0.4	1.9									23.3	4.8	0.2	4.2%
Transportation	3.9	3.0	4.1	7.3	5.0									22.7	22.7	0.0	0.0%
Total Local Assistance Grants	5,730.9	4,000.8	5,195.3	4,519.4	4,465.2	-	-	-	-	-	-	-	-	23,911.6	22,515.2	1,396.4	6.2%
Departmental Operations:																	
Personal Service	74.7	51.0	160.9	164.8	63.8									515.2	262.2	253.0	96.9%
Non-Personal Service	40.8	44.1	168.6	885.3	221.4									1,360.2	428.9	930.3	216.4%
General State Charges	22.7	24.7	38.9	85.7	70.7									240.7	136.6	104.1	72.4%
Capital Projects	-	-	-	-	2.3									2.3	-	2.3	100.0%
Total Disbursements	5,869.1	4,120.6	5,563.7	5,653.2	4,823.4	-	-	-	-	-	-	-	-	26,030.0	23,346.9	2,683.1	11.5%
Excess (Deficiency) of Receipts over Disbursements	4,923.6	37.4	1,793.8	(424.6)	(404.4)	-	-	-	-	-	-	-	-	5,925.8	2,433.1	3,492.7	143.5%
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	-	-	-	-	-									-	-	-	0.0%
Transfers to Other Funds	(307.2)	(135.4)	2.7	(248.9)	(27.0)									(715.8)	(828.1)	(112.3)	-13.8%
Total Other Financing Sources (Uses)	(307.2)	(135.4)	2.7	(248.9)	(27.0)	-	-	-	-	-	-	-	-	(715.8)	(828.1)	(112.3)	-13.6%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	4,616.4	(98.0)	1,796.5	(673.5)	(431.4)	-	-	-	-	-	-	-	-	5,210.0	1,605.0	3,605.0	224.6%
Ending Fund Balance	\$ 5,527.8	\$ 5,428.8	\$ 7,226.3	\$ 6,552.8	\$ 6,121.4	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 6,121.4	\$ 3,566.6	\$ 5,764.8	1,616.6%

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT H

	2021												5 Months Ended August 31			% Increase/ Decrease
	2021												2020			
	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020 \$	2019 \$	\$ (Decrease)	
Beginning Fund Balance	\$ 63.4	\$ 392.9	\$ 522.1	\$ 495.2	\$ 1,603.0								\$ 63.4	\$ 64.8	\$ (1.4)	-2.2%
RECEIPTS:																
Taxes:																
Personal Income Tax	1,033.1	1,099.6	2,184.2	5,115.4	1,361.5								10,793.8	11,575.0	(781.2)	-6.7%
Consumption/Use Taxes:																
Sales and Use	394.2	369.7	572.0	529.7	536.3								2,401.9	2,993.2	(591.3)	-19.8%
Total Consumption/Use Taxes	394.2	369.7	572.0	529.7	536.3								2,401.9	2,993.2	(591.3)	-19.8%
Other Taxes:																
Real Estate Transfer	57.2	48.4	37.9	53.0	56.4								252.9	453.3	(200.4)	-44.2%
Employer Compensation Expense Tax	0.1	(0.1)	0.1	0.1	0.1								0.3	0.3	-	0.0%
Total Other Taxes	57.3	48.3	38.0	53.1	56.5								253.2	453.6	(200.4)	-44.2%
Total Taxes	1,484.6	1,517.6	2,794.2	5,698.2	1,954.3								13,448.9	15,021.8	(1,572.9)	-10.5%
Miscellaneous Receipts:																
Assessments:																
Medical Care	-	-	-	-	-								-	-	-	0.0%
Fees, Licenses and Permits:													-	-	-	0.0%
Alcohol Beverage Control Licensing	-	-	-	-	-								-	-	-	0.0%
Business/Professional	-	-	-	-	-								-	-	-	0.0%
Civil	-	-	-	-	-								-	-	-	0.0%
Criminal	-	-	-	-	-								-	-	-	0.0%
Motor Vehicle	-	-	-	-	-								-	-	-	0.0%
Recreational/Consumer	-	-	-	-	-								-	-	-	0.0%
Interest Earnings	0.1	0.1	-	-	-								0.2	1.1	(0.9)	-81.8%
Receipts from Municipalities	-	0.3	0.1	0.1	-								0.5	1.3	(0.8)	-61.5%
Rentals	-	-	-	-	-								-	-	-	0.0%
Revenues of State Departments:																
Patient/Client Care Reimbursement	47.2	13.4	42.6	45.8	46.2								195.2	247.3	(52.1)	-21.1%
All Other	-	-	-	-	-								-	-	-	0.0%
Sales	-	-	-	-	-								-	-	-	0.0%
Total Miscellaneous Receipts	47.3	13.8	42.7	45.9	46.2								195.9	249.7	(53.8)	-21.5%
Federal Receipts	-	-	-	-	-								-	-	-	-100.0%
Total Receipts	1,531.9	1,531.4	2,836.9	5,744.1	2,000.5								13,644.8	15,308.3	(1,663.5)	-10.9%
DISBURSEMENTS:																
Departmental Operations:																
Non-Personal Service	-	0.9	12.1	5.8	2.9								21.7	21.0	0.7	3.3%
Debt Service, Including Payments on Financing Agreements	36.5	23.5	28.9	10.7	337.6								437.2	543.4	(106.2)	-19.5%
Total Disbursements	36.5	24.4	41.0	16.5	340.5								458.9	564.4	(105.5)	-18.7%
Excess (Deficiency) of Receipts over Disbursements	1,495.4	1,507.0	2,795.9	5,727.6	1,660.0								13,185.9	14,743.9	(1,558.0)	-10.6%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	280.2	130.3	39.0	311.2	49.4								810.1	980.4	(170.3)	-17.4%
Transfers to Other Funds	(1,446.1)	(1,508.1)	(2,861.8)	(4,931.0)	(1,167.9)								(11,914.9)	(15,044.8)	(3,129.9)	-20.8%
Total Other Financing Sources (Uses)	(1,165.9)	(1,377.8)	(2,822.8)	(4,619.8)	(1,118.5)								(11,104.8)	(14,064.4)	2,959.6	21.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses																
	329.5	129.2	(26.9)	1,107.8	541.5								2,081.1	679.5	1,401.6	206.3%
Ending Fund Balance	\$ 392.9	\$ 522.1	\$ 495.2	\$ 1,603.0	\$ 2,144.5	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,144.5	\$ 744.3	\$ 1,400.2	188.1%

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT I

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	5 Months Ended August 31			% Increase/ Decrease
	\$ (1,034.9)	\$ (1,155.0)	\$ (1,322.2)	\$ (1,207.9)	\$ (930.7)									2020 \$ (1,034.9)	2019 \$ (1,137.9)	\$ (Decrease)	
Beginning Fund Balance																	
RECEIPTS:																	
Taxes:																	
Consumption/Use Taxes:																	
Auto Rental	0.6	0.1	10.1	-	-	-	-	-	-	-	-	-	-	10.8	23.5	(12.7)	-54.0%
Motor Fuel	23.8	16.7	24.9	31.2	33.4	-	-	-	-	-	-	-	-	130.0	176.0	(46.0)	-26.1%
Highway Use	11.6	8.8	12.4	12.4	10.2	-	-	-	-	-	-	-	-	55.4	58.9	(3.4)	-5.7%
Total Consumption/Use Taxes	36.0	25.6	47.4	43.6	43.6	-	-	-	-	-	-	-	-	196.2	293.3	(93.1)	-24.3%
Business Taxes:																	
Corporate Franchise	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Corporation and Utilities	0.1	(1.5)	0.6	3.6	0.1	-	-	-	-	-	-	-	-	2.9	5.1	(2.2)	-43.1%
Petroleum Business	38.0	22.2	48.0	49.1	48.3	-	-	-	-	-	-	-	-	205.6	263.0	(77.4)	-27.3%
Total Business Taxes	38.1	20.7	48.6	52.7	48.4	-	-	-	-	-	-	-	-	208.5	268.1	(79.6)	-27.6%
Other Taxes:																	
Real Estate Transfer	-	-	11.9	11.9	11.9	-	-	-	-	-	-	-	-	35.7	35.7	-	0.0%
Total Other Taxes	-	-	11.9	11.9	11.9	-	-	-	-	-	-	-	-	35.7	35.7	-	0.0%
Total Taxes	74.1	46.3	107.9	108.2	103.9	-	-	-	-	-	-	-	-	440.4	583.1	(142.7)	-24.5%
Miscellaneous Receipts:																	
Abandoned Property:																	
Bottle Bill	-	-	-	23.0	-	-	-	-	-	-	-	-	-	23.0	23.0	-	0.0%
Assessments:																	
Business:	7.9	3.6	5.4	7.0	7.6	-	-	-	-	-	-	-	-	31.5	44.9	(13.4)	-29.8%
Fees, Licenses and Permits:																	
Business/Professional	1.8	2.1	1.6	1.3	9.3	-	-	-	-	-	-	-	-	16.1	23.3	(7.2)	-30.9%
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Motor Vehicle	52.2	33.2	43.1	60.6	63.4	-	-	-	-	-	-	-	-	252.5	326.1	(73.6)	-22.6%
Recreational/Consumer	-	-	0.5	-	11.0	-	-	-	-	-	-	-	-	11.5	0.3	11.2	3,733.3%
Fines, Penalties and Forfeitures	2.0	1.9	2.0	1.2	3.2	-	-	-	-	-	-	-	-	10.3	10.0	0.3	3.0%
Interest Earnings	0.7	0.5	0.1	-	0.1	-	-	-	-	-	-	-	-	1.4	5.2	(3.8)	-73.1%
Receipts from Public Authorities:																	
Bond Proceeds	1,122.1	19.1	342.4	289.9	32.4	-	-	-	-	-	-	-	-	1,785.9	584.5	1,201.4	205.5%
Insurance Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related	0.1	-	0.5	0.1	0.5	-	-	-	-	-	-	-	-	0.2	3.9	(3.7)	-89.2%
Receipts from Municipalities	-	-	0.1	-	-	-	-	-	-	-	-	-	-	0.1	0.9	(0.8)	-88.9%
Revenues of State Departments:	0.5	1.1	2.1	2.2	3.8	-	-	-	-	-	-	-	-	9.7	4.4	5.3	120.9%
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Gifts, Grants and Donations	-	0.7	5.8	-	1.3	-	-	-	-	-	-	-	-	7.8	11.8	(4.0)	-33.9%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	(0.9)	0.9	100.0%
Rebates	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.2	(0.2)	-100.0%
Restitution and Settlements	3.1	0.2	-	0.1	0.9	-	-	-	-	-	-	-	-	4.3	1.4	2.9	207.1%
All Other	0.3	1.8	12.0	0.2	0.7	-	-	-	-	-	-	-	-	15.0	32.3	(17.3)	-53.6%
Sales	-	-	-	-	-	-	-	-	-	-	-	-	-	0.1	4.2	(4.1)	-97.6%
Total Miscellaneous Receipts	1,190.7	64.2	415.6	365.6	134.6	-	-	-	-	-	-	-	-	2,170.7	1,075.5	1,095.2	49.8%
Federal Receipts	85.7	102.7	167.9	209.1	186.7	-	-	-	-	-	-	-	-	752.1	642.7	109.4	17.0%
Total Receipts	1,350.5	213.2	691.4	682.9	425.2	-	-	-	-	-	-	-	-	3,363.2	2,301.3	1,061.9	46.1%

EXHIBIT I

	2020	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	2020	2019	5 Months Ended August 31 Increase/ Decrease	% Increase/ Decrease
	APRIL	MAY							JANUARY						(Decrease)	
DISBURSEMENTS:																
Local Assistance Grants:																
Education	12.0	-	4.9	1.0	1.0							-	18.9	45.4	(26.5)	-58.4%
Environment and Recreation	4.4	3.2	14.0	12.6	20.6							-	54.8	89.7	(34.9)	-38.9%
General Government	30.4	10.9	41.5	36.0	69.0							-	187.8	359.2	(171.4)	-47.7%
Public Health:																
Medicaid	-	-	-	-	-							-	-	-	-	0.0%
Caregiver Public Health	29.0	59.2	30.9	36.7	76.1							-	232.9	198.7	44.2	24.7%
Other Public Health	-	-	3.8	0.9	1.1							-	5.8	9.6	(3.8)	-39.6%
Public Safety	-	33.8	73.7	71.7	53.1							-	232.3	112.1	120.2	107.2%
Public Welfare	43.2	7.7	24.8	20.9	71.6							-	168.2	453.4	(285.2)	-62.9%
Support and Regulate Business	24.4	46.2	50.0	91.9	146.7							-	359.2	450.4	(91.2)	-20.2%
Transportation	143.4	180.0	243.6	273.7	439.2							-	1,259.9	1,706.5	(446.6)	-26.2%
Total Local Assistance Grants																
Departmental Operations:																
Personal Service	-	-	-	-	-							-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-							-	-	-	-	0.0%
Grants	-	-	-	-	-							-	-	-	-	0.0%
General State Charges	509.8	406.0	681.8	641.4	695.4							-	2,904.4	2,849.7	54.7	1.9%
Capital Projects																
Total Disbursements	653.2	566.0	925.4	915.1	1,104.6							-	4,164.3	4,556.2	(391.9)	-8.6%
Excess (Deficiency) of Receipts over Disbursements	697.3	(352.8)	(234.0)	(232.2)	(679.4)							-	(801.1)	(2,254.9)	1,453.8	64.5%
OTHER FINANCING SOURCES (USES):																
Borrowings (net)	-	-	-	-	-							-	-	-	-	0.0%
Transfers from Other Funds	(805.1)	198.0	360.6	523.4	566.3							-	843.2	2,302.0	(1,458.8)	-53.4%
Transfers to Other Funds	(12.3)	(12.4)	(12.3)	(14.0)	(36.4)							-	(67.4)	(250.6)	(173.2)	-66.5%
Total Other Financing Sources (Uses)	(817.4)	185.6	348.3	509.4	529.9							-	755.8	2,041.4	(1,285.6)	-63.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(120.1)	(167.2)	114.3	277.2	(149.5)							-	(45.3)	(213.5)	168.2	78.8%
Initial Fund Balance	\$ (1,155.0)	\$ (1,322.2)	\$ (1,207.9)	\$ (930.7)	\$ (1,080.2)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (1,080.2)	\$ (1,351.4)	\$ 271.2	20.1%

(A) Intra-Fund transfer eliminations represent transfers from Capital Projects-State and Federal Funds.

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT I

	5 Months Ended August 31												
	2020	\$ Increase/ Decrease											
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ (472.2)	\$ (598.4)	\$ (754.3)	\$ (629.3)	\$ (389.5)								
RECEIPTS:													
Taxes:													
Consumption/Use Taxes													
Auto Rental	0.6	0.1	10.1	-	-								
Motor Fuel	23.8	16.7	24.9	31.2	33.4								
Highway Use	11.6	8.8	12.4	12.4	10.2								
Total Consumption/Use Taxes	36.0	25.6	47.4	43.6	43.6								
Business Taxes													
Corporation Franchise	-	-	-	-	-								
Corporation and Utilities	0.1	(1.5)	0.6	3.6	0.1								
Petroleum Business	38.0	22.2	48.0	49.1	48.3								
Total Business Taxes	38.1	20.7	48.6	52.7	48.4								
Other Taxes													
Real Estate Transfer	-	-	11.9	11.9	11.9								
Total Other Taxes	-	-	11.9	11.9	11.9								
Total Taxes	74.1	46.3	107.9	108.2	103.9								
Miscellaneous Receipts:													
Abandoned Property:													
Bottle Bill	-	-	-	23.0	-								
Assessments:													
Business	7.9	3.6	5.4	7.0	7.6								
Fees, Licenses and Permits:													
Business/Professional	1.8	2.1	1.6	1.3	9.3								
Civil	-	-	-	-	-								
Motor Vehicle	52.2	33.2	43.1	60.6	63.4								
Recreational/Consumer	-	-	0.5	-	11.0								
Fines, Penalties and Forfeitures	2.0	1.9	2.0	1.2	3.2								
Interest Earnings	0.7	0.5	0.1	-	0.1								
Receipts from Public Authorities:													
Bond Proceeds	1,122.1	19.1	342.4	269.9	32.4								
Issuance Fees	-	-	-	-	-								
Non Bond Related	0.1	-	0.5	0.1	0.5								
Receipts from Municipalities	-	-	0.1	-	0.3								
Rentals	0.4	1.1	2.0	2.2	3.7								
Revenues of State Departments:													
Administrative Recoveries	-	-	-	-	-								
Gifts, Grants and Donations	-	0.7	5.8	-	1.3								
Indirect Cost Recoveries	-	-	-	-	-								
Rebates	-	-	-	-	-								
Restitution and Settlements	3.1	0.2	-	0.1	0.9								
All Other	0.3	1.8	12.0	0.2	0.7								
Sales	-	-	-	-	0.1								
Total Miscellaneous Receipts	1,190.6	64.2	415.5	365.6	134.5								
Federal Receipts	-	-	-	-	-								
Total Receipts	1,264.7	110.5	523.4	473.8	238.4								
Beginning Fund Balance	792.5	611.9	776.9	853.1	627.9								
% Increase/ Decrease	16.1%	7.4%	13.2%	10.1%	-3.2%								

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT I

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	2020	2019	\$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	12.0	-	4.9	1.0	1.0	-	-	-	-	-	-	-	18.9	45.4	(26.5)	-58.4%
Environment and Recreation	4.4	3.2	14.0	12.6	20.6	-	-	-	-	-	-	-	54.8	89.7	(34.9)	-38.9%
General Government	30.4	10.9	41.5	36.0	69.0	-	-	-	-	-	-	-	187.8	359.2	(171.4)	-47.7%
Public Health:																
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	29.0	58.2	30.9	37.5	76.1	-	-	-	-	-	-	-	231.7	186.3	45.4	24.4%
Public Safety	-	-	0.7	0.9	1.1	-	-	-	-	-	-	-	2.7	(0.6)	3.3	550.0%
Public Welfare	-	33.8	73.7	71.7	53.1	-	-	-	-	-	-	-	232.3	112.1	120.2	107.2%
Support and Regulate Business	43.2	7.7	24.8	20.9	71.6	-	-	-	-	-	-	-	169.2	453.4	(285.2)	-62.9%
Transportation	2.4	4.7	14.4	50.4	104.0	-	-	-	-	-	-	-	175.9	248.1	(72.2)	-29.1%
Total Local Assistance Grants	121.4	118.5	204.9	231.0	386.5	-	-	-	-	-	-	-	1,072.3	1,493.6	(421.3)	-28.2%
Departmental Operations:																
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	452.1	333.5	541.8	512.4	546.9	-	-	-	-	-	-	-	2,385.7	2,377.5	9.2	0.4%
Total Disbursements	573.5	452.0	746.7	743.4	943.4	-	-	-	-	-	-	-	3,458.0	3,871.1	(412.1)	-10.6%
Excess (Deficiency) of Receipts over Disbursements	691.2	(341.5)	(223.3)	(269.6)	(705.0)	-	-	-	-	-	-	-	(848.2)	(2,212.8)	1,364.6	61.7%
OTHER FINANCING SOURCES (USES):																
Bond and Note Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	(805.1)	198.0	360.6	523.4	566.3	-	-	-	-	-	-	-	843.2	2,302.0	(1,458.8)	-63.4%
Transfers to Other Funds	(12.3)	(12.4)	(12.3)	(14.0)	(36.4)	-	-	-	-	-	-	-	(87.4)	(260.6)	(173.2)	-66.5%
Total Other Financing Sources (Uses)	(817.4)	185.6	348.3	509.4	529.9	-	-	-	-	-	-	-	755.8	2,041.4	(1,285.6)	-63.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(126.2)	(155.9)	125.0	239.8	(175.1)	-	-	-	-	-	-	-	(92.4)	(171.4)	79.0	46.1%
Ending Fund Balance	\$ (598.4)	\$ (754.3)	\$ (629.3)	\$ (389.5)	\$ (564.6)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (564.6)	\$ (804.6)	\$ 240.0	29.8%

EXHIBIT I

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STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT J

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	5 Months Ended August 31			% Increase/ Decrease
	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	2020 \$	2019 \$	\$	
Beginning Fund Balance	4,412.1	8,259.8	13,472.6	10,937.3	4,859.9	-	-	-	-	-	-	-	41,941.7	841.3	41,100.4	4,885.3%
RECEIPTS:																
Miscellaneous Receipts	4.2	4.8	6.4	6.9	7.7								30.0	28.2	1.8	6.4%
Federal Receipts	2,584.0	5,983.3	10,834.5	8,949.5	3,020.9								31,382.2	4.9	31,377.3	640,353.1%
Unemployment Taxes	1,823.9	2,261.7	2,631.7	1,980.9	1,831.3								10,529.5	808.2	9,721.3	1,202.8%
Total Receipts	4,412.1	8,259.8	13,472.6	10,937.3	4,859.9	-	-	-	-	-	-	-	41,941.7	841.3	41,100.4	4,885.3%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	1.4	0.9	1.1	1.1	1.3								5.8	1.9	3.9	205.3%
Non-Personal Service	3.6	4.9	5.4	4.9	4.6								23.4	24.8	(1.4)	-5.6%
General State Charges	0.2	0.1	0.2	0.1	0.1								0.7	0.3	0.4	133.3%
Unemployment Benefits	4,390.7	8,263.9	13,469.5	10,926.1	4,852.1								41,902.3	813.8	41,088.5	5,049.0%
Total Disbursements	4,395.9	8,269.8	13,476.2	10,932.2	4,858.1	-	-	-	-	-	-	-	41,932.2	840.8	41,091.4	4,887.2%
Excess (Deficiency) of Receipts over Disbursements	16.2	(10.0)	(3.6)	5.1	1.8	-	-	-	-	-	-	-	9.5	0.5	9.0	1,800.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	3.0	-	-								3.0	-	3.0	100.0%
Transfers to Other Funds	-	-	-	-	-								-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	3.0	-	-	-	-	-	-	-	-	-	3.0	-	3.0	100.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	16.2	(10.0)	(0.6)	5.1	1.8	-	-	-	-	-	-	-	12.5	0.5	12.0	2,400.0%
Ending Fund Balance	\$ 45.9	\$ 35.9	\$ 35.3	\$ 40.4	\$ 42.2	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 42.2	\$ 27.1	\$ 15.1	55.7%

STATE OF NEW YORK
INTERNAL SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT K

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	5 Months Ended August 31			
													2020	2019	\$ Increase/Decrease	% Increase/Decrease
	\$ (297.5)	\$ (281.0)	\$ (289.2)	\$ (315.2)	\$ (342.3)								\$ (297.5)	\$ (302.7)	\$ 5.2	1.7%
Beginning Fund Balance																
RECEIPTS:																
Miscellaneous Receipts	25.2	22.3	34.9	19.8	32.4								134.6	202.5	(67.9)	-33.5%
Total Receipts	25.2	22.3	34.9	19.8	32.4								134.6	202.5	(67.9)	-33.5%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	14.5	11.1	11.0	12.3	9.9								58.8	52.9	5.9	11.2%
Non-Personal Service	(9.3)	28.6	83.3	31.7	41.6								173.9	157.7	16.2	10.3%
General State Charges	4.8	5.3	8.6	4.6	5.7								29.0	25.4	3.6	14.2%
Total Disbursements	10.0	45.0	102.9	48.6	57.2								261.7	236.0	25.7	10.9%
Excess (Deficiency) of Receipts over Disbursements	15.2	(20.7)	(68.0)	(28.8)	(24.8)								(127.1)	(33.5)	(93.6)	-279.4%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	1.3	2.5	52.0	1.7	12.1								68.6	40.1	28.5	73.6%
Transfers to Other Funds	-	-	-	-	(0.2)								(0.2)	(0.4)	(0.2)	-50.0%
Total Other Financing Sources (Uses)	1.3	2.5	52.0	1.7	11.9								68.4	39.7	28.7	74.8%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	16.5	(18.2)	(16.0)	(27.1)	(12.9)								(57.7)	6.2	(63.9)	-1,030.6%
Ending Fund Balance	\$ (281.0)	\$ (299.2)	\$ (315.2)	\$ (342.3)	\$ (355.2)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (355.2)	\$ (296.5)	\$ (58.7)	-19.8%

EXHIBIT L

STATE OF NEW YORK
PENSION TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

	2020		2021										5 Months Ended August 31			
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2020	2019	\$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	\$ (1.1)	\$ (5.3)	\$ (9.3)	\$ (15.3)	\$ (1.7)								\$ (1.1)	\$ (3.0)	\$ 1.9	63.3%
RECEIPTS:																
Miscellaneous Receipts	8.3	5.5	5.4	23.5	5.6								48.3	53.3	(5.0)	-9.4%
Total Receipts	8.3	5.5	5.4	23.5	5.6								48.3	53.3	(5.0)	-9.4%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	8.3	5.5	5.6	5.5	5.5								30.4	28.5	1.9	6.7%
Non-Personal Service	0.7	0.6	0.6	1.0	0.9								3.8	5.7	(1.9)	-33.3%
General State Charges	3.5	3.4	5.2	3.4	3.4								13.9	18.1	0.8	4.4%
Total Disbursements	12.5	9.5	11.4	9.9	9.8								53.1	52.3	0.8	1.5%
Excess (Deficiency) of Receipts over Disbursements	(4.2)	(4.0)	(6.0)	13.6	(4.2)								(4.8)	1.0	(5.8)	-580.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-								-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-								-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-								-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(4.2)	(4.0)	(6.0)	13.6	(4.2)								(4.8)	1.0	(5.8)	-580.0%
Ending Fund Balance	\$ (5.3)	\$ (9.3)	\$ (15.3)	\$ (1.7)	\$ (5.9)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (5.9)	\$ (2.0)	\$ (3.9)	-195.0%

STATE OF NEW YORK
PRIVATE PURPOSE TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2020-2021
(amounts in millions)

EXHIBIT M

	5 Months Ended August 31															
	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH				
Beginning Fund Balance	\$ 14.3	\$ 14.4	\$ 14.5	\$ 14.6	\$ 14.7								2020 \$ 14.3	2019 \$ 13.2	\$ 1.1	% Increase/ (Decrease) 8.3%
RECEIPTS:																
Miscellaneous Receipts	0.2	0.1	0.1	0.2	(0.6)								-	0.7	(0.7)	-100.0%
Total Receipts	0.2	0.1	0.1	0.2	(0.6)	-	-	-	-	-	-	-	-	0.7	(0.7)	-100.0%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	-	-	-	0.1	-								0.1	0.1	-	0.0%
Non-Personal Service	-	-	-	-	-								-	-	-	0.0%
General State Charges	0.1	-	-	-	-								0.1	-	0.1	100.0%
Total Disbursements	0.1	-	-	0.1	-	-	-	-	-	-	-	-	0.2	0.1	0.1	100.0%
Excess (Deficiency) of Receipts over Disbursements	0.1	0.1	0.1	0.1	(0.6)	-	-	-	-	-	-	-	(0.2)	0.6	(0.8)	-133.3%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-								-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-								-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	0.1	0.1	0.1	0.1	(0.6)	-	-	-	-	-	-	-	(0.2)	0.6	(0.8)	-133.3%
Ending Fund Balance	\$ 14.4	\$ 14.5	\$ 14.6	\$ 14.7	\$ 14.1	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 14.1	\$ 13.8	\$ 0.3	2.2%

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2020-2021
FOR THE MONTH OF AUGUST 2020
(amounts in millions)

	BALANCE AUGUST 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE AUGUST 31, 2020
GENERAL FUND					
10000-10049-Local Assistance Account	\$ -	\$ 0.061	\$ 2,443.224	\$ 2,443.163	\$ -
10050-10099-State Operations Account	14,352.908	2,248.683	1,156.688	(1,952.257)	13,492.646
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	30.105	-	0.083	-	30.022
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	-	-	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	14,383.013	2,248.744	3,599.995	490.906	13,522.668
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	0.826	0.015	-	-	0.841
20100-20299-Combined Expendable Trust	70.969	0.521	0.685	-	70.805
20300-20349-New York Interest on Lawyer Account	113.452	2.409	0.111	-	115.750
20350-20399-NYS Archives Partnership Trust	(0.134)	-	0.031	0.282	0.117
20400-20449-Child Performer's Protection	0.544	0.005	0.046	-	0.503
20450-20499-Tuition Reimbursement	7.947	0.171	0.249	(0.124)	7.745
20500-20549-New York State Local Government Records Management Improvement	3.715	1.241	0.230	(0.450)	4.276
20550-20599-School Tax Relief	0.006	-	-	-	0.006
20600-20649-Charter Schools Stimulus	4.366	-	0.495	-	3.871
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	186.132	454.112	419.852	(2.671)	217.721
20850-20899-Dedicated Mass Transportation Trust	73.771	49.955	67.550	-	56.176
20900-20949-State Lottery	450.348	195.957	2.544	-	643.761
20950-20999-Combined Student Loan	26.380	1.798	0.432	-	27.746
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.606)	-	0.074	-	(3.680)
21050-21149-Encon Special Revenue	(5.966)	6.864	7.341	-	(6.443)
21150-21199-Conservation	84.372	4.730	2.786	-	86.316
21200-21249-Environmental Protection and Oil Spill Compensation	20.063	4.463	1.548	(2.034)	20.944
21250-21299-Training and Education Program on OSHA	8.596	0.001	1.610	-	6.987
21300-21349-Lawyers' Fund for Client Protection	8.282	0.172	0.051	-	8.403
21350-21399-Equipment Loan for the Disabled	0.545	-	-	-	0.545
21400-21449-Mass Transportation Operating Assistance	480.418	103.399	277.994	(0.101)	305.722
21450-21499-Clean Air	(35.808)	3.524	2.669	-	(34.953)
21500-21549-New York State Infrastructure Trust	0.071	-	-	-	0.071
21550-21599-Legislative Computer Services	12.297	0.078	0.075	-	12.300
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.469	-	-	-	0.469
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	-	-	-	-	-
21850-21899-Arts Capital Grants	-	-	-	-	-
21900-22499-Miscellaneous State Special Revenue	0.987	0.002	-	-	0.989
22500-22549-Court Facilities Incentive Aid	1,535.390	203.552	208.715	15.511	1,545.738
	50.366	0.007	14.411	-	35.962

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2020-2021
FOR THE MONTH OF AUGUST 2020
(amounts in millions)

	BALANCE AUGUST 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE AUGUST 31, 2020
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22550-22599-Employment Training	0.053	-	-	-	0.053
22650-22699-State University Income	1,931.665	339.424	405.069	45.939	1,911.959
22700-22749-Chemical Dependence Service	10.678	0.011	0.016	-	10.673
22750-22799-Lake George Park Trust	(0.247)	0.849	0.151	-	0.451
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	56.115	10.665	0.541	-	66.239
22850-22899-New York Great Lakes Protection	0.508	-	0.011	-	0.497
22900-22949-Federal Revenue Maximization	0.024	-	-	-	0.024
22950-22999-Housing Development	10.642	0.002	-	-	10.644
23000-23049-NYS/DOT Highway Safety Program	(15.366)	0.001	0.267	-	(15.632)
23050-23099-Vocational Rehabilitation	0.059	-	-	-	0.059
23100-23149-Drinking Water Program Management and Administration	(5.351)	-	-	-	(5.351)
23150-23199-NYC County Clerks' Operations Offset	(38.504)	-	2.276	-	(40.780)
23200-23249-Judiciary Data Processing Offset	48.829	0.885	2.230	-	47.484
23250-23449-IFR/CUTRA	188.613	1.779	5.800	-	184.592
23500-23549-USOC Lake Placid Training	0.328	0.008	-	-	0.336
23550-23599-Indigent Legal Services	470.598	3.597	7.645	-	466.550
23600-23649-Unemployment Insurance Interest and Penalty	32.337	0.476	0.148	-	32.665
23650-23699-MTA Financial Assistance Fund	311.614	0.040	-	61.350	373.004
23700-23749-New York State Commercial Gaming Fund	5.917	-	0.304	-	5.613
23750-23799-Medical Marijuana Trust Fund	12.670	0.731	0.672	-	12.729
23800-23899-Dedicated Miscellaneous State Special Revenue	3.600	0.219	0.032	(0.015)	3.772
24850-24899-Health Care Transformation	316.338	0.042	-	-	316.380
24900-24949-Charitable Gifts Trust Fund	95.873	0.013	-	-	95.886
24950-24999-Interactive Fantasy Sports	19.964	0.224	-	-	20.188
40350-40399-State University Dormitory Income	128.167	(1.133)	-	(4.970)	122.064
TOTAL SPECIAL REVENUE FUNDS-STATE	6,679.922	1,390.809	1,434.561	112.717	6,748.787
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	4.052	53.338	171.062	(0.312)	(113.984)
25100-25199-Federal Health and Human Services	2,855.932	3,851.554	4,241.569	(26.036)	2,439.881
25200-25249-Federal Education	(24.902)	140.913	214.032	(0.599)	(98.620)
25300-25899-Federal Miscellaneous Operating Grants	3,593.432	294.488	139.402	-	3,748.518
25900-25949-Unemployment Insurance Administration	137.402	62.943	54.087	-	146.258
25950-25999-Unemployment Insurance Occupational Training	(0.417)	0.022	0.065	-	(0.460)
26000-26049-Federal Employment and Training Grants	(12.725)	15.672	3.181	-	(0.234)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	6,552.774	4,418.930	4,823.398	(26.947)	6,121.359
TOTAL SPECIAL REVENUE FUNDS	13,232.696	5,809.739	6,258.059	85.770	12,870.146
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	268.135	32.156	6.891	(265.920)	27.480
40150-40199-General Debt Service	1,309.104	1,629.731	333.680	(521.446)	2,083.709
40250-40299-State Housing Debt Service	-	-	-	-	-
40300-40349-Department of Health Income	23.245	14.126	-	(7.439)	29.932
40400-40449-Clean Water/Clean Air	2.552	56.436	-	(55.561)	3.427
40450-40499-Local Government Assistance Tax	-	268.160	-	(268.160)	-
TOTAL DEBT SERVICE FUNDS	1,603.036	2,000.609	340.571	(1,118.526)	2,144.548

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2020-2021
FOR THE MONTH OF AUGUST 2020
(amounts in millions)

	BALANCE AUGUST 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE AUGUST 31, 2020
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	1,248	566,756	565,508	-
30050-30099-Dedicated Highway and Bridge Trust	(130,223)	167,631	158,599	(33,914)	(155,105)
30100-30299-SUNY Residence Halls Rehabilitation and Repair	132,034	(0,015)	12,522	-	119,497
30300-30349-New York State Canal System Development	14,092	0,002	-	-	14,094
30350-30399-Parks Infrastructure	(64,137)	10,914	11,179	-	(64,402)
30400-30449-Passenger Facility Charge	0,015	-	-	-	0,015
30450-30499-Environmental Protection	106,083	14,040	14,862	-	105,261
30500-30549-Clean Water/Clean Air Implementation	-	-	-	-	-
30600-30609-Energy Conservation Thru Improved Transportation Bond	0,164	-	-	-	0,164
30610-30619-Park and Recreation Land Acquisition Bond	-	-	-	-	-
30620-30629-Pure Waters Bond	0,668	-	-	-	0,668
30630-30639-Transportation Capital Facilities Bond	3,328	-	-	-	3,328
30640-30649-Environmental Quality Protection Bond	1,419	-	-	-	1,419
30650-30659-Rebuild and Renew New York Transportation Bond	17,219	-	-	-	17,219
30660-30669-Transportation Infrastructure Renewal Bond	4,255	-	-	-	4,255
30670-30679-1986 Environmental Quality Bond Act	5,551	-	-	-	5,551
30680-30689-Accelerated Capacity and Transportation Improvement Bond	2,778	-	-	-	2,778
30690-30699-Clean Water/Clean Air Bond	1,428	-	-	-	1,428
30700-30709-State Housing Bond	-	-	-	-	-
30710-30719-Smart Schools Bond	-	-	-	-	-
30750-30799-Outdoor Recreation Development Bond	-	-	-	-	-
30900-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(541,198)	186,835	161,195	-	(515,558)
31450-31499-Forest Preserve Expansion	1,082	-	-	-	1,082
31500-31549-Hazardous Waste Remedial	(56,950)	8,269	6,457	(1,677)	(56,815)
31650-31699-Suburban Transportation	0,539	-	-	-	0,539
31700-31749-Division for Youth Facilities Improvement	(13,168)	-	1,768	-	(14,936)
31800-31849-Housing Assistance	(12,942)	-	-	-	(12,942)
31850-31899-Housing Program	(261,206)	-	53,073	-	(314,279)
31900-31949-Natural Resource Damage	16,961	1,002	0,036	-	17,927
31950-31999-DOT Engineering Services	(11,969)	-	-	-	(11,969)
32200-32249-Miscellaneous Capital Projects	107,545	2,887	5,259	1,248	106,421
32250-32299-CUNY Capital Projects	0,031	0,003	-	-	0,034
32300-32349-Mental Hygiene Facilities Capital Improvement	(370,147)	32,443	17,210	-	(354,914)
32350-32399-Correction Facilities Capital Improvement	(159,273)	0,054	25,771	-	(184,990)
32400-32999-State University Capital Projects	163,203	(0,147)	4,752	(1,202)	157,102
33000-33049-NYS Storm Recovery Fund	(53,738)	-	0,422	-	(54,160)
33050-33099-Dedicated Infrastructure Investment Fund	165,822	-	64,705	-	101,117
TOTAL CAPITAL PROJECTS FUNDS	(930,734)	425,166	1,104,566	529,963	(1,080,171)
TOTAL GOVERNMENTAL FUNDS	\$ 28,288,011	\$ 10,484,258	\$ 11,303,191	\$ (11,887)	\$ 27,457,191

SCHEDULE 2

STATE OF NEW YORK
 PROPRIETARY FUNDS
 SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
 CHANGES IN FUND BALANCES
 FISCAL YEAR 2020-2021
 FOR THE MONTH OF AUGUST 2020
 (amounts in millions)

FUND TYPE	BALANCE AUGUST 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE AUGUST 31, 2020
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	\$ 0.110	\$ -	\$ -	-	\$ 0.110
50050-50099-State Exposition Special	3.101	0.025	0.815	-	2.311
50100-50299-Correctional Services Commissary	3.384	4.116	3.338	-	4.162
50300-50399-Agencies Enterprise	7.854	3.448	1.630	-	9.672
50400-50449-Sheltered Workshop	2.238	0.007	0.005	-	2.240
50450-50499-Patient Workshop	1.884	0.001	-	-	1.885
50500-50599-Mental Hygiene Community Stores	4.960	0.076	0.097	-	4.939
50650-50699-Unemployment Insurance	16.841	4,852.205	4,852.123	-	16.923
TOTAL ENTERPRISE FUNDS	40.372	4,859.878	4,858.008	-	42.242
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(103.220)	25.267	33.093	4.787	(106.259)
55050-55099-Agency Internal Service	(140.227)	4.088	16.634	7.160	(145.613)
55100-55149-Mental Hygiene Revolving	(0.025)	0.025	0.054	-	(0.054)
55150-55199-Youth Vocational Education	0.076	0.003	-	-	0.079
55200-55249-Joint Labor and Management Administration	0.256	-	0.069	(0.004)	0.183
55250-55299-Audit and Control Revolving	(51.235)	-	2.030	(0.055)	(53.320)
55300-55349-Health Insurance Revolving	(7.651)	0.025	1.151	(0.001)	(8.778)
55350-55399-Correctional Industries Revolving	(40.233)	2.948	4.159	-	(41.444)
TOTAL INTERNAL SERVICE FUNDS	(342.259)	32.356	57.190	11.887	(355.206)
TOTAL PROPRIETARY FUNDS	\$ (301.887)	\$ 4,892.234	\$ 4,915.198	\$ 11.887	\$ (312.964)

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2020-2021
FOR THE MONTH OF AUGUST 2020
(amounts in millions)

SCHEDULE 3

FUND TYPE	BALANCE AUGUST 1, 2020	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE AUGUST 31, 2020
PENSION TRUST FUNDS					
65000-65049-Common Retirement Administration	\$ (1.758)	\$ 5.537	\$ 9.726	\$ -	\$ (5.947)
TOTAL PENSION TRUST FUNDS	(1.758)	5.537	9.726	-	(5.947)
PRIVATE PURPOSE TRUST FUNDS					
66000-66049-Agriculture Producers' Security	3.073	-	0.002	-	3.071
66050-66099-Milk Producers' Security	11.601	(0.595)	0.020	-	10.986
TOTAL PRIVATE PURPOSE TRUST FUNDS	14.674	(0.595)	0.022	-	14.057
AGENCY FUNDS					
60050-60149-School Capital Facilities Financing Reserve	17.812	0.158	-	-	17.970
60150-60199-Child Performer's Holding	0.538	-	-	-	0.538
60200-60249-Employees Health Insurance	1,002.741	959.085	937.468	-	1,024.358
60250-60299-Social Security Contribution	15.020	95.938	95.611	-	15.347
60300-60399-Employee Payroll Withholding	38.447	349.928	389.368	-	(0.993)
60400-60449-Employees Dental Insurance	21.076	5.049	6.948	-	19.177
60450-60499-Management Confidential Group Insurance	0.596	0.716	0.736	-	0.576
60500-60549-Lottery Prize	579.079	101.201	96.187	-	584.093
60550-60599-Health Insurance Reserve Receipts	0.146	-	-	-	0.146
60600-60799-Miscellaneous New York State Agency	886.389	215.627	166.235	-	935.781
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	28.582	-	0.085	-	28.497
60850-60899-CUNY Senior College Operating	64.602	184.449	181.163	-	67.888
60900-60949-Medicaid Management Information System (MMIS) Escrow	42.783	5,918.185	5,804.379	-	156.589
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collector	103.183	175.701	-	-	278.884
61100-61999-State University Federal Direct Lending Program	(0.856)	142.423	156.849	-	(15.282)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	2,800.138	8,148.460	7,835.029	-	3,113.569
TOTAL FIDUCIARY FUNDS	\$ 2,813.054	\$ 8,153.402	\$ 7,844.777	\$ -	\$ 3,121.679

SCHEDULE 4

STATE OF NEW YORK
 SOLE CUSTODY AND INVESTMENT ACCOUNTS
 STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
 FISCAL YEAR 2020-2021
 FOR THE MONTH OF AUGUST 2020
 (amounts in millions)

ACCOUNTS	FUND TYPE	BALANCE		RECEIPTS	DISBURSEMENTS	BALANCE AUGUST 31, 2020
		AUGUST 1, 2020				
70000-70049-Tobacco Settlement		\$	2,887	\$	-	\$ 2,887
70093, 70095, 70300-70301-MTA State Assistance			191,706		165,506	160,386
70050-70149-Sole Custody Investment (*)			2,359,131		1,830,964	2,395,217
70200-Comptroller's Refund Account			-		148,008	-
TOTAL ACCOUNTS		\$	2,553,724	\$	2,149,244	\$ 2,558,490

(*) 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 August 31, 2020, \$9,538,901.65 (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(0)(4)(F) and (O) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

SCHEDULE 5

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR 2020-2021

PURPOSE	DEBT OUTSTANDING APRIL 1, 2020	DEBT ISSUED		DEBT MATURED		DEBT OUTSTANDING AUGUST 31, 2020	INTEREST DISBURSED	
		MONTH OF AUGUST	5 MONTHS ENDED AUGUST 31, 2020	MONTH OF AUGUST	5 MONTHS ENDED AUGUST 31, 2020		MONTH OF AUGUST	5 MONTHS ENDED AUGUST 31, 2020
GENERAL OBLIGATION BONDED DEBT:								
Accelerated Capacity and Transportation Improvements	\$ 11,445,463	\$ -	\$ -	\$ -	\$ 720,219	\$ 10,725,244	\$ 81,113	\$ 182,955
Clean Water/Clean Air:								
Air Quality	1,795,354	-	-	-	-	1,795,354	24,974	25,936
Safe Drinking Water	-	-	-	-	-	-	-	-
Clean Water	298,595,491	-	-	-	10,184,660	288,410,831	2,779,051	4,310,526
Solid Waste	16,287,590	-	-	-	1,659,267	14,628,323	264,124	329,210
Environmental Restoration	40,070,447	-	-	-	160,000	39,910,447	144,124	340,044
Energy Conservation Through Improved Transportation:								
Rapid Transit and Rail Freight	1,198,754	-	-	-	116,298	1,082,466	-	25,458
Environmental Quality (1972):								
Air	3,184	-	-	-	-	3,184	64	64
Land and Wetlands	4,939,861	-	-	-	25,000	4,914,861	5,915	9,494
Water	6,370,803	-	-	-	715,000	5,655,803	28,407	89,157
Environmental Quality (1986):								
Land Acquisition/Development/Restoration/Forests	5,309,545	-	-	-	486,025	4,823,520	66,325	91,269
Solid Waste Management	91,992,747	-	-	-	7,260,923	84,731,824	473,821	1,442,948
Housing:								
Low Income	5,840,000	-	-	-	-	5,840,000	-	-
Middle Income	4,035,000	-	-	-	-	4,035,000	-	-
Park and Recreation Land Acquisition	-	-	-	-	-	-	-	-
Pure Waters	15,498,329	-	-	-	946,959	14,551,370	90,110	254,123
Rail Preservation Development	-	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation:								
Highway Facilities	600,658,226	-	-	-	-	600,658,226	3,085,225	4,361,792
Canals and Waterways	9,419,680	-	-	-	-	9,419,680	66,291	92,282
Aviation	41,089,448	-	-	-	-	41,089,448	399,263	399,263
Rail and Port	92,824,245	-	-	-	-	92,824,245	1,074,448	1,074,448
Mass Transit - Dept. of Transportation	12,168,734	-	-	-	-	12,168,734	53,920	53,920
Mass Transit - Metropolitan Transportation Authority	705,163,311	-	-	-	-	705,163,311	5,028,975	7,916,928
Rebuild New York Transportation Infrastructure Renewal:								
Highways, Parkways, and Bridges	553,992	-	-	-	-	553,992	226	1,077
Rapid Transit, Rail and Aviation	2,042,563	-	-	-	479,171	1,563,392	-	49,370
Smart Schools Bond Act	161,307,133	-	-	-	-	161,307,133	2,015,885	2,015,885
Transportation Capital Facilities:								
Aviation	2,090,099	-	-	-	246,478	1,843,621	-	46,824
Mass Transportation	-	-	-	-	-	-	-	-
Total General Obligation Bonded Debt	\$ 2,130,699,999	\$ -	\$ -	\$ -	\$ 23,000,000	\$ 2,107,699,999	\$ 15,682,261	\$ 23,112,976

SCHEDULE 5a

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE FIVE MONTHS ENDED AUGUST 31, 2020

Special Contractual Financing Obligations: Payments to Public Authorities:	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40100-40149)	REVENUE BOND TAX (40152)	SALES TAX REVENUE BOND TAX (40154)	COMBINED TOTALS		\$ INCREASE/ (DECREASE)
								5 MONTHS ENDED AUGUST 31 2020	2019	
City University Construction	\$ -	\$ -	\$ -	\$ -	\$ -	-	\$ -	\$ -	\$ 54,720,301	\$ (54,720,301)
Domitory Authority:	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	-	-	-	-	-	-	-	54,430,525	(54,430,525)
DASNY Revenue Bond	-	-	-	-	-	301,787,059	-	301,787,059	109,355,813	192,431,246
Department of Health Facilities	-	-	12,802,026	-	-	-	-	-	13,080,876	(278,850)
Mental Health Facilities	-	-	-	-	8,615,353	-	-	8,615,353	7,064,797	1,550,556
Secured Hospital Program	-	2,495,165	-	-	-	-	-	2,495,165	3,829,083	(1,333,928)
SUNY Community Colleges	-	8,347,200	-	-	-	-	-	8,347,200	5,928,700	2,418,500
SUNY Educational Facilities	-	-	-	-	-	-	-	-	-	-
Environmental Facilities Corporation	-	-	-	-	-	-	-	-	-	-
Housing Finance Agency	-	-	-	-	-	430,631	-	430,631	839,859	(409,228)
Local Government Assistance Corporation	-	-	-	-	-	-	-	-	8,402,319	(8,402,319)
Metropolitan Transportation Authority:	-	-	-	-	-	-	-	-	-	-
Transit and Commuter Rail Projects	-	-	-	-	-	-	-	-	-	-
Thruway Authority:	-	-	-	-	-	-	-	-	-	-
Dedicated Highway and Bridge	-	53,523,178	-	-	-	-	-	53,523,178	225,349,915	(171,826,737)
Local Highway and Bridge	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-
Urban Development Corporation:	-	-	-	-	-	-	-	-	-	-
Clarkson University	-	-	-	-	-	-	-	-	26,675	(26,675)
Columbia Univer. Telecommunications Center	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	3,068,008	-	-	-	-	-	3,068,008	2,894,454	173,554
Cornell Univer. Supercomputer Center	-	-	-	-	-	-	-	-	-	-
Correctional Facilities	-	-	-	-	-	-	-	-	-	-
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	-	-	-	5,105,575	(5,105,575)
University Facilities Grant 95 Refunding	-	11,603	-	-	-	-	-	-	60,072	(48,469)
Total Disbursements for Special Contractual Financing Obligations	\$ -	\$ 67,445,154	\$ 12,802,026	\$ -	\$ 8,615,353	\$ 302,217,690	\$ -	\$ 391,080,223	\$ 491,088,974	\$ (100,008,751)

SCHEDULE 6

STATE OF NEW YORK
SUMMARY OF THE OPERATING FUND INVESTMENTS
FOR THE MONTH OF AUGUST 2020
AS REQUIRED OF THE STATE COMPTROLLER
(amounts in millions)

	MONTH OF AUGUST 2020	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE
SHORT TERM INVESTMENT POOL (*)			
AVERAGE DAILY INVESTMENT BALANCE (**)	\$ 32,899.7	\$ 26,778.6	\$ 18,660.6
AVERAGE YIELD (**)	0.143%	0.297%	2.416%
TOTAL INVESTMENT EARNINGS	\$ 4,028	\$ 33,581	\$ 194,171

Month-End Portfolio Balances

DESCRIPTION	AUGUST 2020 PAR AMOUNT	AUGUST 2019 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	\$ 16,009.7	\$ 1,000.0
REPURCHASE AGREEMENTS	21.1	26.7
GOVT. SPONSORED AGENCIES	798.1	-
COMMERCIAL PAPER	13,457.5	15,690.6
CERTIFICATES OF DEPOSIT/SAVINGS	2,959.2	2,934.2
0% COMPENSATING BALANCE CDs	48.0	3.0
	\$ 33,293.6	\$ 19,654.5

(*) Pursuant to §98 of the State Finance Law, the State Comptroller is authorized to invest and keep invested all moneys, in any fund, held by the State. The Short Term Investment Pool (STIP) represents an accounting mechanism that allows for the separate accounting of individual funds (on deposit in the State's General Checking account) for the purpose of making short term investments. Pursuant to State Finance Law §4(5) the STIP is authorized to temporarily loan to the General Fund-State Operations Account (10050) funds for a period not to exceed the end of the fiscal year. However, it must be noted that certain funds are invested as part of STIP, but are held by the State Comptroller in a fiduciary capacity. Fiduciary fund balances are restricted and may not be used for any State purposes since moneys in such funds are held by the State in a trustee (or fiduciary) capacity or as an agent for individuals, private organizations, or non-State governmental units (e.g. local governments and public authorities). Therefore, Fiduciary fund balances are not available to be temporarily loaned to the General Fund-State Operations Account. Fiduciary fund balances are presented in Schedules 3 and 4 of this report.

(**) Does not include 0% Compensating Balance CDs.

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF RECEIPTS AND DISBURSEMENTS BY ACCOUNT
FISCAL YEAR 2020-2021

APPENDIX A

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	5 Months Ending August 31, 2020
OPENING CASH BALANCE	\$ 15,704,540	\$ 95,764,658	\$ 80,082,746	\$ 490,512,199	\$ 186,132,186								\$ 15,704,540
RECEIPTS:													
Cigarette Tax	68,786,104	51,352,065	60,187,824	68,786,987	60,405,723								309,530,713
State Share of NYC Cigarette Tax	2,190,000	1,133,000	1,346,000	1,945,000	1,308,000								7,882,000
Excise Tax	1,537,777	88,977,777	11,617,000	3,500,000	8,887,000								111,449,554
STIP	382,848	256,771	58,113	43,854	53,717								787,703
Public Asset Transfers	-	-	-	-	-								-
Assessments	478,443,458	390,720,867	437,012,587	376,078,217	389,691,001								2,071,946,130
Fees	327,000	46,000	561,000	930,000	776,000								2,640,000
Rebates	12,000	4,545,140	5,975,618	9,916,208	2,000,366								22,449,332
Restitution and Settlements	-	-	-	-	-								-
Miscellaneous	-	-	297,248	-	1,148								298,396
Total Receipts	550,137,287	448,125,819	517,189,313	457,364,004	454,112,853								2,426,846,936
DISBURSEMENTS:													
Grants	466,021,724	462,778,011	97,733,246	756,144,082	414,416,738								2,197,083,801
Interest - Late Payments	36	22	26,224	11,452	(5,834)								31,900
Personal Service	1,509,162	534,982	1,290,841	270,686	1,523,044								5,128,825
Non-Personal Service	95,956	(291,867)	5,284,099	4,077,923	3,346,084								12,475,705
Employee Benefits/Indirect Costs	612,447	298,051	1,164,130	538,546	568,684								2,582,895
Total Disbursements	468,199,325	463,320,209	102,495,196	761,142,689	419,851,726								2,218,073,099
OPERATING TRANSFERS:													
Transfers to Capital Projects Fund	-	-	-	-	-								-
Transfers to General Fund	-	-	297,248	-	1,147								298,395
Transfers to Revenue Bond Tax Fund	-	-	-	-	2,276,000								2,276,000
Transfers to Miscellaneous Special Revenue Fund:													
Administration Program Account	989,254	-	-	-	-								989,254
Empire State Stem Cell Trust Account	888,590	487,522	953,664	601,328	394,151								3,255,255
Transfers to Capital Projects Fund	-	-	-	-	-								-
Total Operating Transfers	1,877,844	487,522	1,150,312	601,328	2,671,298								6,818,904
Total Disbursements and Transfers	470,077,169	463,807,731	106,650,862	761,744,017	422,523,024								2,224,832,003
CLOSING CASH BALANCE	\$ 95,764,658	\$ 80,082,746	\$ 490,512,199	\$ 186,132,186	\$ 217,721,195								\$ 217,721,195

APPENDIX B

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2020-21

Program/Purpose	Appropriation Amount (*)	August	5 Months Ended August 31, 2020 (**)
CENTER FOR COMMUNITY HEALTH PROGRAM	8,752,000.00	173,018.34	1,074,156.24
CENTER FOR COMMUNITY HLTH	8,752,000.00	173,018.34	1,074,156.24
CHILD HEALTH INSURANCE PROGRAM	2,134,768,000.00	29,517,317.29	166,645,395.70
CHILD HEALTH INSURANCE	2,134,768,000.00	29,517,317.29	166,645,395.70
COMMUNITY SUPPORT PROGRAM	120,000.00	-	-
COMMUNITY SUPPORT	120,000.00	-	-
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	384,850,000.00	2,040,034.22	31,714,654.42
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE	384,850,000.00	2,040,034.22	31,714,654.42
HEALTH CARE REFORM ACT PROGRAM	1,490,325,059.03	11,031,797.33	21,071,598.93
AIDS DRUG ASSISTANCE	123,150,000.00	-	-
AMBULATORY CARE TRAINING	3,600,000.00	109,290.08	415,451.02
AREA HEALTH EDUCATION CENTER	3,324,000.00	-	440,351.59
COMMISSIONER EMERGENCY DISTRIBUTIONS	24,700,000.00	-	(0.01)
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE	163,200,000.00	-	-
DIVERSITY IN MEDICINE	4,732,000.00	-	-
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)	10,335,000.00	-	-
HCRA PAYOR / PROVIDER AUDITS	9,440,000.00	-	411,213.15
HEALTH FACILITY RESTRUCTURING DASNY	39,200,000.00	-	-
HEALTH WORKFORCE RETRAINING	18,320,000.00	727,306.14	1,938,541.78
INFERTILITY SERVICES GRANTS	5,733,000.00	49,551.73	49,551.73
MEDICAL INDEMNITY FUND	52,000,000.00	-	-
PART 405.4 HOSPITAL AUDITS NYLCRR	2,200,000.00	-	-
PHYSICIAN EXCESS MEDICAL MALPRACTICE	359,900,000.00	-	-
PHYSICIAN LOAN REPAYMENT	27,195,000.00	921,016.39	937,368.01
PHYSICIAN WORKFORCE STUDIES	974,000.00	-	-
POISON CONTROL CENTERS	6,320,000.00	-	-
POOL ADMINISTRATION	5,300,000.00	316,061.47	316,061.47
ROSWELL PARK CANCER INSTITUTE	89,266,000.00	7,592,600.00	15,185,200.00
ROSWELL PARK COMPREHENSIVE CANCER CENTER	50,000.00	-	-
RURAL HEALTH CARE ACCESS	17,050,000.00	202,953.67	202,953.67
RURAL HEALTH CARE ACCESS & NETWORK DEVELOPMENT	9,410,000.00	-	-
RURAL HEALTH CARE GRANTS	1,100,000.00	-	-
RURAL HEALTH NETWORK	11,610,000.00	1,113,017.85	1,174,906.52
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	4,230,000.00	-	-
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	8,460,000.00	-	-
TRANSITION ACCT - PRIOR YEAR ALLOCATION	489,526,059.03	-	-
MEDICAL ASSISTANCE PROGRAM	28,631,301,000.00	373,309,862.12	1,986,518,565.13
HOME HEALTH RATE INCREASE	300,000,000.00	-	-
MEDICAID INDIGENT CARE	4,999,000,000.00	73,309,862.12	261,518,565.13
MEDICAL ASSISTANCE	22,349,101,000.00	300,000,000.00	1,725,000,000.00
PSNL CRE WRKR RECR & RETEN NYC (***)	916,000,000.00	-	-
PSNL CRE WRKR RECR & RETEN ROS (****)	67,200,000.00	-	-
NEW YORK STATE OF HEALTH	102,431,000.00	2,495,280.72	9,841,289.16
NEW YORK STATE OF HEALTH ADMINISTRATION	102,431,000.00	2,495,280.72	9,841,289.16
OFFICE OF HEALTH INSURANCE PROGRAM	1,834,000.00	-	-
OFFICE OF HEALTH INSURANCE	1,834,000.00	-	-
OFFICE OF HEALTH SYSTEMS MANAGEMENT	68,317,000.00	619,949.74	2,741,179.97
OFFICE HEALTH SYSTEMS MANAGEMENT	68,317,000.00	619,949.74	2,741,179.97
OFFICE OF LONG TERM CARE	2,477,800.00	-	-
ADULT HOME INITIATIVE	2,477,800.00	-	-
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	1,058,583.08	1,661,966.82
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	1,058,583.08	1,661,966.82
TOTAL	32,833,365,859.03	420,245,842.84	2,221,288,806.37
Reclass of SUNY Hospital Disprop Share to Transfer	-	(394,150.89)	(3,265,255.34)
Reclass of SUNY Hospital Disprop Share to Transfer	-	-	-
Reclass of SUNY Empire Clinical Research Investigator Program to Transfer	-	-	-
Reconciling Adjustment (P-Card and T-Card)	-	34.00	(452.00)
TOTAL REPORTED AMOUNT	\$ 32,833,365,859.03	\$ 419,851,725.95	\$ 2,218,013,099.03

(*) Includes amounts appropriated in SFY 2020-21, as well as prior year appropriations that were reappropriated.
 (**) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.
 (***) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.
 (****) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

APPENDIX C

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2020-21

	1st Quarter APRIL - JUNE	2020 JULY	2020 AUGUST	2020-21
OPENING CASH BALANCE	\$ 350,947,309.06	\$ 126,897,506.61	\$ 242,749,583.26	\$ 350,947,309.06
RECEIPTS:				
Patient Services	722,415,689.44	321,259,755.18	227,531,330.50	1,271,206,775.12
Covered Lives	224,564,997.99	108,532,515.12	63,977,634.43	397,075,147.54
Provider Assessments	19,621,242.87	8,041,524.61	4,581,813.36	32,244,580.84
1% Assessments	103,739,180.00	36,128,456.00	34,034,479.00	173,902,115.00
DASNY - MOE/Recast receivables	-	-	-	-
Interest Income	13,893.95	5,991.85	4,529.35	24,415.15
Unassigned	(1,563,049.32)	13,497,032.37	(14,915,365.41)	(2,981,382.36)
Total Receipts	1,068,791,954.93	487,465,275.13	315,214,421.23	1,871,471,651.29
PROGRAM DISBURSEMENTS:				
Poison Control Centers	-	-	-	-
School Based Health Center Grants	-	-	-	-
ECRIP Distributions	-	-	-	-
Total Program Disbursements	-	-	-	-
Excess (Deficiency) of Receipts over Disbursements	1,068,791,954.93	487,465,275.13	315,214,421.23	1,871,471,651.29
OTHER FINANCING SOURCES (USES):				
Transfers From Other Pools:				
Medicaid Disproportionate Share	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	13,334,232.00	4,464,850.00	4,687,523.00	22,486,605.00
Transfers From State Funds:				
HCRA Resources Fund	-	-	-	-
Total Other Financing Sources	13,334,232.00	4,464,850.00	4,687,523.00	22,486,605.00
Transfers To Other Pools:				
Medicaid Disproportionate Share	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers To State Funds:				
HCRA Resources Fund	(1,306,175,989.38)	(376,078,048.48)	(389,691,001.00)	(2,071,945,038.86)
Indigent Care Fund - Matched	-	-	-	-
Indigent Care Fund - Unmatched	-	-	-	-
Total Other Financing Uses	(1,306,175,989.38)	(376,078,048.48)	(389,691,001.00)	(2,071,945,038.86)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(224,049,802.45)	115,852,076.65	(69,789,056.77)	(177,986,782.57)
CLOSING CASH BALANCE	\$ 126,897,506.61	\$ 242,749,583.26	\$ 172,960,526.49	\$ 172,960,526.49

Source: HCRA - Office of Pool Administration

APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2020-21

	1st Quarter APRIL - JUNE	2020 JULY	2020 AUGUST	2020-21
OPENING CASH BALANCE	\$ 668.63	\$ 169.31	\$ -	\$ 668.63
RECEIPTS:				
Interest Income	422.98	-	262.24	685.22
Total Receipts	422.98	-	262.24	685.22
PROGRAM DISBURSEMENTS:				
Indigent Care	(188,629,665.12)	-	(98,098,027.59)	(286,727,692.71)
High Need Indigent Care	-	-	-	-
Other	506,867.55	-	239,151.68	746,019.23
Total Program Disbursements	(188,122,797.57)	-	(97,858,875.91)	(285,981,673.48)
Excess (Deficiency) of Receipts over Disbursements	(188,122,374.59)	-	(97,858,613.67)	(285,980,988.26)
OTHER FINANCING SOURCES (USES):				
Transfers From Other Pools:				
Public Goods Pool	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers From State Funds:				
HCRA Resources Indigent Care - Matched	94,314,832.56	-	49,049,013.80	143,363,846.36
HCRA Resources Indigent Care - Unmatched	(506,129.55)	-	(239,151.68)	(745,281.23)
HCRA Resources Indigent Care - ATB	-	-	-	-
Federal DHHS Fund	94,314,832.56	-	49,049,013.79	143,363,846.35
Other	-	-	-	-
Total Other Financing Sources	188,123,535.57	-	97,858,875.91	285,982,411.48
Transfers To Other Pools:				
Public Goods Pool	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers To State Funds:				
HCRA Resources Fund Indigent Care Acct	(1,660.30)	(169.31)	-	(1,829.61)
Total Other Financing Uses	(1,660.30)	(169.31)	-	(1,829.61)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(499.32)	(169.31)	262.24	(406.39)
CLOSING CASH BALANCE	\$ 169.31	\$ -	\$ 262.24	\$ 262.24

Source: HCRA - Office of Pool Administration

APPENDIX E

STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2020-2021
(amounts in thousands)

	2020 APRIL	2020 MAY	2020 JUNE	2020 JULY	2020 AUGUST	2020 SEPTEMBER	2020 OCTOBER	2020 NOVEMBER	2020 DECEMBER	2021 JANUARY	2021 FEBRUARY	2021 MARCH	2020-2021 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	\$ -	\$ -	\$ -	\$ -	\$ 15							\$	15
Education - EXCEL	427	2,157	1,567	17	-								4,168
Department of Health - All Other	(1)	-	59	-	-								58
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-								-
Regional Development:													
Community Capital Assistance Program (CCAP)/RESTORE	525	-	454	444	323								1,746
Multi-modal	-	-	24	-	-								24
GenYsis	-	-	-	-	-								-
CUNY Senior Colleges	24,128	11,443	24,631	18,581	19,061								97,844
CUNY Community Colleges	4,766	1,358	5,403	2,217	1,052								14,796
Brooklyn Court Officer Training Academy	26	-	-	1,153	-								1,179
TOTAL DORMITORY AUTHORITY	29,871	14,958	32,138	22,412	20,451								119,830
EMPIRE STATE DEVELOPMENT CORP:													
Regional Development	-	-	-	-	-								-
Centers of Excellence	-	-	-	-	-								-
Community Capital Assistance Program (CCAP)	-	-	-	-	-								-
Empire Opportunity	-	-	-	-	-								-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-								-
State Facilities and Equipment	-	-	-	-	-								-
TOTAL EMPIRE STATE DEVELOPMENT CORP	-	-	-	-	-								-
TOTAL OFF-BUDGET	\$ 29,871	\$ 14,958	\$ 32,138	\$ 22,412	\$ 20,451	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 119,830

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	May 31, 2020	June 30, 2020	July 31, 2020	Change	August 31, 2020
10050	GENERAL FUND					
	STATE OPERATIONS AND LOCAL ASSISTANCE	\$ -	\$ -	\$ -	\$ -	\$ -
	TOTAL GENERAL FUND	\$ -	\$ -	\$ -	\$ -	\$ -
CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS						
30051	HIGHWAY AND BRIDGE CAPITAL	134,432,899.68	160,658,281.87	137,006,631.01	47,646,027.87	184,652,658.88
30053	AVIATION PURPOSE ACCOUNT	-	-	-	-	-
30101	REHAB/REPAIR MARITIME	-	-	-	-	-
30102	D21RVE- MARITIME	-	-	-	-	-
30103	D58RVE- CENTRAL ADMIN	-	-	-	-	-
30104	RESIDENCE HALL CAMPUS LET BOND PROCEEDS	-	-	-	-	-
30105	REHAB/REPAIR ALBANY	-	-	-	-	-
30106	D01RVE- ALBANY	-	-	-	-	-
30107	REHAB/REPAIR BINGHAMTON	-	-	-	-	-
30108	D07RVE- BINGHAMTON	-	-	-	-	-
30109	REHAB/REPAIR BUFFALO UNIVERSITY	-	-	-	-	-
30110	D28RVE- SUNY BUFFALO	-	-	-	-	-
30111	REHAB/REPAIR STONYBROOK	-	-	-	-	-
30112	D13RVE- STONYBROOK	-	-	-	-	-
30113	REHAB/REPAIR BROOKLYN	-	-	-	-	-
30114	D14RVE- HSC BROOKLYN	-	-	-	-	-
30115	REHAB/REPAIR SYRACUSE	-	-	-	-	-
30116	D15RVE- HSC SYRACUSE	-	-	-	-	-
30117	REHAB/REPAIR BROCKPORT	-	-	-	-	-
30118	D02RVE- BROCKPORT	-	-	-	-	-
30119	REHAB/REPAIR BUFFALO COLLEGE	-	-	-	-	-
30120	D03RVE- SUB BUFFALO	-	-	-	-	-
30121	REHAB/REPAIR CORTLAND	-	-	-	-	-
30122	D04RVE- CORTLAND	-	-	-	-	-
30123	REHAB/REPAIR FREDONIA	-	-	-	-	-
30124	D05RVE- FREDONIA	-	-	-	-	-
30125	REHAB/REPAIR GENESEO	-	-	-	-	-
30126	D06RVE- GENESEO	-	-	-	-	-
30127	REHAB/REPAIR OLD WESTBURY	-	-	-	-	-
30128	D31RVE- OLD WESTBURY	-	-	-	-	-
30129	REHAB/REPAIR NEW PALTZ	-	-	-	-	-
30130	D08RVE- NEW PALTZ	-	-	-	-	-
30131	REHAB/REPAIR ONEONTA	-	-	-	-	-
30132	D09RVE- ONEONTA	-	-	-	-	-
30133	REHAB/REPAIR OSWEGO	-	-	-	-	-
30134	D10RVE- OSWEGO	-	-	-	-	-
30135	REHAB/REPAIR PLATTSBURGH	-	-	-	-	-
30136	D11RVE- PLATTSBURGH	-	-	-	-	-
30137	REHAB/REPAIR POTSDAM	-	-	-	-	-
30138	D12RVE- POTSDAM	-	-	-	-	-
30139	REHAB/REPAIR PURCHASE	-	-	-	-	-
30140	D29RVE- PURCHASE	-	-	-	-	-
30141	REHAB/REPAIR FOR UTICA/ROME	-	-	-	-	-
30142	D27RVE- CAMPUS RESERVE	-	-	-	-	-
30143	REHAB/REPAIR ALFRED	-	-	-	-	-
30144	D22RVE- ALFRED	-	-	-	-	-
30145	REHAB/REPAIR CANTON	-	-	-	-	-
30146	D23RVE- CANTON	-	-	-	-	-
30147	REHAB/REPAIR COBLESKILL	-	-	-	-	-
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	-	-	-	-	-
30501	CWICA IMPLEMENTATION DEC	-	-	-	-	-
30502	CWICA IMPLEMENTATION STATE	-	-	-	-	-
30503	CWICA IMPLEMENTATION ERDA	-	-	-	-	-
30504	CWICA IMPLEMENTATION EFC	-	-	-	-	-
31506	HAZARDOUS WASTE CLEAN UP	-	-	-	-	-
31701	YOUTH FACILITIES IMPROVEMENT	-	-	-	-	-
31801	HOUSING ASSISTANCE	-	-	-	-	-
31851	HOUSING PROG FD-HSG TR FD CORP	-	-	-	-	-
31852	HOUSING PROG FD AFFORD HSG CORP	-	-	-	-	-
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	-	-	-	-	-
31854	HOUSING PROG FD-HFA	-	-	-	-	-
31951	HIGHWAY FAC PURPOSE	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	May 31, 2020	June 30, 2020	July 31, 2020	Change	August 31, 2020
32213	NY RACING ACCOUNT	153,750.00	153,750.00	153,750.00	-	153,750.00
32214	CAPITAL PROJECT MISC GIFTS	-	-	-	-	-
32215	IT CAPITAL FINANCING ACCT	1,311,287.77	1,619,301.49	1,915,529.83	786,547.09	2,682,076.92
32219	NY ENVIRONMENTAL PROTECTION & SPILL REMEDIATION	-	-	-	-	-
32301	OPWDD-STATE FACILITIES PRE 12/89	-	-	-	-	-
32302	DSAS-COMMUNITY FACILITIES	92,539,301.33	82,010,826.38	82,591,601.44	(12,455,302.31)	70,136,299.13
32303	OMH-COMMUNITY FACILITIES	-	-	-	-	-
32304	OPWDD-COMMUNITY FACILITIES	176,660,083.00	176,272,809.92	176,272,809.92	4,486,266.21	180,739,076.13
32305	OASAS-COMMUNITY FACILITIES	-	-	-	-	-
32306	DASNY - OMH ADMIN	4,005,576.39	7,828,273.39	7,828,273.39	-	7,828,273.39
32307	DASNY - OPWDD ADMIN	883,591.20	1,732,406.20	1,732,406.20	-	1,732,406.20
32308	DASNY - OASAS ADMIN	65,092,456.23	88,324,488.18	97,577,181.06	7,502,647.68	105,079,828.74
32309	OMH-STATE FACILITIES	14,521,897.38	17,831,809.86	17,831,809.86	1,275,300.00	19,107,109.86
32310	OPWDD-STATE FACILITIES	1,619,787.38	1,983,616.94	1,983,616.94	421,151.46	2,404,768.40
32311	OASAS-STATE FACILITIES	-	-	-	-	-
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	362,271,817.31	227,694,118.63	159,272,923.68	25,771,073.05	185,043,996.73
32352	DOCS-REHABILITATION PROJECTS	-	-	-	-	-
32353	CORR. FACILITIES CAPITAL CLOSURE	51,055,617.57	53,515,590.30	53,737,776.12	421,547.51	54,159,323.63
33001	STORM RECOVERY ACCOUNT	-	-	-	-	-
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	1,401,791,694.63	1,315,198,982.29	1,194,294,132.89	136,475,481.97	1,330,765,614.86
STATE SPECIAL REVENUE FUNDS						
20401	DOL-CHILD PERFORMER PROTECTION ACCOUNT	-	-	-	-	-
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	40,984,545.82	101,456,029.18	54,766,440.56	29,517,317.29	84,283,757.87
20818	EPIC PREMIUM ACCOUNT	3,985,007.11	7,324,399.12	-	-	-
20901	LOTTERY-EDUCATION	-	-	-	-	-
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	3,466,686.36	3,542,178.37	3,605,844.31	73,774.38	3,679,618.69
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21064	UTILITY ENVIRONMENTAL REGULATORY ACCOUNT	1,672,099.99	1,672,099.99	1,672,099.99	-	1,672,099.99
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	1,213,636.22	1,878,368.17	2,544,578.01	667,242.13	3,211,820.14
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	4,659,547.36	3,941,524.69	4,099,364.93	157,574.88	4,256,939.81
21067	ENCON-RECREATION	-	-	-	-	-
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	58,703,121.73	64,788,454.17	65,652,808.84	(265,859.03)	65,386,949.81
21082	NATURAL RESOURCES ACCOUNT	14,542,855.30	14,485,513.32	14,397,873.37	153,281.44	14,551,154.81
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	393.00	-	-	-	-
21202	HEALTH DEPT OIL SPILL	-	-	-	-	-
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	-	26,427.14	95.03	(95.03)	-
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	-	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	-	-	-	-	-
21451	OPERATING PERMIT PROGRAM	32,324,100.91	32,937,755.62	33,477,460.79	529,053.11	34,006,513.90
21452	MOBILE SOURCE	3,680,431.13	3,315,812.80	2,330,414.87	(1,383,432.76)	946,982.11
21902	HEALTH-SPARC'S	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	11,772,516.36	16,450,079.53	7,003,953.56	(936,075.28)	6,067,878.28
21907	MENTAL-HYGIENE PROGRAM	-	-	-	-	-
21909	FINANCIAL CONTROL BOARD	442,995.99	706,936.73	202,852.50	165,315.48	368,167.98
21911	RACING REGULATION ACCOUNT	2,141,870.01	2,832,223.50	2,028,062.32	(142,959.59)	1,885,102.73
21937	SU DORM INCOME REIMBURSE	-	320,127.42	196,888.87	(106,709.90)	90,178.97
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	-	-
21959	ENV LAB REF FEE	-	-	-	-	-
21981	TRAINING, MANAGEMENT AND EVALUATION ACCOUNT	532,067.69	590,377.37	647,700.58	11,824.50	659,525.08
21982	INDIRECT COST RECOVERY	10,443,122.68	11,729,243.15	11,661,405.33	222,235.04	11,883,640.37
21978	HIGH SCHOOL EQUIVALENCY PROGRAM	1,619,150.69	3,350,190.59	-	-	-
21989	MULTI- AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	BELL JAR COLLECTION ACCOUNT	-	-	-	-	-
22004	INDUSTRY AND UTILITY SERVICE	-	-	-	-	-
22006	REAL PROPERTY DISPOSITION	-	-	-	-	-
22007	PARKING ACCOUNT	-	-	-	-	-
22008	COURTS SPECIAL GRANTS	-	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	25,060.36	32,921.28	40,558.87	2,531.76	43,090.63
22017	CAMP SMITH BILLETING ACCOUNT	-	-	-	-	-
22032	BATAVIA SCHOOL FOR THE BLIND	8,503,506.34	9,221,734.60	9,243,397.88	809,872.71	10,053,270.59
22034	INVESTMENT SERVICES	-	-	-	-	-
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	May 31, 2020	June 30, 2020	July 31, 2020	Change	August 31, 2020
22039	FINANCIAL OVERSIGHT	639,149.03	941,372.35	288,954.28	286,773.89	555,728.17
22046	REGULATION INDIAN GAMING	92,478,418.83	93,769,436.68	94,851,180.94	(1,951,213.95)	92,899,966.99
22053	ROME SCHOOL FOR THE DEAF	3,370,784.91	3,330,301.50	3,830,663.92	726,686.19	4,557,350.11
22054	DSP-SIZED ASSETS	1,404,442.69	1,272,138.16	1,227,999.63	(208,027.03)	1,018,972.60
22055	ADMINISTRATIVE ADJUDICATION	21,077,054.35	23,272,448.49	20,677,781.17	2,928,799.86	23,606,581.03
22056	FEDERAL SALARY SHARING	282,995.82	422,168.37	639,956.47	214,201.22	854,157.69
22062	NYC ASSESSMENT ACCT	-	-	-	-	-
22063	CULTURAL EDUCATION ACCOUNT	6,231,236.23	6,772,749.59	8,155,159.90	(1,648,193.59)	6,506,966.31
22078	LOCAL SERVICE ACCOUNT	-	-	-	-	-
22086	DACR MORTGAGE SERVICES	15,845,956.51	15,982,860.55	16,125,064.82	305,377.40	16,430,442.22
22090	HOUSING INDIRECT COST RECOVERY	-	-	-	-	-
22100	DHCR-HOUSING CREDIT AGENCY APPLY FEE	7,534,453.81	8,646,721.74	9,073,223.01	579,670.51	9,652,893.52
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONTROSE VETERANS HOME	-	-	-	-	-
22151	DEFERRED COMPENSATION ADMIN	71,633.69	133,843.96	186,214.42	51,952.24	238,166.66
22156	RENT REVENUE OTHER - NYC	-	-	-	-	-
22158	RENT REVENUE	-	-	-	-	-
22168	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-
22168	TAX REVENUE ARREARAGE ACCOUNT	765,796.61	893,808.12	984,850.06	96,126.19	1,083,976.25
22240	NY'S MEDICAL INDEMNITY FUND ACCOUNT	20,653,488.14	20,657,057.09	20,659,528.61	2,761.75	20,662,290.36
22654	S.U. NON-RESIDENT REV. OFFSET	29,397.23	144,864.67	247,138.52	(247,138.52)	-
22751	LAKE GEORGE PARK TRUST FUND	-	-	-	-	-
22802	STATE POLICE MV ENFORCE	-	-	-	-	-
23001	DOT - HIGHWAY SAFETY PRGM	14,950,648.45	15,198,258.53	15,366,088.88	265,903.14	15,631,992.02
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	30,145,470.87	35,975,980.05	38,503,815.68	2,276,089.30	40,779,914.98
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-
23702	COMMERCIAL GAMING REGULATION	18,713,031.79	19,120,288.63	19,423,617.53	303,850.65	19,727,468.18
23801	HIGHWAY USE TAX ADMIN	-	-	-	-	-
23806	NY'S SECURE CHOICE ADMIN	-	-	-	-	-
24951	FANTASY SPORTS ADMINISTRATION	5,780.79	34,948.58	34,948.58	-	34,948.58
	TOTAL STATE SPECIAL REVENUE FUNDS	440,669,389.50	532,503,595.50	469,178,936.75	33,460,520.38	502,639,457.13
	FEDERAL FUNDS					
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	32,705,787.21	53,113,377.13	4,861,559.56	113,849,177.37	118,710,736.93
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	1,888,440,953.44	961,080,416.03	120,502,674.30	65,212,617.33	185,715,291.63
25200-25249	FEDERAL EDUCATION GRANTS FUND	22,311,328.48	31,456,748.85	29,827,487.57	71,764,788.11	101,592,275.68
25250-25299	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-
25300-25899	FEDERAL OPERATING GRANTS FUND	472,858,847.63	471,256,489.93	682,171,490.90	(214,182,731.53)	467,988,759.37
31351	MILITARY AND NAVAL AFFAIRS	8,753,932.66	8,753,932.66	8,753,932.66	-	8,753,932.66
31350-31449	DEPARTMENT OF TRANSPORTATION	481,206,740.17	487,360,142.92	447,377,872.95	(28,396,132.84)	418,981,740.11
25900-25949	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	107,771,660.98	112,369,587.02	115,023,670.81	2,845,775.26	117,669,446.07
25950	FEDERAL EMPLOYMENT INSURANCE ADMINISTRATION	19,255,414.32	25,711,197.65	33,519,545.80	(1,729,589.11)	31,789,946.69
26001-26049	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	491,634.50	696,610.50	416,583.50	33,526.50	450,110.00
	DOL EMPLOYMENT AND TRAINING GRANTS	6,529,459.41	5,215,849.27	12,723,671.70	(24,491,195.53)	234,476.17
	TOTAL FEDERAL FUNDS	3,040,325,767.80	2,176,844,331.96	1,455,180,489.75	(3,293,774.44)	1,451,886,715.31
	AGENCY FUNDS					
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-
	TOTAL AGENCY FUNDS	-	-	-	-	-
	ENTERPRISE FUND					
50318	OGS CONVENTION CENTER ACCOUNT	484,172.57	498,925.57	586,266.50	62,650.98	648,917.48
50327	EMPIRE PLAZA GIFT SHOP	197,920.18	216,211.92	228,262.18	12,727.61	240,989.79
	TOTAL ENTERPRISE FUND	682,092.75	715,137.49	814,528.68	75,378.59	889,907.27
	INTERNAL SERVICE FUNDS					
55001	CENTRALIZED SERVICES-FLEET MGMT	-	-	-	-	-
55002	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-
55003	CENTRALIZED SERVICES-PRINTING	1,579,839.71	1,496,350.49	1,446,232.57	(3,394.61)	1,442,837.96
55004	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	-	-	-	-	-
55005	CENTRALIZED SERVICES-DONATED FOODS	-	-	-	-	-
55006	CENTRALIZED SERVICES-PERSONAL PROPERTY	-	-	-	-	-
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	-	-	-	-	-
55008	CENTRALIZED SERVICES-PASNY	12,565,307.21	12,585,092.43	13,357,877.47	2,029,101.91	15,387,079.38
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	-	-	-	-	-
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	2,981,023.93	2,933,431.43	2,891,489.38	(577,390.68)	2,314,098.70
55011	CENTRALIZED SERVICES-INSURANCE	15,829,669.25	16,414,005.80	16,794,151.78	(1,657,128.31)	15,127,023.47
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	2,469,769.81	2,460,273.27	4,577,187.96	3,013,169.38	7,590,357.34
55013	CENTRALIZED SERVICES-COPS	230,533.30	221,823.30	207,459.30	(18,798.00)	188,661.30
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55015	CENTRALIZED SERVICES-HOMER FOLKS	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	May 31, 2020	June 30, 2020	July 31, 2020	Change	August 31, 2020
55016	CENTRALIZED SERVICES-IMMICS	1,660,588.96	1,772,738.94	1,514,610.99	6,746.14	1,521,357.13
55017	DOWNSTATE WAREHOUSE	628,870.65	711,223.47	662,969.71	(141,851.21)	521,118.50
55018	BUILDING ADMINISTRATION	77,436.38	-	-	-	-
55019	LEASE SPACE INITIATIVE	-	-	-	-	-
55020	OGS ENTERPRISE CONTRACTING ACCT	62,445,110.42	64,688,929.15	73,597,486.69	2,972,166.10	76,569,652.79
55021	NYS MEDIA CENTER	7,943,434.39	8,528,434.62	9,055,539.70	384,241.15	9,439,780.85
55022	BUSINESS SERVICES CENTER	32,865,150.00	10,971,557.60	12,933,909.60	1,985,584.52	14,919,494.12
55052	ARCHIVES RECORD MGMT I/S.	-	-	73,519.17	(73,519.17)	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	-	-	-	-	-
55057	BANKING SERVICES ACCOUNT	31,793.07	123,821.85	18,460.34	(18,460.34)	-
55058	CULTURAL RESOURCE SURVEY	1,195,740.22	1,451,777.47	1,674,062.39	413,183.98	2,087,246.37
55059	NEIGHBOR WORK PROJECT	11,378,649.67	11,272,972.62	11,275,561.47	(23,897.75)	11,251,663.72
55060	AUTOMATIC/PRINT CHARGBACKS	2,955,460.96	4,475,588.10	5,319,415.94	1,865,926.70	7,185,342.64
55061	OFT NYT ACCT	1,630,366.14	1,445,258.44	1,445,258.44	-	1,445,258.44
55062	DATA CENTER ACCOUNT	41,893,207.51	44,909,722.53	43,326,143.01	5,995,712.08	49,321,855.09
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	118,572.83	145,481.62	170,986.11	(4,643.20)	166,342.91
55069	CENTRALIZED TECHNOLOGY SERVICES	44,818,059.74	78,081,800.66	74,973,272.59	(5,607,893.16)	69,365,379.43
55071	LABOR CONTACT CENTER ACCT	1,317,211.08	3,486,640.87	3,663,586.73	506,235.04	4,169,821.77
55072	HUMAN SERVICES CONTACT CNTR ACCT	223,463.56	1,244,122.41	1,752,511.26	876,081.92	2,628,593.18
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55074	CIVIL RECOVERIES ACCT	-	-	75,398.42	1,092,193.42	1,167,591.84
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	9,278,769.41	9,548,378.43	9,778,854.76	225,982.17	10,004,846.93
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	34,435,234.47	37,389,000.24	41,456,353.95	1,859,363.23	43,315,717.18
55300	HEALTH INSURANCE INTERNAL SERVICE	12,724,382.68	2,026,206.73	3,145,790.06	1,032,619.58	4,178,409.64
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	4,295,954.99	4,409,764.34	4,504,814.98	95,050.64	4,599,865.62
55350	CORR INDUSTRIES INTERNAL SERVICE	30,030,857.31	35,032,506.26	40,232,673.85	1,210,988.52	41,443,662.37
	TOTAL INTERNAL SERVICE FUNDS	338,866,041.92	359,088,487.34	381,177,262.89	17,437,380.05	398,614,642.94
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	\$ 5,222,314,986.60	\$ 4,384,350,534.58	\$ 3,500,645,350.96	\$ 184,154,986.55	\$ 3,684,800,337.51

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 56, Part JJ, Section 1, of the Laws of 2020-21. The loans represent authorizations made by the Legislature to allow certain funds/accounts to make appropriated payments regardless of the fund (cash) balance. Such loans are made from the State's Short-Term Investment Pool (STIP) and are intended to satisfy temporary cash shortfalls whenever scheduled disbursements exceed available revenues during the fiscal year. Generally, temporary loans are repaid from the first cash receipts of the fund or account; however, in some cases actual revenues are not sufficient to repay all loans made to the fund or account and a transfer from the General Fund "Repayment of Receivables" appropriation is approved by the Budget Director. The balances reported here in Appendix F are the actual fund balances as of the close of business on the last day of the reporting month and do not include post-closing adjustments. Please refer to Schedule 1 for a detailed analysis of the "reported" cash balances of the fund group.

(**) Temporary loans to federal funds are typically reimbursed within 2-3 days. Such loans are made pursuant to federal regulations which require the State to disburse funds prior to making a reimbursement claim from the U.S. Treasury.

(***) Per Section 72 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).

STATE OF NEW YORK
DEDICATED INFRASTRUCTURE INVESTMENT FUND(*)
STATEMENT OF RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2020-2021

APPENDIX G

	2020 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2021 JANUARY	FEBRUARY	MARCH	5 Months Ended August 31, 2021
OPENING CASH BALANCE													
RECEIPTS:													
Transfers from General Fund (**)	\$ 86,513,214	\$ 49,126,483	\$ 42,662,065	\$ 7,636,110	\$ 165,822,086	-	-	-	-	-	-	-	\$ 86,513,214
Other	-	-	-	204,000,000	-	-	-	-	-	-	-	-	204,000,000
Total Receipts	-	-	-	204,000,000	-	-	-	-	-	-	-	-	204,000,000
DISBURSEMENTS:													
Capital Construction	-	-	9,481	533,024	-	-	-	-	-	-	-	-	542,505
Broadband Initiative	1,735,855	1,420,080	-	6,998,821	-	-	-	-	-	-	-	-	10,145,566
Downtown Revitalization	-	-	-	-	-	-	-	-	-	-	-	-	-
Empire State Poverty Reduction Initiatives	2,457,343	88,175	-	1,071,138	565,275	-	-	-	-	-	-	-	4,181,931
Health Care / Hospital Initiatives	2,586,638	3,634,367	1,781,021	298,011	2,275,903	-	-	-	-	-	-	-	10,575,940
Information Technology/Infrastructure for Behavioral Sciences	-	-	-	-	-	-	-	-	-	-	-	-	-
Infrastructure Improvements	-	-	5,540,794	1,292,017	2,270,353	-	-	-	-	-	-	-	9,103,163
Life Sciences Initiative	-	-	-	-	55,700,000	-	-	-	-	-	-	-	55,700,000
Life Sciences Expansion	2,500,000	1,500,000	-	-	-	-	-	-	-	-	-	-	4,000,000
Municipal Restructuring / Consolidation Competition	3,054,840	(2,778,292)	-	562,372	(6,035)	-	-	-	-	-	-	-	838,920
Penn Station Access	-	-	-	-	-	-	-	-	-	-	-	-	-
Resiliency, Mitigation, Security and Emergency Response	-	-	-	-	-	-	-	-	-	-	-	-	-
Southern Tier / Hudson Valley Farm Initiative	-	-	-	30,000	55,274	-	-	-	-	-	-	-	85,274
Thruway Stabilization Program	-	-	22,587,449	24,055,021	2,944,322	-	-	-	-	-	-	-	49,586,791
Transportation Development Projects	10,440,876	79,325	4,746,161	282,274	-	-	-	-	-	-	-	-	15,548,636
Transportation Capital Plan	-	-	-	-	-	-	-	-	-	-	-	-	-
Upstate Revitalization Program	14,511,179	2,520,763	351,049	10,700,538	900,000	-	-	-	-	-	-	-	29,053,529
Total Disbursements	37,386,731	6,464,418	35,025,955	45,814,014	64,705,092	-	-	-	-	-	-	-	185,386,210
OPERATING TRANSFERS:													
Transfers to General Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Disbursements and Transfers	37,386,731	6,464,418	35,025,955	45,814,014	64,705,092	-	-	-	-	-	-	-	185,386,210
CLOSING CASH BALANCE	\$ 49,126,483	\$ 42,662,065	\$ 7,636,110	\$ 165,822,086	\$ 101,117,004	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 101,117,004

(*) Fund created pursuant to Chapter 60, Laws of 2015-16, Part H and S.F.L. § 93-b
(**) Pursuant to Section 83(b) of the State Finance Law

APPENDIX H

STATE OF NEW YORK
MEDICAL ASSISTANCE DISBURSEMENTS - STATE FUNDS^(*)
FISCAL YEAR 2020-2021

	AUGUST 2020			5 MONTHS ENDED AUGUST 31		
	Department of Health	Other State Agencies	August	Department of Health	Other State Agencies	Year to Date
\$	-	\$	\$	\$	\$	
Adult State Share Medicaid	-	-	975,162.97	47,867,305.00	33,017,216.00	33,017,216.00
State Share Medicaid	-	975,162.97	975,162.97	-	(6,134,878.22)	41,732,426.78
Medical Assistance (OPWDD)	-	-	-	-	-	-
Medical Assistance Administration	6,716,889.10	-	6,716,889.10	10,489,845.40	11,415,893.00	21,905,738.40
Population Health Improvement	46,167.85	-	46,167.85	973,760.79	-	973,760.79
Traumatic Brain Injury Services	-	-	-	3,786,892.52	-	3,786,892.52
Nursing Home Transition & Diversion	-	-	-	-	-	-
Reducing Maternal Mortality	320.01	-	320.01	340,978.50	-	340,978.50
New York Connects	-	157,214.08	157,214.08	-	3,475,957.69	3,475,957.69
Facilitated Enrollment	271,964.56	-	271,964.56	1,164,872.91	-	1,164,872.91
Emergency Medical Transportation	-	-	-	750,000.00	-	750,000.00
Managed Long-Term Care Ombudsman	-	-	-	2,477,337.73	-	2,477,337.73
Major Academic Pool	-	-	-	-	-	-
Women's Health & Multiple Births	-	-	-	-	-	-
Vital Access Program (OASAS)	-	-	-	-	-	-
Vital Access Program (OMH)	-	-	-	-	-	-
Vital Access Provider Services	-	-	-	-	-	-
General Hospitals Safety-Net Providers	-	-	-	-	-	-
Rural Transportation	-	-	-	35,239,490.00	-	35,239,490.00
AIDS Epidemic	853,968.17	-	853,968.17	1,237,944.05	-	1,237,944.05
Fluoridation Systems	227,899.97	-	227,899.97	750,709.02	-	750,709.02
Expanding Caregiver Support Services	2,363,042.18	-	2,363,042.18	10,900,381.52	-	10,900,381.52
Provide Affordable Housing	3,134,786.06	1,063,926.00	4,198,712.06	9,699,617.56	2,582,365.04	12,281,982.60
Health Homes Establishment	-	-	-	376,446.03	-	376,446.03
Community Provider Network	-	-	-	(1,320,927.55)	-	(1,320,927.55)
Inpatient Services	51,509,225.40	-	51,509,225.40	258,497,053.97	-	258,497,053.97
Patient-Centered Medical Homes	-	-	-	46,974,452.85	-	46,974,452.85
Outpatient & Emergency Room Services	8,606,017.26	-	8,606,017.26	67,213,158.78	-	67,213,158.78
Clinic Services	11,696,849.12	-	11,696,849.12	62,826,654.50	-	62,826,654.50
Nursing Home Services	71,648,720.82	-	71,648,720.82	351,384,107.01	-	351,384,107.01
Other Long Term Care Services	685,158,146.75	-	685,158,146.75	3,280,997,248.06	-	3,280,997,248.06
Managed Care Services	442,759,952.39	-	442,759,952.39	2,053,524,002.43	-	2,053,524,002.43
Pharmacy Services	10,965,686.65	-	10,965,686.65	59,845,710.01	-	59,845,710.01
Transportation Services	12,742,754.37	-	12,742,754.37	36,820,493.20	-	36,820,493.20
Dental Services	258,342.15	-	258,342.15	874,983.09	-	874,983.09
Non-Institutional & Other	121,957,510.39	411,464.00	122,368,974.39	302,362,810.04	552,762.00	302,915,572.04
Medical Services State Facilities	8,283,972.61	-	8,283,972.61	558,358,750.37	-	558,358,750.37
CSEA Family Health Plus Buy In	-	-	-	128,310.97	-	128,310.97
DC37 & Teamster Local 858	-	-	-	-	-	-
Medical Assistance (HCRA)	300,000,000.00	-	300,000,000.00	1,725,000,000.00	-	1,725,000,000.00
Indigent Care	73,309,862.12	-	73,309,862.12	261,518,565.13	-	261,518,565.13
Provider Assessments	51,800,000.00	-	51,800,000.00	297,545,000.00	-	297,545,000.00
NYC Personal Care Workforce Recruitment and Retention Rates (HCRA)	-	-	-	-	-	-
Personal Care Workforce Recruitment and Retention Rates (HCRA)	-	-	-	-	-	-
Home Health Rate Increase (HCRA)	-	-	-	-	-	-
Additional DSH Payments SUNY	-	-	-	-	-	-
TOTAL (*)	1,864,312,077.93	2,607,767.05	1,866,919,844.98	9,488,605,953.89	44,909,315.51	9,533,515,269.40
Reclassification of Medical Assistance payments for care and treatment of patients at State-operated health, mental hygiene and State University facilities to Transfers.						
	(10,455,502.17)	-	(10,455,502.17)	(620,228,215.43)	-	(620,228,215.43)
TOTAL REPORTED MEDICAID	\$ 1,853,856,575.76	\$ 2,607,767.05	\$ 1,856,464,342.81	\$ 8,868,377,738.46	\$ 44,909,315.51	\$ 8,913,287,053.97

^(*) General Fund and State Special Revenue Funds only.
These amounts do not include Medical Assistance spending for State Operations.
These amounts are not comparable to Medicaid Global Cap spending.
Department of Health regularly reclassifies spending between programs, and therefore amounts for any individual program may be restated by DOH.
^(*)Source: Statewide Financial System

APPENDIX I

STATE OF NEW YORK
MEDICAL ASSISTANCE DISBURSEMENTS - FEDERAL FUNDS^(*)
FISCAL YEAR 2020-2021

	AUGUST 2020			5 MONTHS ENDED AUGUST 31		
	Department of Health		Other State Agencies	Department of Health		Other State Agencies
	August	August	August	Department of Health	Other State Agencies	Year to Date
Medical Assistance & Survey Certification Program	\$ 14,125,664.27	\$ -	\$ -	\$ 46,937,377.01	\$ -	\$ 46,937,377.01
Medical Assistance Administration	64,015.50	-	-	17,653,218.50	132,774.00	17,785,992.50
Partnership Plan	-	-	-	29,330,955.23	-	29,330,955.23
Inpatient Services	262,056,993.49	262,056,993.49	-	1,610,426,270.50	-	1,610,426,270.50
Outpatient & Emergency Room Services	28,526,015.34	28,526,015.34	-	334,525,318.57	-	334,525,318.57
Clinic Services	47,395,891.65	47,395,891.65	-	249,886,137.96	-	249,886,137.96
Nursing Home Services	108,657,975.43	108,657,975.43	-	550,226,478.13	-	550,226,478.13
Other Long Term Care Services	1,404,980,433.55	1,404,980,433.55	-	5,150,076,220.46	-	5,150,076,220.46
Managed Care Services	1,430,708,702.73	1,430,708,702.73	-	9,281,966,134.82	-	9,281,966,134.82
Pharmacy Services	30,165,211.77	30,165,211.77	-	173,525,077.81	-	173,525,077.81
Transportation Services	35,008,597.98	35,008,597.98	-	188,545,033.36	-	188,545,033.36
Dental Services	853,914.01	853,914.01	-	3,630,850.06	-	3,630,850.06
Non-Institutional & Other	120,251,198.78	120,251,198.78	-	132,374,542.95	-	132,374,542.95
Medical Services State Facilities	(2,670,810.00)	(2,670,810.00)	-	451,796,474.84	-	451,796,474.84
Additional DSH Payments SUNY	-	-	-	-	-	-
TOTAL^(**)	3,480,123,804.50	3,480,123,804.50	-	18,220,900,090.20	132,774.00	18,221,032,864.20
Reclassification of Medical Assistance payments for care and treatment of patients at State-operated health, mental hygiene and State University facilities to Transfers and adjustments for timing of payments at month end.	(43,847,802.73)	(43,847,802.73)	-	108,438,355.44	-	108,438,355.44
TOTAL REPORTED MEDICAID^(***)	\$ 3,436,276,001.77	\$ 3,436,276,001.77	\$ -	\$ 18,329,338,445.64	\$ 132,774.00	\$ 18,329,471,219.64

^(*) Special Revenue Federal Funds only.

These amounts do not include Medical Assistance spending for State Operations.

These amounts are not comparable to Medicaid Global Cap spending.

^(**) Source: Statewide Financial System

^(***) Reported Medicaid spending does not include the Basic Health Plan.

