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Issue 31
Book 1 of 2

DEPARTMENT OF STATE
Division of Administrative Rules

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 September 29, 2019
– the 45-day period expires on September 14, 2019
– the 30-day period expires on August 30, 2019

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NEW YORK STATE DEPARTMENT OF STATE

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NEW YORK STATE
REGISTER

Be a part of the rule making process!

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

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

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

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

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

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

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

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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 Agriculture and Markets

NOTICE OF ADOPTION

Incorporation by Reference of the 2017 Edition of the Grade A Pasteurized Milk Ordinance ("PMO")

I.D. No. AAM-18-19-00001-A
Filing No. 659
Filing Date: 2019-07-15
Effective Date: 2019-07-31

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

Action taken: Amendment of section 2.1 of Title 1 NYCRR.

Statutory authority: Agriculture and Markets Law, sections 16, 18, 46, 46-a, 50-k, 71-a, 71-n and 214-b

Subject: Incorporation by reference of the 2017 edition of the Grade A Pasteurized Milk Ordinance (''PMO'').

Purpose: To require certain producers, processors and manufacturers of milk and milk products to comply with the 2017 edition of the PMO.

Text or summary was published in the May 1, 2019 issue of the Register, I.D. No. AAM-18-19-00001-P.

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

Text of rule and any required statements and analyses may be obtained from: Casey McCue, Division of Milk Control & Dairy Services, NYS Dept. of Agriculture & Markets, 10B Alirline Drive, Albany, NY 12235, (518) 457-1772, email: Casey.McCue@agriculture.ny.gov

Revised Job Impact Statement

The proposed rule will not have an adverse impact on jobs or on employment opportunities.

The proposed rule will amend 1 NYCRR Part 2 to incorporate by reference the 2017 edition of the Grade A Pasteurized Milk Ordinance ("the 2017 PMO") and make the provisions thereof applicable to producers, processors and manufacturers of "Grade A" milk and milk products, located in New York, that have a sanitation compliance rating of ninety or better, as set forth in the latest Sanitation and Compliance Enforcement Ratings of the Interstate Milk Shippers Conference ("IMSC"), and that may, therefore, ship such foods in interstate commerce. Such producers, processors and manufacturers are already practically required to substantially comply with the provisions of the 2017 PMO, and setting forth such requirement in regulations places no additional burden upon them. As such, the proposed rule will have no adverse impact upon jobs or employment opportunities.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2022, 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.

Office of Children and Family Services

EMERGENCY RULE MAKING

Procedures for Addressing Children Absent Without Consent from Foster Care, Conditional Releases and Searches

I.D. No. CFS-19-19-00006-E
Filing No. 660
Filing Date: 2019-07-16
Effective Date: 2019-07-16

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

Action taken: Amendment of sections 431.8, 431.19, 431.20, 431.21, 441.2, 441.18 and 441.23 of Title 18 NYCRR.

Statutory authority: Social Services Law, sections 20(3)(d), 34(3)(f) and 398(3-a)(a)(1)

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

Specific reasons underlying the finding of necessity: The Office of Children and Family Services (Office) has determined that continued adoption of 18 NYCRR §§ 431.8, 431.19, 431.20, 431.21, 441.18, and 441.23 on an emergency basis is necessary to protect the health, safety and welfare of youth in care throughout New York State, and specifically to protect youth in care under Chapter 59 of the Laws of 2017 (also known as the Raise the Age legislation). The regulations were initially adopted on an emergency basis on April 17, 2019 and published in the State Register on May 8, 2019. The public comment period closes on July 8, 2019, one week before the emergency adoption expires on July 15. To provide the Office time to review and respond to public comment prior to final adoption, a second emergency adoption is necessary.

These emergency regulations strengthen the Office's ability to monitor the local department of social services' (LDSS) oversight of such youth and provide LDSSs with appropriate standards for the conditional release,

revocation and duration of placement of youth in care. In addition, the regulations set appropriate standards for authorized agencies caring for Raise the Age youth and other youth as it related to youth leaving their program without permission, youth privacy rights, searches and contraband.

There are currently 11 programs across the state serving youth placed by the court on a delinquency due to Raise the Age and over 30 programs in New York City serving youth placed on delinquencies. In October 2019, the second phase of the legislation goes into effect and with it authorized agencies, including Close to Home programs, will need these tools and resources to best serve their populations.

Social Services Law (SSL) § 398(3-a)(a)(1), enacted as part of the Close to Home legislation, (see L. 2012, c. 57, pt. G, subpt. B, § 7; see also SSL § 404), authorizes the conditional release of youth that are adjudicated juvenile delinquents and placed with an LDSS in aftercare provided the conditional release is made in accordance with the Office's regulations. Moreover, SSL § 398(3-a)(a)(4) authorizes LDSSs, pursuant to the Office's regulations, to revoke a youth's release to the community from care and return the youth to an LDSS facility. Presently, the Office does not have regulations governing the release and revocation of such youth. Adoption of these regulations on an emergency basis is needed to prevent inconsistent standards among LDSSs in the release and revocation of delinquent youth and to promote consistent methods in the calculation of the duration of placement of delinquent youth.

The regulatory proposals are needed to provide guidance to authorized agencies to address the treatment of youth placed in care and who are residing with authorized agencies when those children are absent from the program without consent; the circumstances under which an adjudicated juvenile delinquent may be conditionally released; the circumstances under which searches of persons and property may occur; define contraband; and provide terms and conditions to be imposed on conditional release to promote and enhance the chances for success for youth. The proposed regulations are needed to promote consistent outcomes for youth and the fundamental interests of youth, such as due process and the right to a hearing when a youth's conditional release is revoked, as well as the prevention of wrongful placement due to the miscalculation of the duration of placement for a delinquent youth.

Subject: Procedures for addressing children absent without consent from foster care, conditional releases and searches.

Purpose: To put in place procedures for addressing children absent without consent from foster care, conditional releases and searches.

Substance of emergency rule (Full text is posted at the following State website: https://ocfs.ny.gov/main/legal/Regulatory/er/): 431.8 Procedures in cases of children absent without consent from foster care placement

Amends subdivision (f) by adding a new subparagraph (2) and renumbering the subsequent subparagraphs. References new regulatory sections 431.19 and 431.20 regarding release calculations and placement time and includes youth who are adjudicated delinquent and are over the age of 16 at the time of the delinquent act who may stay in custody through age 23; adds new language to clarify the mechanisms under which youth can be discharged from care if absent and are unable to be found; and makes conforming language changes reflecting the state system of record, CONNECTIONS.

431.19 Conditional Release of Youth Placed Pursuant to a Delinquency Adjudication

This section is added to the foster care regulations that are required by legislation to create the framework for conditional release of youth placed pursuant to a delinquency adjudication by the Close to Home legislation. These regulations are required now due to an increased number of youth anticipated to be placed in LDSS custody due to Raise the Age, and a new model of delinquency placement which requires a period of supervised release prior to the expiration of the delinquency placement order. This part provides for the following:

Conditions under which a youth may be conditionally released; limits on those releases relative to time out of program due to absence; appropriate release resources; required conditions of release; actions required to be taken by youth, release resource, case worker and DSS case manager; conditions under which a youth's conditions of release may be modified; conditions for revocation of release; required documentation for revocation; the process for revocation of release including requirements of a revocation hearing and; conditions for a voluntary return to placement.

431.20 Interruption of Placement Time

This section is added to address interruptions in placement and effects on calculating placement time.

431.21 Placement Calculation for Youth Placed Pursuant to a Delinquency Adjudication

This section is added to provides requirements to calculate the time in placement, including provisions for any time credit due to time served in detention.

441.2 Definitions

Subdivision (a) is amended to add the term "youth" as part of the definitions for foster care; references article 10-B of the Family Court Act (FCA) for youth reentering care after age 18; allows youth over the age 21 to stay in care if they come into care on an Article 3 of the FCA and were over the age of 16 at the time of the act. Subdivision (p) is added to define "office" the Office of Children and Family services.

441.18 Children's Privacy Rights

Subdivision (d) is repealed and replaced to provide the circumstances under which a youth's property and person may be searched congregate care settings, setting out a "reasonable cause" standard. It provides limitations on where and how searches shall be conducted including requirements for the child care facility to have a search policy; grounds for facility searches; use of metal detectors or dogs; sets forth parameters for personal searches of a youth limited to pat searches except in programs that serve only youth placed on an Article 3 which allows pat frisks; provides a definition of contraband; requires agencies to have a contraband policy which includes procedures for documenting and disposing of contraband.

441.23 Tobacco Product and Non-Prescribed or Non-Approved Inhaling Device Use Prohibition

Is amended to prohibit use of non-prescribed or non-approved inhaling devices by staff, youth and visitors; and to define unauthorized inhaling devices as contraband for youth and requiring confiscation.

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. CFS-19-19-00006-EP, Issue of May 8, 2019. The emergency rule will expire September 13, 2019.

Text of rule and any required statements and analyses may be obtained from: Leslie Robinson, Senior Attorney, Office of Children and Family Services, 52 Washington Street, Rensselaer, New York 12144, (518) 486-9563, email: regcomments@ocfs.ny.gov

Regulatory Impact Statement

1. Statutory authority:

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

Section 34(3)(f) of the Social Services Law authorizes the Commissioner of the OCFS to establish regulations for administration of public assistance and care within the state.

Section 398(3-a)(a)(1) of the Social Services Law authorizes the conditional release of any juvenile delinquent placed with a district to aftercare provided that such conditional release shall be made in accordance with OCFS regulations.

2. Legislative objectives:

Enactment of "Raise The Age" (RTA) (Chapter 59 or the Laws of 2017) legislation was an initiative of Governor Andrew Cuomo as New York was one of only two states left that still considered all 16 and 17 year olds automatically criminally responsible. Consistent with adolescent developmental needs and the Prison Rape Elimination Act, the RTA recognizes the potential vulnerability and treatment needs of young persons who are charged with criminal conduct. The RTA law raised the presumptive age of juvenile accountability to 16 year olds as of 10/1/2018 and for 17 year-olds effective 10/1/2019, and the vast majority of cases for 16 and 17 year olds will either originate in or be transferred to Family Court from the new Youth Part of the adult criminal court. Youth whose cases are in Family Court, if the youth is to be detained (pretrial or during the pendency of trial), or if placed (post-trial as a disposition), will be housed in OCFS-operated or OCFS-licensed authorized agencies.

3. Needs and benefits:

The proposed regulations provide uniform guidance to clarify the Raise the Age law as it applies to authorized agencies and county Departments of Social Services.

The regulatory proposals which add provisions to Part 431 of the Social Services regulations for the "Care and Protection of Children" are needed to provide guidance to authorized agencies to address the circumstances under which an adjudicated juvenile delinquent may be conditionally released and provides for terms and conditions to be imposed on such a conditional release so as to promote and enhance the chances for success for the youth. There is also a provision for a hearing for the youth where the conditional release is revoked. Other regulations are proposed for Part 431 to address the calculation of a placement for a youth placed on a delinquency adjudication and the effect of an interruption of that placement.

The regulatory proposals in Article 3 – "Child Care Agencies" in the Part 441 General provisions of the Social Services regulations expands the definition of a "child or youth" to comply with the language in the Raise The Age law. A new subdivision is added to provide guidance to autho-

rized agencies for circumstances in which searches of a child's or youth's property or person may be searched and requires agencies to have written policies about searches that must be in accord with the regulations. Another proposed regulation adds a prohibition of non-prescribed or non-approved inhaling devices.

4. Costs:

The authorized child care agencies may have increased staffing needs due to more, older youth being placed pursuant to juvenile delinquency adjudications, resulting in higher costs for the agencies. Also, any youth whose conditional release is revoked is entitled to a revocation hearing and as such, there may be an increase in hearing of this nature. This may result in increased costs for the counties, however, these costs are likely to be covered by the Raise The Age law appropriation at 100% provided that the county is within the tax cap or proves hardship.

5. Local government mandates:

Proposed regulation 18 NYCRR § 431.19 imposes the following mandates on a local social services district (LDSS):

1. Subdivision (e) requires the LDSS to remain responsible for a youth conditionally released pursuant to a delinquency adjudication; and

2. Subdivision (g)(4) requires that any proposed modification to the conditions of release must be reviewed and approved by the aftercare worker supervisor in consultation with the LDSS case manager; and

3. Subdivision (j)(2) requires that a written recommendation of a youth's conditional release revocation to be reviewed by the youth's LDSS case manager, and

4. Subdivision (k) requires the LDSS to provide the youth with timely notice and an opportunity to be heard when there is a revocation of the youth's conditional release.

6. Paperwork:

There will be paperwork generated in order to comply with the above-stated mandates for notices required to be given by the LDSS.

Proposed regulation 18 NYCRR § 441.18 pertaining to searches will require authorized agencies to have written policies for searches and each search conducted and/or contraband confiscated as a result thereof will have to be documented pursuant to the regulation.

Proposed regulation 18 NYCRR § 431.19 requires all conditions of a conditional release, as well as any modifications or revocations thereof to be written. There is likely paperwork associated with any revocation hearing.

7. Duplication:

These proposed regulations do not duplicate any existing State or federal requirements.

8. Alternatives:

There were no significant alternative proposals to these regulations considered.

9. Federal standards:

The proposed rules do not exceed federal standards.

10. Compliance schedule:

These provisions should be complied with upon filing of the emergency and adoption of the final rule.

Regulatory Flexibility Analysis

1. Effect of rule:

Small businesses and local (other than county) governments are not impacted by this rule. County government probation departments and departments of social services must comply with the rules.

2. Compliance requirements:

These regulations add no additional requirements on small businesses or local governments. These rules clarify the requirements in statute and add no additional burdens beyond the statutory requirements.

3. Professional services:

No additional professional services are necessary for compliance with these rules.

4. Compliance costs:

The proposed rule imposes no additional costs on local government or small businesses because it clarifies the statutory requirements of the Raise the Age law.

5. Economic and technological feasibility:

Small business and local government will have no additional economic or technological burden due to this rulemaking.

6. Minimizing adverse impact:

The proposed rule minimizes adverse impact by providing 100% reimbursement for qualified expenses under Raise the Age.

7. Small business and local government participation:

There has been extensive outreach and local work by OCFS, DCJS and other key participants to educate persons on the law and to listen to concerns from those impacted. Additionally, the regulatory proposal will be available to affected parties for comment and will be thoroughly addressed through statewide trainings and guidance documentation distributed to affected parties and counties, including those that serve rural communities, departments of social services, authorized agencies and facilities.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

The proposed rulemaking will have minimal impact on rural areas. Potentially each rural area could be home to youth impacted by Raise the Age. However, State estimates of youth likely to be placed do not indicate that there is likely to be a large flow of youth into the system, therefore the impact is expected to be a minimal.

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

These regulations impose no new requirements but clarify requirements in statute. As is currently required, the county departments of social service and voluntary authorized agencies impacted by Raise the Age will use the CONNECTIONS system and the Juvenile Justice Information Systems-Child Welfare (JJIS-CW). State estimates of youth likely to be placed do not indicate that there is likely to be a large flow of youth into the foster care system, therefore the impact is expected to be a minimal increase.

3. Costs:

There are some costs associated with these requirements however costs for youth who are in placement in a Raise the Age program are 100% reimbursable provided the county is within the tax cap or is approved for a hardship and includes those costs in their approved Raise the Age plan. There may be a cost to county government associated with hearings that may be needed if a youth's conditional release is being revoked.

4. Minimizing adverse impact:

It is anticipated that rural counties will have relatively low numbers of youth placed in foster care on delinquency based on historical data and current arrest and placement trends.

5. Rural area participation:

There has been extensive outreach and local work by OCFS, DCJS and other key participants to educate persons on the law and to listen to concerns from those impacted. Additionally, the regulatory proposals will be available to affected parties for comment and will be thoroughly addressed through statewide trainings and guidance documentation distributed to affected parties and counties, including those that serve rural communities.

Job Impact Statement

The changes to the regulations are not expected to have a negative impact on the job market. The Raise the Age law may result in some small positive impact resulting from the possible need to have additional hearing officers or additional staff for voluntary authorized agency programs to serve the older population.

Education Department

EMERGENCY RULE MAKING

Assessments and Student Official Transcripts and Permanent Records

I.D. No. EDU-05-19-00017-E

Filing No. 663

Filing Date: 2019-07-16

Effective Date: 2019-07-16

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

Action taken: Amendment of section 104.3 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 210(not subdivided), 215(not subdivided), 305(1), (2), (20), (45), (46), (47), 308(not subdivided), 309(not subdivided), 3204(3); L. 2014, ch. 56, subpart B, part AA as amended by L. 2018, ch. 59, part CCC, section 35

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

Specific reasons underlying the finding of necessity: The proposed amendment is necessary to timely implement the provisions of Education Law § 305(45) and (46) as added by Part AA, Subpart B of Chapter 56 of the Laws of 2014 as amended by Section 35 of Part CCC of Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of Chapter 59 of the Laws of 2019. Section 30 of Party YYY of Chapter 59 off the Laws of 2019 removed the sunset date for these provisions in the statute, making the provisions permanent.

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for regular (non-emergency) adoption, after expiration of the required 45-day public comment period for revised rulemakings provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the July 2019 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the July 2019 meeting, would be July 31, 2019, the date a Notice of Adoption would be published in the State Register.

Therefore, emergency action is necessary at the July 2019 Regents meeting for the preservation of the general welfare to ensure that the emergency action taken at the April 2019 meeting remains in effect to implement the provisions of Section 30 of Part YYY of Chapter 59 of the Laws of 2019 until it can be adopted as a permanent rule.

Subject: Assessments and Student Official Transcripts and Permanent Records.

Purpose: To implement the provisions of section 30 of part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C).

Text of emergency rule: Section 104.3 of the Regulations of the Commissioner of Education is amended as follows:

[During the period commencing on April 1, 2014 and expiring on December 31, 2018]:

(a) [no] *No* school district or board of cooperative educational services may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, provided that nothing herein shall be construed to interfere with required State or federal reporting or to excuse a school district from maintaining or transferring records of such test scores separately from a student's permanent record, including for purposed of required State or federal reporting; and

(b) any test results on a State administered standardized English language arts or mathematics assessment for grades three through eight sent to parents or persons in parental relation to a student shall include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided to the student and parents for diagnostic purposes.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-05-19-00017-EP, Issue of January 30, 2019. The emergency rule will expire September 13, 2019.

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

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

Education Law section 215 authorizes Commissioner to require schools and school districts to submit reports containing such information as Commissioner shall prescribe.

Education Law section 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. Section 305(20) provides Commissioner shall have such further powers and duties as charged by the Regents.

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

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

Education Law section 3204(3) provides for required courses of study in the public schools and authorizes SED to alter the subjects of required instruction.

Part 35 of Part CCC of Chapter 59 of the Laws of 2018 extended the provisions of Part AA, Subpart B of Chapter 56 of the Laws of 2014 added new subdivisions (45) and (46) to Education Law section 305, which directed the Commissioner to provide that no school district or board of cooperative educational services may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided for diagnostic purposes. The statute provides that these provisions shall expire and be deemed repealed on December 31, 2019.

Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) removed the December 31, 2019 sunset date for these provisions in the statute, making the provisions permanent.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C).

3. NEEDS AND BENEFITS:

Education Law § 305(45) and (46) were added as part of the 2014 Enacted Budget. These sections provide that no school district or board of cooperative educational services (BOCES) may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and further require that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided for diagnostic purposes. These provisions were set to expire and be deemed repealed on December 31, 2018. In April of 2014, the Board of Regents adopted amendments to the Commissioner's regulations to implement these sections and the regulatory provisions expired on December 31, 2018.

These provisions in the law were extended by Section 35 of Part CCC of Chapter 59 of the Laws of 2018 until December 31, 2019. Therefore, regulatory amendments were adopted by the Board of Regents at its January 2019 meeting to immediately extend these provisions an additional year to comply with the statute. However, Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) removed the December 31, 2019 sunset date for these provisions in the statute, making the provisions permanent.

4. COSTS:

Cost to the State: none.

Costs to local government: none.

Cost to private regulated parties: none.

Cost to regulating agency for implementation and continued administration of this rule: none.

The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) , and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C)., and does not impose any additional program, service, duty or responsibility upon local governments beyond those inherent in the statute.

Consistent with the statute, the proposed amendment provides that no school district or board of cooperative educational services (BOCES) may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and further require that any test results on such assessments sent to parents/persons in parental relation include a clear and con-

spicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided for diagnostic purposes.

6. PAPERWORK:

The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any specific recordkeeping, reporting or other paperwork requirements beyond those inherent in the statute.

Consistent with the statute, the proposed amendment provides, that no school district or board of cooperative educational services may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided to the student and parents/persons in parental relation for diagnostic purposes.

7. DUPLICATION:

The proposed amendment does not duplicate existing State or federal requirements. The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYYof the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C).

8. ALTERNATIVES:

The proposed amendment is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C). There were no significant alternatives and none were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated parties will be able to achieve compliance with the rule by its effective date. The proposed amendment merely conforms the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C).

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed amendment will not impose any additional compliance requirements and is necessary to is necessary to implement and otherwise conform Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and 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.

1. EFFECT OF RULE:

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

2. COMPLIANCE REQUIREMENTS:

The proposed amendment is consistent with the authority conferred by the above statutes and is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any additional compliance requirements upon school districts beyond those inherent in the statute.

3. NEEDS AND BENEFITS:

Education Law § 305(45) and (46) were added as part of the 2014 Enacted Budget. These sections provide that no school district or board of cooperative educational services (BOCES) may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and further require that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided for diagnostic purposes. These provisions were set to expire and be deemed repealed on December 31, 2018. In April of 2014, the Board of Regents adopted amendments to the Commissioner's regulations to implement these sections and the regulatory provisions expired on December 31, 2018.

These provisions in the law were extended by Section 35 of Part CCC of Chapter 59 of the Laws of 2018 until December 31, 2019. Therefore, regulatory amendments were adopted by the Board of Regents at its January 2019 meeting to immediately extend these provisions an additional year to comply with the statute. However, Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) removed the December 31, 2019 sunset date for these provisions in the statute, making the provisions permanent.

4. PROFESSIONAL SERVICES:

The proposed amendment imposes no additional professional service requirements on school districts.

5. COMPLIANCE COSTS:

The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute.

6. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

7. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute. Accordingly, no alternatives were considered.

8. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed rule have been 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 is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any specific recordkeeping, reporting or other paperwork requirements beyond those inherent in the statute.

Consistent with the statute, the proposed amendment provides, that no school district or board of cooperative educational services may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided to the student and parents/persons in parental relation for diagnostic purposes.

3. COMPLIANCE COSTS:

The proposed amendment is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment is merely conforms the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) and does not impose any additional compliance requirements or costs on school districts or charter schools beyond those inherent in the statute. Because the statutory requirement upon which the proposed amendment is based applies to all school districts in the State and to charter schools authorized to issue Regents diplomas, 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 amendment were solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

Job Impact Statement

The proposed rule is necessary to implement and otherwise conform Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) which provides that no school

district shall make any student promotion or placement decisions based solely or primarily on student performance on the state administered standardized English language arts and mathematics assessments for grades three through eight. However, a school district may consider student performance on such state assessments provided that the school district uses multiple measures in addition to such assessments and that such assessments do not constitute the major factor in such determinations.

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

Assessment of Public Comment

1. COMMENT:

Commenter, a parent of public school children, resident of New York City, and professional educator, strongly supports the proposed amendment. Commenter expressed concern with the value and reliability of the assessments and as a result supports the exclusion of such results on students' official transcripts or permanent records.

DEPARTMENT RESPONSE:

No response is necessary as the comment is supportive.

EMERGENCY RULE MAKING

Safety Net for the Educational Technology Specialist Content Specialty Test (CST)

I.D. No. EDU-17-19-00005-E

Filing No. 666

Filing Date: 2019-07-16

Effective Date: 2019-07-16

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

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

Statutory authority: Education Law, sections 101, 207(not subdivided), 210, 305, 3001, 3004 and 3009

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

Specific reasons underlying the finding of necessity: The Department is proposing to extend the safety net for candidates seeking certification as Educational Technology Specialists until six months after the revised Educational Technology Specialist content specialty test is redeveloped and operational. The safety net will hold candidates harmless during the redevelopment of the Educational Technology Specialist CST. The safety net gives teacher candidates who do not pass the revised test the option of taking the same test again or the predecessor test.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (non-emergency) adoption, after publication in the State Register and expiration of the 60-day public comment period provided for in the State Administrative Procedure Act (SAPA) Sections 202(1) and (5), is the July 2019 Regents meeting. Furthermore, pursuant to SAPA Section 203(1), the earliest effective date of the proposed amendment, if adopted at the July Regents meeting, is July 31, 2019, the date a Notice of Adoption would be published in the State Register. However, because the current emergency rule adopted at the April 2019 Board of Regents meeting will expire before it can be permanently adopted, emergency action is necessary for the preservation of the general welfare in order to ensure that the safety net becomes effective immediately so candidates can be held harmless during the redevelopment of the Educational Technology Specialist content specialty test and to ensure that the emergency rule adopted at the April 2019 meeting remains in effect until it can be adopted as a permanent rule.

Subject: Safety Net for the Educational Technology Specialist Content Specialty Test (CST).

Purpose: Extends the Educational Technology Specialist Content Specialty Test (CST) safety net through June 30, 2019.

Text of emergency rule: Paragraph (2) of subdivision (c) of section 80-1.5 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(iii) For revised content specialty tests that became operational on or after October 18, 2016 or for the revised Educational Technology Specialist content specialty test, a candidate may take and receive a satisfactory passing score on either the revised content specialty test or the predecessor content specialty test until [June 30, 2019] *six months after the revised Educational Technology Specialist content specialty test is redeveloped and operational*.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-17-19-00005-EP, Issue of April 24, 2019. The emergency rule will expire September 13, 2019.

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

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

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

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

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

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

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendment to Section 80-1.5 of the Regulations of the Commissioner of Education is to reinstate the Educational Technology Specialist content specialty test (CST) safety net for candidates seeking Educational Technology Specialist certification.

There is a safety net in place for the Educational Technology Specialist content specialty test (CST) that allows candidates to take either the redeveloped CST or the predecessor CST. After this safety net expires on June 30, 2019, candidates will be required to take only the redeveloped CST.

By extending the expiration date to six months after the revised Educational Technology Specialist CST is redeveloped and operational, the safety net enables candidates to be held harmless during the redevelopment of the revised Educational Technology Specialist CST. The safety net gives candidates who do not pass the revised test the option of taking the same test again or the predecessor test.

3. NEEDS AND BENEFITS:

Upon a review of the redeveloped Educational Technology Specialist CST, there has been a significant decrease in the pass rate. As a result, the Department believes it needs to review the examination to determine if revisions are needed and is proposing to reinstate the safety net until six months after the revised Educational Technology Specialist content specialty test is redeveloped and operational while the Department works with the field to make any necessary changes. For the safety net, candidates may take either the redeveloped CST or the predecessor CST. The safety net enables candidates to be held harmless while any necessary revisions are made to the redeveloped Educational Technology Specialist CST.

4. COSTS:

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

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

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

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

7. DUPLICATION:

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

8. ALTERNATIVES:

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

9. FEDERAL STANDARDS:
There are no applicable Federal standards.
10. COMPLIANCE SCHEDULE:
It is anticipated that the proposed amendment will be permanently adopted by the Board of Regents at its July 2019 meeting. If adopted at the July 2019 meeting, the proposed amendment will become effective on July 31, 2019.

Regulatory Flexibility Analysis

The purpose of the proposed amendment to Section 80-1.5 of the Regulations of the Commissioner of Education is to reinstate the Educational Technology Specialist content specialty test (CST) safety net for candidates seeking Educational Technology Specialist certification until six months after the revised Educational Technology Specialist content specialty test is redeveloped and operational while the Department works with the field to make any necessary changes. The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact on small businesses or local governments. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:
This proposed amendment applies to all individuals in New York State who pursue a Educational Technology Specialist certificate in the classroom teaching service, including those located in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.
2. REPORTING, RECORDKEEPING AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:
The purpose of the proposed amendment to Section 80-1.5 of the Regulations of the Commissioner of Education is to reinstate the Educational Technology Specialist content specialty test (CST) safety net for candidates seeking Educational Technology Specialist certification.
There is a safety net in place for the Educational Technology Specialist content specialty test (CST) that allows candidates to take either the redeveloped CST or the predecessor CST. After this safety net expires on June 30, 2019, candidates will be required to take only the redeveloped CST.
Upon a review of the redeveloped Educational Technology Specialist CST, there has been a significant decrease in the pass rate. As a result, the Department believes it needs to review the examination to determine if revisions are needed and is proposing to reinstate the safety net until six months after the revised Educational Technology Specialist content specialty test is redeveloped and operational while the Department works with the field to make any necessary changes. For the safety net, candidates may take either the redeveloped CST or the predecessor CST. The safety net enables candidates to be held harmless while any necessary revisions are made to the redeveloped Educational Technology Specialist CST. The safety net gives candidates who do not pass the revised test the option of taking the same test again or the predecessor test.
3. COSTS:
The proposed amendment does not impose any costs on teacher certification candidates and/or the New York State school districts/BOCES who wish to hire them.
4. MINIMIZING ADVERSE IMPACT:
The Department believes that uniform standards for certification must be established across the State. Therefore, no alternatives were considered for those located in rural areas of the State.
5. RURAL AREA PARTICIPATION:
Copies of the proposed amendments have been provided to Rural Advisory Committee for review and comment.

Job Impact Statement

The purpose of the proposed amendment to section 80-1.5 of the Regulations of the Commissioner of Education is to reinstate the Educational Technology Specialist content specialty test (CST) safety net for candidates seeking Educational Technology Specialist certification until six months after the revised Educational Technology Specialist content specialty test is redeveloped and operational while the Department works with the field to make any necessary changes. Because it is evident from the nature of the proposed amendment that it will have no impact on the number of jobs or employment opportunities in New York State, no further steps were needed to ascertain that fact and none were taken.

Assessment of Public Comment

The agency received no public comment.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Instructional Time for State Aid Purposes

I.D. No. EDU-31-19-00009-EP
Filing No. 667
Filing Date: 2019-07-16
Effective Date: 2019-07-16

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

Proposed Action: Amendment of section 175.5 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305, 3602, 3604 and 3609-a

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

Specific reasons underlying the finding of necessity: The proposed amendment is necessary for the preservation of the general welfare to provide schools districts with notice that if they cannot meet the minimum instructional requirements due to safety and/or scheduling issues they can apply to the Commissioner for a single waiver for up to four school years of such requirements by November 15, 2019.

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for regular (non-emergency) adoption, after expiration of the required 60-day public comment period for proposed rulemakings provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the October 2019 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the July 2019 meeting, would be October 23, 2019, the date a Notice of Adoption would be published in the State Register.

Therefore, emergency action is necessary at the July 2019 Regents meeting for the preservation of the general welfare to ensure that school districts are on notice that they must apply for the waiver by November 15, 2019.

Subject: Instructional Time for State Aid purposes.

Purpose: To provide school districts with additional flexibility when establishing their school calendars.

Text of emergency/proposed rule: New subdivisions (k) and (l) shall be added to section 175.5 of the Regulations of the Commissioner of Education to read as follows:

(k) All claims submitted by school districts in accordance with section 175.10 of this Part for the payment of State aid for the 2019-2020 school year and thereafter shall include the total number of instructional hours, non-instructional hours, and session days for each grade level in each school within the school district, and a completed calendar worksheet in a format prescribed by the commissioner for each such school within the school district.

(l)(1) Notwithstanding any other provision of this section to the contrary, certain school districts that have demonstrated a safety issue and/or other scheduling challenges that prevented them from complying with the annual instructional hour requirement set forth in subdivision (c) of this section in the 2018-2019 school year may apply to the Commissioner by November 15, 2019 for a single waiver for up to four school years from such requirement for the 2018-2019, 2019-2020, 2020-2021 and/or 2021-2022 school years; provided that such school district meets the following requirements:

(i) the school district must be in session for at least 180 school days in each school year, which shall include superintendent's conference days authorized under this section;

(ii) the school district must attest that the annual instructional hours for the 2018-2019 and 2019-2020 school years will be at least equal to the annual instructional hours provided in the 2017-2018 school year and that for the 2020-2021 and 2021-2022 school years the school district will demonstrate that the total number of its schools that are in compliance with the instructional hour requirements will increase annually by increments of no less than one-third, resulting in full compliance in the 2022-2023 school year;

(iii) the school district must describe the safety and/or scheduling challenges that prevented the school district from complying with such requirements; and

(iv) the school district must provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district.

(2) The Commissioner will post a list of school districts with ap-

proved waivers for the 2018-2019, 2019-2020, 2020-2021 and/or 2021-2022 school years on the Department's website.

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 October 13, 2019.

Text of rule and any required statements and analyses may be obtained from: Brian Cechnicki, NYS Education Department, Office of Education Finance, 89 Washington Avenue, Room 139, Albany, NY 12234, (518) 486-2422, email: brian.cechnicki@nysed.gov

Data, views or arguments may be submitted to: Kirti Goswami, Education Department, 89 Washington Avenue, Room 148, (518) 474-6400, email: kirti.goswami@nysed.gov

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

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

Education Law § 3604 sets forth the conditions under which districts are entitled to apportionment of State aid, including that districts must be in session in the district for not less than 190 days.

Education Law § 3609-a provides for the when and how apportioned moneys are payable.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary for the preservation of the general welfare to provide schools districts with notice that if they cannot meet the minimum instructional requirements due to safety and/or scheduling issues they can apply to the Commissioner for a single waiver for up to four school years of such requirements.

3. NEEDS AND BENEFITS:

At its December 2017 meeting, the Department proposed an amendment to the regulation to eliminate the current daily minimum instructional hour requirement and replace it with an aggregate yearly requirement (i.e., 900/990 hours over 180 days for full-day kindergarten through grade six and grades seven through twelve, respectively), to provide school districts with additional flexibility when establishing their school calendars. The Board of Regents adopted the revised proposed regulation as a permanent rule at the September 2018 meeting.

Concerns have been raised by a small number of school districts that have indicated that due to safety issues and/or other scheduling challenges, they are unable to meet the minimum annual instructional hour requirements, the proposed amendment allows such school districts to apply to the Commissioner by November 15, 2019 for a waiver for up to four school years (2018-2019, 2019-2020, 2020-2021 and/or 2021-2022 school years); provided that such school district meets the following requirements:

- the school district must be in session for at least 180 school days in each school year, which shall include superintendent's conference days authorized under this section;
- the school district must attest that the annual instructional hours for the 2018-2019 and 2019-2020 school years will be at least equal to the annual instructional hours provided in the 2017-2018 school year and that in each subsequent year of the waiver the school district will demonstrate that the total number of its schools that are in compliance with the instructional hour requirements will increase annually by increments of no less than one-third (e.g. 33% of all schools in 2020-2021, 66% in 2021-2022, resulting in 100% compliance in 2022-2023);
- the school district must describe the safety and/or scheduling challenges that prevented the school district from complying with such requirements; and
- the school district must provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district.

The proposed amendment also provides that the Commissioner will post a list of school districts with approved waivers for the 2018-2019, 2019-2020, 2020-2021 and/or 2021-2022 school years on the Department's website and that all claims submitted by school districts for the payment of State aid for the 2019-2020 school year and thereafter shall include the total number of instructional hours, non-instructional hours, and session days for each grade level in each school within the school district, and a completed calendar worksheet in a format prescribed by the commissioner for each such school within the school district.

During the waiver period, Department staff will work with school districts to identify and address any emerging issues, particularly those related to safety.

4. COSTS:

Cost to the State: None.

Costs to local government: There are no additional costs beyond those imposed by the statute.

Cost to private regulated parties: There are no additional costs beyond those imposed by the statute.

Cost to regulating agency for implementation and continued administration of this rule: None.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment authorizes school districts who cannot meet the minimum instructional requirements due to safety and/or scheduling issues to apply to the Commissioner for a single waiver for up to four school years of such requirements.

6. PAPERWORK:

See Section 5 above. Also, the proposed amendment requires all school districts who receive a waiver to provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district. Additionally, the proposed amendment provides that all claims submitted by school districts for the payment of State aid for the 20219-2020 school year and thereafter shall include the total number of instructional hours, non-instructional hours, and session days for each grade level in each school within the school district, and a completed calendar worksheet in a format prescribed by the commissioner for each such school within the school district.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendment is necessary for the preservation of the general welfare to provide schools districts with notice that if they cannot meet the minimum instructional requirements due to safety and/or scheduling issues they can apply to the Commissioner for a single waiver for up to four school years of such requirements by November 15, 2019. 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 July 2019 Regents meeting, the proposed amendment will become effective as an emergency rule on July 16, 2019. 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 permanent adoption at its October 2019 meeting. If adopted at the October 2019 meeting, the proposed amendment will become effective on October 23, 2019. A second emergency action will also be needed at the October meeting to ensure that the emergency rule adopted at the July meeting remains continuously in effect until it can be adopted as a permanent rule.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed amendment is necessary for the preservation of the general welfare to provide schools districts with notice that if they cannot meet the minimum instructional requirements due to safety and/or scheduling issues they can apply to the Commissioner for a single waiver for up to four school years of such requirements, and 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.

1. EFFECT OF RULE:

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

2. COMPLIANCE REQUIREMENTS:

The proposed amendment requires all school districts that receive a waiver to provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district. Additionally, the proposed amendment provides that the Commissioner will post a list of school districts with approved waivers for the 2018-2019, 2019-2020, 2020-2021 and/or 2021-2022

school years on the Department's website and that all claims submitted by school districts for the payment of State aid for the 2019-2020 school year and thereafter shall include the total number of instructional hours, non-instructional hours, and session days for each grade level in each school within the school district, and a completed calendar worksheet in a format prescribed by the commissioner for each such school within the school district. The proposed regulation does not impose any program, service, duty or responsibility on small businesses beyond those inherent in the regulation.

3. NEEDS AND BENEFITS:

At its December 2017 meeting, the Department proposed an amendment to the regulation to eliminate the current daily minimum instructional hour requirement and replace it with an aggregate yearly requirement (i.e., 900/990 hours over 180 days for full-day kindergarten through grade six and grades seven through twelve, respectively), to provide school districts with additional flexibility when establishing their school calendars. The Board of Regents adopted the revised proposed regulation as a permanent rule at the September 2018 meeting.

Concerns have been raised by a small number of school districts that have indicated that due to safety issues and/or other scheduling challenges, they are unable to meet the minimum annual instructional hour requirements, the proposed amendment allows such school districts to apply to the Commissioner by November 15, 2019 for a waiver for up to four school years (2018-2019, 2019-2020, 2020-2021 and/or 2021-2022 school years); provided that such school district meets the following requirements:

- the school district must be in session for at least 180 school days in each school year, which shall include superintendent's conference days authorized under this section;
- the school district must attest that the annual instructional hours for the 2018-2019 and 2019-2020 school years will be at least equal to the annual instructional hours provided in the 2017-2018 school year and that in each subsequent year of the waiver the school district will demonstrate that the total number of its schools that are in compliance with the instructional hour requirements will increase annually by increments of no less than one-third (e.g. 33% of all schools in 2020-2021, 66% in 2021-2022, resulting in 100% compliance in 2022-2023);
- the school district must describe the safety and/or scheduling challenges that prevented the school district from complying with such requirements; and
- the school district must provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district.

The proposed amendment also provides that the Commissioner will post a list of school districts with approved waivers for the 2018-2019, 2019-2020, 2020-2021 and/or 2021-2022 school years on the Department's website and that all claims submitted by school districts for the payment of State aid for the 2019-2020 school year and thereafter shall include the total number of instructional hours, non-instructional hours, and session days for each grade level in each school within the school district, and a completed calendar worksheet in a format prescribed by the commissioner for each such school within the school district.

During the waiver period, Department staff will work with school districts to identify and address any emerging issues, particularly those related to safety.

4. PROFESSIONAL SERVICES:

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

5. COMPLIANCE COSTS:

In general, the proposed amendment does not impose any additional costs on local governments and small businesses.

6. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

7. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary for the preservation of the general welfare to provide schools districts with notice that if they cannot meet the minimum instructional requirements due to safety and/or scheduling issues they can apply to the Commissioner for a single waiver for up to four school years of such requirements. Accordingly, no alternatives were considered.

8. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed rule have been 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 is necessary for the preservation of the general welfare to provide school districts with notice that if they cannot meet the minimum instructional requirements due to safety and/or scheduling issues they can apply to the Commissioner for a single waiver for up to four school years of such requirements. The proposed amendment requires all school districts that receive a waiver to provide a plan to the Commissioner as to how it will comply with the instructional hour requirement in the 2022-2023 school year for all schools in the district. Additionally, the proposed amendment provides that the Commissioner will post a list of school districts with approved waivers for the 2018-2019, 2019-2020, 2020-2021 and/or 2021-2022 school years on the Department's website and that all claims submitted by school districts for the payment of State aid for the 2019-2020 school year and thereafter shall include the total number of instructional hours, non-instructional hours, and session days for each grade level in each school within the school district, and a completed calendar worksheet in a format prescribed by the commissioner for each such school within the school district.

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 is merely provides school districts with notice that if they cannot meet the minimum instructional requirements due to safety and/or scheduling issues they can apply to the Commissioner for a single waiver for up to four school years of such requirements. 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 amendment were solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

Job Impact Statement

The proposed rule is necessary for the preservation of the general welfare to provide schools districts with notice that if they cannot meet the minimum instructional requirements due to safety and/or scheduling issues they can apply to the Commissioner for a single waiver for up to four school years of such requirements.

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

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

School and District Safety Plans

I.D. No. EDU-31-19-00010-EP
Filing No. 668
Filing Date: 2019-07-16
Effective Date: 2019-07-16

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

Proposed Action: Amendment of section 155.17 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101(not subdivided), 207(not subdivided), 305(1), (2) and 2801-a, as amended by L. 2019, ch. 59

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

Specific reasons underlying the finding of necessity: The 2019-2020 Enacted State Budget included amendments to Education Law § 2801-a to require that school districts and charter schools adopt a written contract or memorandum of understanding that is developed with stakeholder input, that defines the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. The written contract or memorandum of understanding must clearly delegate the role of school discipline to school administration and be consistent with the code of conduct. Such contract or MOU is required to be incorporated and published as part of the school district safety plan. The amendments became effective on July 1, 2019.

In addition to the amendments to Education Law § 2801-a that were

included in the 2019-20 Enacted State Budget, the New York State Office of the Comptroller (OSC) recently released its report summarizing its audit of the Department's oversight of school and district efforts regarding school emergency planning. The audit included recommendations that the Department provide additional clarity regarding requirements for public comment periods and board adoption of district-wide safety plans. The proposed amendment clarifies that the district-wide safety plans and building plans shall be submitted on October 1 of each school year; instead of the previous requirement which required school districts to submit district-wide safety plans by October 1 and school-level building plans by October 15. This will simplify the plan submission process for the districts.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (non-emergency) adoption, after publication in the State Register and expiration of the 60-day public comment period provided for in the State Administrative Procedure Act (SAPA) Sections 202(1) and (5), is the October 2019 Regents meeting. Furthermore, pursuant to SAPA Section 203(1), the earliest effective date of the proposed amendment, if adopted at the July Regents meeting, is October 23, 2019, the date a Notice of Adoption would be published in the State Register. However, because Section 32 of Chapter 59 of the Laws of 2019 became effective on July 1, 2019, emergency action is necessary now for the preservation of the general welfare in order to conform section 155.17 of the Commissioner's regulations with the amendments made to Education Law § 2801-a, as amended by Section 32 of Part YYY of Chapter 59 of the Laws of 2019.

Subject: School and district safety plans.

Purpose: To implement certain provisions of section 32 of part YYY of chapter 59 of the Laws of 2019.

Text of emergency/proposed rule: Section 155.17 of the Regulations of the Commissioner of Education shall be amended to read as follows:

155.17 School safety plans.

(a) Development of school safety plans. Every board of education of a school district, every board of cooperative educational services and county vocational education and extension board and the chancellor of the City School District of the City of New York shall adopt by July 1, 2001, and shall update by July 1st for the 2002-2003 through the 2015-2016 school years and *shall update and adopt* by September 1st for the 2016-2017 school year and each subsequent September 1st thereafter, a comprehensive district-wide school safety plan and building-level emergency response plans regarding crisis intervention and emergency response and management, provided that in the City School District of the City of New York, such plans shall be adopted by the chancellor of the city school district. Such plans shall be developed by a district-wide school safety team and a building-level emergency response team, as such terms are defined in subdivision (b) of this section, and shall be in a form developed by the commissioner in consultation with the Division of Criminal Justice Services, the superintendent of the State Police and any other appropriate State agencies. Each district-wide school safety plan and building-level emergency response plan shall be reviewed by the appropriate school safety team on at least an annual basis, and updated as needed.

(b) Definitions.

As used in this section:

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

(14) District-wide school safety team means a district-wide team appointed by the board of education, the chancellor in the case of New York City, or other governing board. The district-wide team shall include, but not be limited to, representatives of the school board, teacher, administrator, and parent organizations, school safety personnel and other school personnel. At the discretion of the board of education, or the chancellor in the case of the City of New York, a student may be allowed to participate on the safety team, provided however, that no portion of a confidential building-level emergency response plan shall be shared with such student nor shall such student be present [where] *when* details of a confidential building-level emergency response plan or confidential portions of a district-wide emergency response strategy are discussed.

(15) . . .
(16) . . .
(17) . . .
(18) . . .

(c) District-wide school safety plans and building-level emergency response plans.

District-wide school safety plans and building-level emergency response plans shall be designed to prevent or minimize the effects of violent incidents and emergencies and to facilitate the coordination of schools and school districts with local and county resources in the event of such incidents or emergencies.

(1) District-wide school safety plans. A district-wide school safety plan shall be developed by the district-wide school safety team and shall include, but not be limited to:

(i) . . .
(ii) . . .
(iii) . . .
(iv) . . .
(v) . . .
(vi) . . .
(vii) . . .
(viii) . . .
(ix) . . .
(x) . . .

(xi) policies and procedures relating to school building security, including, where appropriate:

a. the use of school safety *or security* officers and/or *school resource officers. Beginning with the 2019-20 school year, and every school year thereafter, every school shall define the areas of responsibility of school personnel, security personnel and law enforcement in response to student misconduct that violates the code of conduct. A school district or charter school that employs, contracts with, or otherwise retains law enforcement or public or private security personnel, including school resource officers, shall establish a written contract or memorandum of understanding that is developed with stakeholder input, including, but not limited to, parents, students, school administrators, teachers, collective bargaining units, parent and student organizations and community members, as well as probation officers, prosecutors, defense counsels and courts that are familiar with school discipline. Such written contract or memorandum of understanding shall define the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. Such contract or memorandum of understanding shall be consistent with the code of conduct, define law enforcement or security personnel's roles, responsibilities and involvement within a school and clearly delegate the role of school discipline to the school administration. Such written contract or memorandum of understanding shall be incorporated into and published as part of the district safety plan; and*

b. security devices or procedures;

(xii) . . .
(xiii) . . .
(xiv) . . .
(xv) . . .
(xvi) . . . .
(xvii) . . .
(xix) . . .

(2) . . .

(3)

(a) Each board of education, chancellor or other governing body shall make each district-wide safety plan available for public comment at least 30 days prior to its adoption. Such district-wide plans may be adopted by the school board only after at least one public hearing that provides for the participation of school personnel, parents, students and any other interested parties. Each district shall [file a copy of] *submit* its district-wide safety plan *and all amendments to such plan* [with] *to* the commissioner [and all amendments to such plan]*,* [shall be filed with the commissioner] in *a manner prescribed by the commissioner,* within [no later than] 30 days after [their] *its* adoption [,]. *Commencing with the 2019-2020 school year, such district-wide plans must be submitted no later than October 1, 2019, and each subsequent October 1 thereafter.*

(b) Each board of education, chancellor or other governing body or officer shall ensure that [a copy of] each building-level emergency response plan and any amendments thereto, is [filed with] *submitted to* the appropriate local law enforcement agency and [with] the State Police within 30 days of its adoption, but no later than October 15 [, 2016 and each subsequent October 15th thereafter.] *for the 2016-2017, 2017-2018, 2018-2019 and 2019-2020 school years and for the 2020-2021 school year and thereafter, such building-level emergency response plans must be submitted no later than October 1, 2020, and each subsequent October 1 thereafter.* Building-level emergency response plans shall be confidential and shall not be subject to disclosure under article six of the Public Officers Law or any other provision of law.

(d) . . .
(e) . . .
(f) Reporting. Each superintendent shall notify the commissioner as soon as possible whenever the emergency plan or building-level school safety plan is activated and results in the closing of a school building in the district, and shall provide such information as the commissioner may require *in a manner prescribed by the commissioner*. School districts within a supervisory district shall provide such notification through the district superintendent, who shall be responsible for notifying the commissioner. Such information need not be provided for routine snow emergency days.
(g) . . .
(h) . . .
(i) . . .
(j) . . .
(k) . . .

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 October 13, 2019.

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

Data, views or arguments may be submitted to: Kathleen DeCataldo, Education Department, Washington Avenue, Room 318, Albany, NY 12234, (518) 486-7365, email: kathleen.decataldo@nysed.gov

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law § 101 codifies the Education Department, with Board of Regents as its head, and authorizes the Regents to appoint the 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 to adopt rules and regulations to carry out State education laws and functions and duties conferred on the Department.

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

Section 32 of Part YYY of Chapter 59 of the laws of 2019 amended s Education Law § 2801-a, effective July 1, 2019, to require that school districts and charter schools adopt a written contract or memorandum of understanding that is developed with stakeholder input, that defines the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. The written contract or memorandum of understanding must clearly delegate the role of school discipline to school administration and be consistent with the code of conduct. Such contract or MOU is required to be incorporated and published as part of the school district safety plan.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to conform the Commissioner's regulations to Section 32 of Part YYY of Chapter 59 of the Laws of 2019.

3. NEEDS AND BENEFITS:

Over the past few decades, threats to schools have evolved and recent events nationwide have demonstrated that there are people who seek to commit violent acts in schools. Whether this threat is posed by a member of the school community or an outside individual or group, school staff must be prepared to take immediate protective action in the event of such an incident. To enhance efforts of school administrators and staff to maintain school safety, many school districts now utilize school safety and security staff or School Resource Officers on a daily basis.

Although not defined by law in New York State, a School Resource Officer (SRO) is often a police officer who has received additional training hours in school policing prior to working in a school setting. Incorporating school safety and security staff or SROs in schools raises concerns about escalating adolescent behavior or issues of school discipline to law enforcement. Studies have found that in schools with SROs, students were significantly more likely to be arrested for disorderly conduct and other minor infractions than students in schools that did not have SROs.

The 2019-2020 Enacted State Budget included amendments to Education Law § 2801-a to require that school districts and charter schools adopt a written contract or memorandum of understanding that is developed with stakeholder input, that defines define the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. The written contract or memorandum of understanding must clearly delegate the role of school discipline to school administration and be consistent with the code of conduct. Such contract or MOU is required to be incorporated and published as part of the school district safety plan. The amendments became effective on July 1, 2019.

In addition to the amendments to Education Law § 2801-a that were included in the 2019-20 Enacted State Budget, the New York State Office of the Comptroller (OSC) recently released its report summarizing its audit of the Department's oversight of school and district efforts regarding school emergency planning. The audit included recommendations that the Department provide additional clarity regarding requirements for public comment periods and board adoption of district-wide safety plans. The proposed amendment therefore clarifies that both the district-wide safety plans and building plans shall be submitted on October 1 of each school year; instead of the previous requirement which required school districts to submit district-wide safety plans by October 1 and school-level building plans by October 15. This will simplify the plan submission process for the districts.

4. COSTS:

Cost to the State: None.

Costs to local government: There are no additional costs beyond those imposed by the statute.

Cost to private regulated parties: There are no additional costs beyond those imposed by the statute.

Cost to regulating agency for implementation and continued administration of this rule: none.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment is necessary to conform the Commissioner's regulations to Section 32 of Part YYY of Chapter 59 of the Laws of 2019, and does not impose any additional program, service, duty or responsibility upon local governments beyond those inherent in the statute.

6. PAPERWORK:

The proposed amendment is necessary to conform the Commissioner's Regulations to Section 32 of Part YYY of Chapter 59 of the Laws of 2019, and does not impose any specific recordkeeping, reporting or other paperwork requirements beyond those inherent in the statute. Consistent with the statute, the proposed amendment requires that, in addition to the existing plan submission requirements, school districts must now adopt a written contract or memorandum of understanding that defines the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. The written contract or memorandum of understanding must clearly delegate the role of school discipline to school administration and be consistent with the code of conduct. Such contract or MOU is required to be incorporated and published as part of the existing method for submission of the school district safety plan and it is anticipated that such contract or MOU will not be overly burdensome.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendment is necessary to implement Section 32 of Part YYY of Chapter 59 of the Laws of 2019. Therefore, no alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

If adopted by the Board of Regents as an emergency measure at the July Board of Regents meeting the proposed amendment will become effective July 16, 2019. 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 the October 2019 Regents meeting. If adopted by the Board at its October meeting, the proposed amendment will be adopted as a permanent rule on October 23, 2019. A second emergency adoption will also be necessary at the October Regents meeting to ensure that the emergency rule adopted by the Board of Regents at its July 2019 meeting remains in effect until it can be adopted as a permanent rule.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed amendment is necessary to implement Section 32 of Part YYY of Chapter 59 of the Laws of 2019, and 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.

1. EFFECT OF RULE:

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

2. COMPLIANCE REQUIREMENTS:

The proposed amendment is necessary to timely implement Section 32 of Part YYY of Chapter 59 of the Laws of 2019 and does not impose any additional compliance requirements beyond those inherent in the statute.

3. NEEDS AND BENEFITS:

Over the past few decades, threats to schools have evolved and recent events nationwide have demonstrated that there are people who seek to commit violent acts in schools. Whether this threat is posed by a member of the school community or an outside individual or group, school staff must be prepared to take immediate protective action in the event of such an incident. To enhance efforts of school administrators and staff to maintain school safety, many school districts now utilize school safety and security staff or School Resource Officers on a daily basis.

Although not defined by law in New York State, a School Resource Officer (SRO) is often a police officer who has received additional training hours in school policing prior to working in a school setting. Incorporating school safety and security staff or SROs in schools raises concerns about escalating adolescent behavior or issues of school discipline to law enforcement. Studies have found that in schools with SROs, students were significantly more likely to be arrested for disorderly conduct and other minor infractions than students in schools that did not have SROs.

The 2019-2020 Enacted State Budget included amendments to Education Law § 2801-a to require that school districts and charter schools adopt a written contract or memorandum of understanding that is developed with stakeholder input, that defines the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. The written contract or memorandum of understanding must clearly delegate the role of school discipline to school administration and be consistent with the code of conduct. Such contract or MOU is required to be incorporated and published as part of the school district safety plan. The amendments became effective on July 1, 2019.

In addition to the amendments to Education Law § 2801-a that were included in the 2019-20 Enacted State Budget, the New York State Office of the Comptroller (OSC) recently released its report summarizing its audit of the Department's oversight of school and district efforts regarding school emergency planning. The audit included recommendations that the Department provide additional clarity regarding requirements for public comment periods and board adoption of district-wide safety plans. The proposed amendment therefore clarifies that both the district-wide safety plans and building plans shall be submitted on October 1 of each school year; instead of the previous requirement which required school districts to submit district-wide safety plans by October 1 and school-level building plans by October 15. This will simplify the plan submission process for the districts.

4. PROFESSIONAL SERVICES:

Consistent with the statute, the proposed amendment requires that school districts and charter schools adopt a written contract or memorandum of understanding that is developed with stakeholder input, that defines the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. The written contract or memorandum of understanding must clearly delegate the role of school discipline to school administration and be consistent with the code of conduct. Such contract or MOU is required to be incorporated and published as part of the school district safety plan.

5. COMPLIANCE COSTS:

The proposed amendment is necessary to conform the Commissioner's Regulations to Section 32 of Part YYY of Chapter 59 of the Laws of 2019 and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute.

6. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

7. MINIMIZING ADVERSE IMPACT:

The proposed amendment implements Section 32 of Part YYY of Chapter 59 of the Laws of 2019 and applies to all school districts in the State. Accordingly, no alternatives were considered.

8. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed rule have been 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 is necessary to timely implement Section 32 of Part YYY of Chapter 59 of the Laws of 2019, and does not impose any specific recordkeeping, reporting or other paperwork requirements beyond those inherent in the statute.

Consistent with the statute, the proposed amendment requires that school districts and charter schools adopt a written contract or memorandum of understanding that is developed with stakeholder input, that defines the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. The written contract or memorandum of understanding must clearly delegate the role of school discipline to school administration and be consistent with the code of conduct. Such contract or MOU is required to be incorporated and published as part of the school district safety plan.

3. COMPLIANCE COSTS:

The proposed amendment is necessary to conform to Section 32 of Part YYY of Chapter 59 of the Laws of 2019, and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute.

4. MINIMIZING ADVERSE IMPACT:

Because the statutory requirement 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 amendment were solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

Job Impact Statement

The proposed rule is necessary to Section 32 of Part YYY of Chapter 59 of the Laws of 2019 which requires that school districts and charter schools adopt a written contract or memorandum of understanding that is developed with stakeholder input, that defines the relationship between a school district or charter school, school personnel, students, visitors, law enforcement, and public or private security personnel. The written contract or memorandum of understanding must clearly delegate the role of school discipline to school administration and be consistent with the code of conduct. Such contract or MOU is required to be incorporated and published as part of the school district safety plan.

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

NOTICE OF ADOPTION

Assessments and Student Official Transcripts and Permanent Records

I.D. No. EDU-05-19-00017-A

Filing No. 662

Filing Date: 2019-07-16

Effective Date: 2019-07-31

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

Action taken: Amendment of section 104.3 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 210(not subdivided), 215(not subdivided), 305(1), (2), (20), (45), (46), (47), 308(not subdivided), 309(not subdivided), 3204(3); L. 2014, ch. 56, subpart B, part AA as amended by L. 2018, ch. 59, part CCC, section 35

Subject: Assessments and Student Official Transcripts and Permanent Records.

Purpose: To implement the provisions of section 30 of part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C).

Text of final rule: Section 104.3 of the Regulations of the Commissioner of Education is amended as follows:

[During the period commencing on April 1, 2014 and expiring on December 31, 2018]:

(a) [no] *No* school district or board of cooperative educational services may place or include on a student's official transcript or maintain in a

student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, provided that nothing herein shall be construed to interfere with required State or federal reporting or to excuse a school district from maintaining or transferring records of such test scores separately from a student's permanent record, including for purposed of required State or federal reporting; and

(b) any test results on a State administered standardized English language arts or mathematics assessment for grades three through eight sent to parents or persons in parental relation to a student shall include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided to the student and parents for diagnostic purposes.

Final rule as compared with last published rule: Nonsubstantive changes were made in section 104.3.

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

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, New York State Education Department, Office of Counsel, 89 Washington Avenue, Room 112, Albany, NY 12234, (518) 473-2183, email: legal@nysed.gov

Revised Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

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

Education Law section 215 authorizes Commissioner to require schools and school districts to submit reports containing such information as Commissioner shall prescribe.

Education Law section 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. Section 305(20) provides Commissioner shall have such further powers and duties as charged by the Regents.

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

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

Education Law section 3204(3) provides for required courses of study in the public schools and authorizes SED to alter the subjects of required instruction.

Part 35 of Part CCC of Chapter 59 of the Laws of 2018 extended the provisions of Part AA, Subpart B of Chapter 56 of the Laws of 2014 added new subdivisions (45) and (46) to Education Law section 305, which directed the Commissioner to provide that no school district or board of cooperative educational services may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided for diagnostic purposes. The statute provides that these provisions shall expire and be deemed repealed on December 31, 2019.

Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) removed the December 31, 2019 sunset date for these provisions in the statute, making the provisions permanent.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C).

3. NEEDS AND BENEFITS:

Education Law § 305(45) and (46) were added as part of the 2014 Enacted Budget. These sections provide that no school district or board of cooperative educational services (BOCES) may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and further require that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided for diagnostic purposes. These provisions were set to expire and be deemed repealed on December 31, 2018. In April of 2014, the Board of Regents adopted amendments to the Commissioner's regulations to implement these sections and the regulatory provisions expired on December 31, 2018.

These provisions in the law were extended by Section 35 of Part CCC of Chapter 59 of the Laws of 2018 until December 31, 2019. Therefore, regulatory amendments were adopted by the Board of Regents at its January 2019 meeting to immediately extend these provisions an additional year to comply with the statute. However, Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) removed the December 31, 2019 sunset date for these provisions in the statute, making the provisions permanent.

4. COSTS:

Cost to the State: none.

Costs to local government: none.

Cost to private regulated parties: none.

Cost to regulating agency for implementation and continued administration of this rule: none.

The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) , and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C)., and does not impose any additional program, service, duty or responsibility upon local governments beyond those inherent in the statute.

Consistent with the statute, the proposed amendment provides that no school district or board of cooperative educational services (BOCES) may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and further require that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided for diagnostic purposes.

6. PAPERWORK:

The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any specific recordkeeping, reporting or other paperwork requirements beyond those inherent in the statute.

Consistent with the statute, the proposed amendment provides, that no school district or board of cooperative educational services may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided to the student and parents/persons in parental relation for diagnostic purposes.

7. DUPLICATION:

The proposed amendment does not duplicate existing State or federal requirements. The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYYof the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C).

8. ALTERNATIVES:
The proposed amendment is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C). There were no significant alternatives and none were considered.
9. FEDERAL STANDARDS:
There are no applicable Federal standards.
10. COMPLIANCE SCHEDULE:
It is anticipated parties will be able to achieve compliance with the rule by its effective date. The proposed amendment merely conforms the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C).

Revised Regulatory Flexibility Analysis

(a) Small businesses:
The proposed amendment will not impose any additional compliance requirements and is necessary to is necessary to implement and otherwise conform Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and 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.
1. EFFECT OF RULE:
The proposed amendment applies to each of the 695 public school districts in the State.
2. COMPLIANCE REQUIREMENTS:
The proposed amendment is consistent with the authority conferred by the above statutes and is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any additional compliance requirements upon school districts beyond those inherent in the statute.
3. NEEDS AND BENEFITS:
Education Law § 305(45) and (46) were added as part of the 2014 Enacted Budget. These sections provide that no school district or board of cooperative educational services (BOCES) may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and further require that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided for diagnostic purposes. These provisions were set to expire and be deemed repealed on December 31, 2018. In April of 2014, the Board of Regents adopted amendments to the Commissioner's regulations to implement these sections and the regulatory provisions expired on December 31, 2018.
These provisions in the law were extended by Section 35 of Part CCC of Chapter 59 of the Laws of 2018 until December 31, 2019. Therefore, regulatory amendments were adopted by the Board of Regents at its January 2019 meeting to immediately extend these provisions an additional year to comply with the statute. However, Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) removed the December 31, 2019 sunset date for these provisions in the statute, making the provisions permanent.
4. PROFESSIONAL SERVICES:
The proposed amendment imposes no additional professional service requirements on school districts.
5. COMPLIANCE COSTS:
The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute.
6. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:
The proposed rule does not impose any additional costs or technological requirements on local governments.
7. MINIMIZING ADVERSE IMPACT:
The proposed amendment is necessary to conform the Commissioner's Regulations to Chapter 56 of the Laws of 2014, as amended by Chapter 59 of the Laws of 2018 and Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute. Accordingly, no alternatives were considered.
8. LOCAL GOVERNMENT PARTICIPATION:
Comments on the proposed rule have been 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 conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any specific record-keeping, reporting or other paperwork requirements beyond those inherent in the statute.
Consistent with the statute, the proposed amendment provides, that no school district or board of cooperative educational services may place or include on a student's official transcript or maintain in a student's permanent record any individual student score on a State administered standardized English language arts or mathematics assessment for grades three through eight, and that any test results on such assessments sent to parents/persons in parental relation include a clear and conspicuous notice that such results will not be included on the student's official transcript or in the student's permanent record and are being provided to the student and parents/persons in parental relation for diagnostic purposes.
3. COMPLIANCE COSTS:
The proposed amendment is necessary to conform the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C), and does not impose any additional costs on the State, regulated parties, or the State Education Department, beyond those inherent in the statute.
4. MINIMIZING ADVERSE IMPACT:
The proposed amendment is merely conforms the Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) and does not impose any additional compliance requirements or costs on school districts or charter schools beyond those inherent in the statute. Because the statutory requirement upon which the proposed amendment is based applies to all school districts in the State and to charter schools authorized to issue Regents diplomas, 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 amendment were solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

Revised Job Impact Statement

The proposed rule is necessary to implement and otherwise conform Commissioner's Regulations to Section 30 of Part YYY of the 2019-2020 Enacted State Budget (S.1509-C/A.2009-C) which provides that no school district shall make any student promotion or placement decisions based solely or primarily on student performance on the state administered standardized English language arts and mathematics assessments for grades three through eight. However, a school district may consider student performance on such state assessments provided that the school district uses multiple measures in addition to such assessments and that such assessments do not constitute the major factor in such determinations.
Because it is evident from the nature of the proposed rule that it will have no impact on the number of jobs or employment opportunities in New York State, no further steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2021, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

1. COMMENT:
Commenter, a parent of public school children, resident of New York City, and professional educator, strongly supports the proposed amendment. Commenter expressed concern with the value and reliability of the assessments and as a result supports the exclusion of such results on students' official transcripts or permanent records.
DEPARTMENT RESPONSE:
No response is necessary as the comment is supportive.

NOTICE OF ADOPTION

Safety Net for the Educational Technology Specialist Content Specialty Test (CST)

I.D. No. EDU-17-19-00005-A
Filing No. 669
Filing Date: 2019-07-16
Effective Date: 2019-07-31

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

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

Statutory authority: Education Law, sections 101, 207(not subdivided), 210, 305, 3001, 3004 and 3009.

Subject: Safety Net for the Educational Technology Specialist Content Specialty Test (CST).

Purpose: Extends the Educational Technology Specialist Content Specialty Test (CST) safety net through June 30, 2019.

Text or summary was published in the April 24, 2019 issue of the Register, I.D. No. EDU-17-19-00005-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, Education Department, 89 Washington Ave., Albany, NY, 12234, (518) 474-6400, email: kirti.goswami@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 2022, 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

Certification Requirements for School Counselor

I.D. No. EDU-17-19-00006-A
Filing No. 664
Filing Date: 2019-07-16
Effective Date: 2019-07-31

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

Action taken: Amendment of section 52.21 and Part 80 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 210, 215, 305, 3001, 3003, 3006 and 3009

Subject: Certification requirements for school counselor.

Purpose: Require 48 and 60-semester hour programs counseling include a minimum of 48 hours of graduate study in eight core content areas.

Text or summary was published in the April 24, 2019 issue of the Register, I.D. No. EDU-17-19-00006-P.

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

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, New York State Education Department, 89 Washington Avenue, Albany NY 12047, (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 2022, 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

Extension of the EdTPA Safety Net for Candidates Who Receive a Failing Score on the Library Specialist EdTPA

I.D. No. EDU-17-19-00007-A
Filing No. 665
Filing Date: 2019-07-16
Effective Date: 2019-07-31

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

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

Statutory authority: Education Law, sections 101, 207(not subdivided), 210, 305, 3001, 3004 and 3009

Subject: Extension of the edTPA Safety Net for Candidates Who Receive a Failing Score on the Library Specialist edTPA.

Purpose: Extending the expiration date, the safety net enables candidates to be held harmless during the handbook revision process.

Text or summary was published in the April 24, 2019 issue of the Register, I.D. No. EDU-17-19-00007-P.

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

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, Education Department, 89 Washington Avenue, Albany, NY 12234, (518) 474-6400, email: kirti@goswami@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 2022, 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

Strengthening Data Privacy and Security in NY State Educational Agencies to Protect Personally Identifiable Information

I.D. No. EDU-05-19-00008-RP

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

Proposed Action: Addition of Part 121 to Title 8 NYCRR.

Statutory authority: Education Law, sections 2-d, 101, 207 and 305

Subject: Strengthening Data Privacy and Security in NY State Educational Agencies to Protect Personally Identifiable Information.

Purpose: To protecting personally identifiable information.

Substance of revised rule (Full text is posted at the following State website: http://www.counsel.nysed.gov/rules/full-text-indices): Strengthening Data Security and Privacy in NY State Educational Agencies to Protect Personally Identifiable Information

§ 121.1 Definitions.

This section provides definitions for specific terms for this Part.

§ 121.2 Educational Agency Data Collection Transparency and Restrictions.

Prohibits educational agencies from selling personally identifiable information (PII) or using/disclosing it or allowing any other entity to use or disclose it for any marketing or commercial purpose. Educational agencies must incorporate provisions in its contracts with third party contractors that require the confidentiality of PII. Prohibits the reporting of certain data elements unless required by law.

§ 121.3 Parents Bill of Rights for Data Privacy and Security.

Requires each educational agency to: publish on its website a parent's bill of rights for data privacy and security; include it with every contract where a third-party contractor will receive PII; include supplemental information for each contract such as the exclusive purposes for which the data will be used and; how the third-party contractor will comply with all applicable data protection and security requirements. The supplemental information must also be published on the educational agency's website.

§ 121.4 Parent Complaints of Breach or Unauthorized Release of Personally Identifiable Information.

Educational agencies must establish procedures for parents and eligible students to file complaints about breaches or unauthorized releases of student data. The procedure will require educational agencies to promptly acknowledge receipt of complaints, commence an investigation, and take the necessary precautions to protect any personally identifiable information.

§ 121.5 Data Security and Privacy Standard.

Adopts the National Institute for Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity Version 1.1 (NIST Cybersecurity Framework or NIST CSF) as the standard for data security and privacy for educational agencies. Each educational agency must adopt and publish a data security and privacy policy that complies with the proposed regulations, aligns with the NIST CSF, and includes provisions that require every use and disclosure of PII by the educational agency to benefit students and the educational agency and prohibits the inclusion of

personally identifiable information in public reports or other documents. Each educational agency is required to publish its data security and privacy policy on its website and provide notice of the policy to all its officers and employees.

§ 121.6 Data Security and Privacy Plan.

Educational agencies must ensure that their contracts with third-parties that will receive PII include a data security and privacy plan that complies with Education Law § 2-d and provides minimum requirements for the plan.

§ 121.7 Training for Educational Agency Employees.

Educational agencies must provide annual data privacy and security awareness training to their officers and employees with access to personally identifiable information. Such training may be delivered using online training tools and may be included as part of training the educational agency already offers to its workforce.

§ 121.8 Educational Agency Data Protection Officer.

Each educational agency must designate a data protection officer to be responsible for the implementation of the policies and procedures required in Education Law § 2-d and this Part, and to serve as the point of contact for data security and privacy for the educational agency.

§ 121.9 Third Party Contractors.

Third-party contractors that will receive PII must adopt technologies, safeguards and practices that align with the NIST Cybersecurity Framework; comply with the data security and privacy policy of the educational agency with whom it contracts; comply with Education Law § 2-d; and the proposed regulations. Contractors are prohibited from selling PII or using it for any marketing or commercial purpose and may not disclose any PII to any other party without the prior written consent of the parent or eligible student. Additionally, where a third-party contractor engages a subcontractor to perform its contractual obligations, the data protection obligations imposed on the third-party contractor are applicable to the subcontractor. Provides that where a parent or eligible student requests services or a product from a third-party contractor and provides consent to use of PII by such contractor to provide the requested product or service, this will not be deemed a prohibited marketing or commercial purpose.

§ 121.10 Reports and Notifications of Breach and Unauthorized Release.

Third-party contractors must notify each educational agency with which it has a contract of any breach or unauthorized release of PII in accordance with requirements set forth in the proposed regulations. Educational agencies must report any breach or unauthorized release of PII to the Chief Privacy Officer and notify affected parents, eligible students, teachers and/or principals in the most expedient way possible in accordance with requirements set forth in the proposed regulations. The Chief Privacy Officer is required to report law enforcement any breach or unauthorized release that constitutes criminal conduct.

§ 121.11 Third Party Contractor Civil Penalties.

The Chief Privacy Officer has the authority to investigate reports of breaches or unauthorized releases and impose penalties on third party contractors for unauthorized releases or breaches of PII in accordance with requirements set forth in the proposed regulations.

§ 121.12 Right of Parents and Eligible Students to Inspect and Review Students Education Records.

Consistent with FERPA, parents and eligible students shall have the right to inspect and review a student's education record by making a request directly to the educational agency in a manner prescribed by the educational agency. Educational agencies must verify the identity of the requestor before releasing the records. Educational agencies are required to notify parents annually of their right to request to inspect and review their child's education record including any student data stored or maintained by an educational agency.

§ 121.13 Chief Privacy Officer's Powers.

The Chief Privacy Officer shall have the power to access all records, reports, audits, reviews, documents, papers, recommendations, and other materials maintained by an educational agency that relate to student data or teacher or principal data, which shall include but not be limited to records related to any technology product or service that will be utilized to store and/or process personally identifiable information as further described in the proposed regulations. Additionally, the Chief Privacy Officer has the right to exercise any other powers that the Commissioner deems appropriate.

§ 121.14 Severability.

If any provision of this part or its application to any person or circumstances is adjudged invalid by a court of competent jurisdiction, such judgment shall not affect or impair the validity of the other provisions of the article or their application to other persons and circumstances, and those remaining provisions shall not be affected but shall remain in full force and effect.

Revised rule compared with proposed rule: Substantial revisions were made in Part 121.

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

Data, views or arguments may be submitted to: Sara Paupini, New York State Education Department, 89 Washington Avenue, Room 152EB, Albany, New York 12234, (518) 402-9051, email: regcomments@nysed.gov

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

Summary of Revised Regulatory Impact Statement (Full text is posted at the following State website: http://www.counsel.nysed.gov/rules/full-text-indices): Since publication of a Notice of Adoption and Proposed Rule Making in the State Register on January 30, 2019, the following substantial revisions were made to the proposed rule:

- The Department revised the title to read, "Strengthening Data Security and Privacy in New York State Educational Agencies to Protect Personally Identifiable Information."
- The Department revised the effective date to be upon adoption.
- The Department has revised the proposed rule to add a new definition for "Encryption" as follows: "methods of rendering personally identifiable information unusable, unreadable, or indecipherable to unauthorized persons through the use of a technology or methodology specified or permitted by the Secretary of the United States department of health and human services in guidance issued under Section 13402(H)(2) of Public Law 111-5."
- The Department revised § 121.1(3)(c)(6) and § 121.9(6) to reference the new definition of "encryption."
- Revised the definition of 'breach' to mean, "the unauthorized acquisition, access, use, or disclosure of student data and/or teacher or principal data by or to a person not authorized to acquire, access, use, or receive the student data and/or teacher or principal data."
- Revised the term 'unauthorized release' to read 'unauthorized disclosure or unauthorized release.'
- The Department revised § 121.3 for clarity and to add some language from Education Law § 2-d to more fully incorporate the language of the statute.
- The Department revised the proposed rule to remove the examples in § 121.3(c)(5) to avoid any potential interpretation that this section is promoting a specific type of data storage option, and to keep the proposed rule from becoming outdated as technology develops.
- The Department revised § 121.3 of the proposed rule to incorporate the following language from Education Law § 2-d(4)(e): "Except as required by law or in the case of educational enrollment data, school districts shall not report to the Department the following student data elements: (1) juvenile delinquency records; (2) criminal records; (3) medical and health records; and (4) student biometric information."
- The Department added § 121.4(d) to state "…Educational Agencies may require complaints to be submitted in writing."
- The Department revised § 121.4(c) to give educational agencies 60 days to complete their investigation.
- The Department also clarified § 121.4 to state that in order to avoid impeding a law enforcement investigation, the educational agency shall provide the parent or eligible student with a written explanation that includes the approximate response date.
- The Department has revised the date by which educational agencies must adopt and publish a data security and privacy policy specified in § 121.5 to July 1, 2020 to give educational agencies additional time to implement the requirements of the proposed rule.
- The Department revised § 121.5(c)(1) to include the word "disclosure". The provision now reads, "every use and disclosure of personally identifiable information by the educational agency shall benefit students and the educational agency…"
- The Department revised § 121.5(c)(2) to clarify that public reports and public documents are covered by this portion of the Rule.
- The Department revised § 121.6 to provide additional clarification regarding requirements of the data security and privacy plan.
- The Department revised § 121.6(2) requires the third party contractor to "specify the administrative, operational and technical safeguards and practices it has in place to protect personally identifiable information that it will receive under the contract."
- The Department revised § 121.6(3) requires the third party contractor to comply with the educational agency's data security and privacy policy.
- The Department revised § 121.6(5) requires the third party contractor to specify if sub-contractors will be utilized and how it will manage those relationships and contracts to ensure personally identifiable information is protected.
- The Department revised § 121.6(6) requires the third party contractor to specify how they will manage data security and privacy incidents that

implicate personally identifiable information and requires them to promptly notify the educational agency.

• The Department revised § 121.6(7) requires the third party contractor to describe what will happen to the data at the end of the contract.

• The Department revised § 121.7 of the proposed rule to state that training should be provided on, among other things, "the state and federal laws that protect personally identifiable information, and how employees can comply with such laws."

• The Department revised § 121.8 for clarity.

• The Department revised § 121.9 for clarity and consistency by renumbering the section and adding that third party contractors shall "limit internal access to personally identifiable information to only those employees or sub-contractors that need access to provide the contracted services," to mirror Education law § 2-d.

• § 121.9 has been revised to prohibit third party contractors from disclosing any personally identifiable information to any other party without prior written consent.

• § 121.9 has been revised to permit that where a parent or eligible student requests a service or product from a third-party contractor and provides express consent to the use or disclosure of personally identifiable information by such contractor for purposes of providing the requested product or service, this use will not be deemed a prohibited marketing or commercial purpose.

• The Department revised § 121.10(e) to state that educational agencies must notify affected parents, eligible students, teachers and/or principals in the "most expedient way possible and without unreasonable delay, but no more than 60 calendar days after the discovery of a breach or unauthorized release…"

• The Department revised § 121.11 of the proposed rule to include the separate general penalty provisions of Education Law § 2-d(7)(b).

• The Department revised § 121.12 to clarify that an educational agency shall ensure that only authorized individuals access data by verifying identity and the authority of the individual to access such data.

• § 121.12 was revised to permit educational agencies to require requests to inspect and review records be made in writing.

• § 121.13 of the proposed rule has been revised to reference a "risk assessment of data privacy and security risks."

• The Department revised § 121.13 of the proposed rule to include the additional powers of the chief privacy officer outlined in Education Law § 2-d(2)(c).

1. STATUTORY AUTHORITY:

Education Law section 101 charges the Department with the general management and supervision of the educational work of the State and establishes the Regents as head of the Department.

Education Law section 207 grants general rule-making authority to the Regents to carry into effect State educational laws and policies.

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

Education Law section 2-d authorizes the Commissioner to enforce laws relating to the privacy and security of personally identifiable information (PII) of students, and certain annual professional performance review (APPR) data of teachers and principals.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed rule is to implement Education Law section 2-d, as added by Chapter 56 of the Laws of 2014 which outlines certain requirements for educational agencies and their third-party contractors to ensure the privacy and security of the personally identifiable information of students, and certain annual professional performance review (APPR) data of teachers and principals (PII).

3. NEEDS AND BENEFITS:

The proposed rule, consistent with Education Law section 2-d, establishes certain requirements for educational agencies and their third-party contractors to ensure the security and privacy of PII.

4. COSTS:

a. Costs to State government: The proposed amendment implements Education Law § 2-d and does not impose any additional costs on State government, including the State Education Department, beyond those costs imposed by the statute.

b. Costs to local government: Education Law section 2-d, as added by Chapter 56 of the Laws of 2014, establishes certain requirements for educational agencies and their third-party contractors to ensure the security and privacy of PII. The proposed amendment does not impose any direct costs on local governments beyond those imposed by the statute.

§ 5 of Education Law § 2-d requires that the commissioner, in consultation with the Chief Privacy Officer, promulgate regulations that establish a standard for educational agency data security and privacy. The Chief Privacy Officer collaborated with representatives of the local agencies in finalizing the selection of the NIST Cybersecurity Framework v 1.1 as that standard. It would be difficult, if not close to impossible, to determine the costs of compliance with the NIST standards because of the flexibility built in for implementation of the standard and implementation of the standard in each district will not be a one-size-fits-all implementation and many districts are already implementing the NIST.

For example, § 121.7 requires educational agencies to provide annual information privacy and security awareness training to their officers and employees with access to personally identifiable information. However, such training may be delivered using online training tools and may be included as part of training the educational agency already offers to its workforce; so the Department believes there will be minimal, if any costs, associated with the training.

§ 121.8 requires each educational agency to designate one or more employees to serve as the educational agency's data protection officer(s) to be responsible for the implementation of the policies and procedures required in Education Law § 2-d and this Part, and to serve as the point of contact for data security and privacy for the educational agency. This requirement may be fulfilled by a current employee(s) of the educational agency who may perform this function in addition to other job responsibilities. Therefore, there should be no additional costs associated with this requirement.

c. Costs to private regulated parties: The rule applies to third party vendors contracting with educational agencies and does not impose any costs on such parties beyond those costs imposed by the statute.

d. Costs to regulatory agency for implementing and continued administration of the rule: The Department anticipates that the regulatory agency will need to dedicate staff hours to accomplish the duties and oversight required by the statute and/or the proposed rule.

5. LOCAL GOVERNMENT MANDATES:

The majority of the requirements in the proposed amendment do not impose any program, service, duty or responsibility on educational agencies beyond those imposed by the statute. The proposed rule requires the following of educational agencies:

§ 121.2 prohibits educational agencies from selling personally identifiable information or using/disclosing it or allowing any other entity to use or disclose it for any marketing or commercial purpose. Educational agencies must incorporate provisions in its contracts with third party contractors that require the confidentiality of PII.

§ 121.3 requires each educational agency to adopt a parent's bill of rights for data privacy and security that is included with every contract an educational agency enters with a third-party contractor that receives personally identifiable information and is published on its website.

§ 121.4 requires educational agencies to establish procedures for parents and eligible students to file complaints about breaches or unauthorized releases of student data.

§ 121.5 requires each educational agency to adopt and publish a data security and privacy policy that complies with the regulations and aligns with the National Institute for Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity Version 1.1 no later than July 1, 2020.

§ 121.6 requires each educational agency to ensure that its contracts with third-party contractors include a data security and privacy plan.

§ 121.7 requires educational agencies to provide annual information privacy and security awareness training to their officers and employees with access to personally identifiable information. Such training may be delivered using online training tools and may be included as part of training the educational agency already offers to its workforce and should include training on the state and federal laws that protect personally identifiable information, and how employees can comply with such laws.

§ 121.8 requires each educational agency to designate one or more employees to serve as the educational agency's data protection officer(s) to be responsible for the implementation of the policies and procedures required in Education Law § 2-d and this Part, and to serve as the point of contact for data security and privacy for the educational agency. This requirement may be fulfilled by a current employee(s) of the educational agency who may perform this function in addition to other job responsibilities.

§ 121.9 requires third-party contractors that will receive PII to adopt technologies, safeguards and practices that align with the NIST Cybersecurity Framework; comply with the data security and privacy policy of the educational agency with which it contracts; Education Law § 2-d; and the regulations. Prohibits third-party contractors from disclosing PII to any other party without the prior written consent of the parent or eligible student. Allows a parent or eligible student to release PII to a third-party contractor where the parent or eligible student requests a service or product from a third-party contractor and provides express consent to the use or disclosure of the PII by the third-party contractor for purposes of providing the requested product or service.

§ 121.10 requires third-party contractors to notify each educational

agency with which it has a contract of any breach or unauthorized release of personally identifiable information. Educational agencies must report breaches or unauthorized releases of PII to the Chief Privacy Officer and notify affected parents, eligible students, teachers and/or principals in accordance with the regulations.

§ 121.11 provides that the Chief Privacy Officer has the authority to investigate reports of breaches or unauthorized releases and may impose civil penalties on third party contractors for breaches or unauthorized releases of PII and for each violation of Education Law § 2-d.

§ 121.12 provides that consistent with FERPA, parents and eligible students shall have the right to inspect and review a student's education record by making a request directly to the educational agency in a manner prescribed by the educational agency. Educational agencies are required to notify parents annually of their right to request to inspect and review their child's education record including any student data stored or maintained by an educational agency.

§ 121.13 addresses the Chief Privacy Officer's powers, including the power to access records and other materials maintained by an educational agency that relate to PII.

6. PAPERWORK

§ 121.2 prohibits educational agencies from selling personally identifiable information or using/disclosing it or allowing any other entity to use or disclose it for any marketing or commercial purpose. Educational agencies must incorporate provisions in its contracts with third party contractors that require the confidentiality of PII.

§ 121.4 requires educational agencies to establish procedures for parents and eligible students to file complaints about breaches or unauthorized releases of student data.

§ 121.10 requires third-party contractors to notify each educational agency with which it has a contract of any breach or unauthorized release of personally identifiable information. Educational agencies must report breaches or unauthorized releases of PII to the Chief Privacy Officer and notify affected parents, eligible students, teachers and/or principals in accordance with the regulations.

§ 121.12 provides that consistent with FERPA, parents and eligible students shall have the right to inspect and review a student's education record by making a request directly to the educational agency in a manner prescribed by the educational agency. Educational agencies are required to notify parents annually of their right to request to inspect and review their child's education record including any student data stored or maintained by an educational agency.

7. DUPLICATION:

The rule is necessary to implement Education Law section 2-d and does not duplicate existing State or Federal requirements.

8. ALTERNATIVES:

The rule is necessary to implement Education Law section 2-d. No significant alternatives were considered.

9. FEDERAL STANDARDS:

The rule is necessary to implement Education Law section 2-d. There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

The proposed amendment will become effective upon adoption. As stated above, section 121.5 of the proposed regulation requires each educational agency to adopt and publish a data security and privacy policy that complies with the regulations and aligns with the National Institute for Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity Version 1.1 no later than July 1, 2020.

Revised Regulatory Flexibility Analysis

(a) Small businesses:

The purpose of the proposed rule is to implement Education Law section 2-d, as added by Chapter 56 of the Laws of 2014 which outlines certain requirements for educational agencies and their third-party contractors to ensure the privacy and security of the personally identifiable information of students, and certain annual professional performance review data of teachers and principals (PII).

1. EFFECT OF RULE:

The proposed rule, consistent with Education Law section 2-d, establishes certain requirements for educational agencies and their third-party contractors to ensure the security and privacy of PII.

2. COMPLIANCE REQUIREMENTS:

Certain requirements in the proposed rule apply to small businesses that receive PII and do not impose any program, service, duty or responsibility on small businesses beyond those imposed by the statute. Compliance requirements are summarized as follows:

§ 121.2 prohibits educational agencies from selling personally identifiable information or using/disclosing it or allowing any other entity to use or disclose it for any marketing or commercial purpose. Educational agencies must incorporate provisions in its contracts with third party contractors that require the confidentiality of PII.

§ 121.3 requires each educational agency to adopt a parent's bill of rights for data privacy and security that is included with every contract an educational agency enters with a third-party contractor that receives personally identifiable information and is published on its website.

§ 121.4 requires educational agencies to establish procedures for parents and eligible students to file complaints about breaches or unauthorized releases of student data.

§ 121.5 requires each educational agency to adopt and publish a data security and privacy policy that complies with the regulations and aligns with the National Institute for Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity Version 1.1 no later than July 1, 2020.

§ 121.6 requires each educational agency to ensure that its contracts with third-party contractors include a data security and privacy plan.

§ 121.7 requires educational agencies to provide annual information privacy and security awareness training to their officers and employees with access to personally identifiable information. Such training may be delivered using online training tools and may be included as part of training the educational agency already offers to its workforce.

§ 121.8 requires each educational agency to designate one or more employees to serve as the educational agency's data protection officer(s) to be responsible for the implementation of the policies and procedures required in Education Law § 2-d and this Part, and to serve as the point of contact for data security and privacy for the educational agency. This requirement may be fulfilled by a current employee(s) of the educational agency who may perform this function in addition to other job responsibilities.

§ 121.9 requires third-party contractors that will receive PII to adopt technologies, safeguards and practices that align with the NIST Cybersecurity Framework; comply with the data security and privacy policy of the educational agency with which it contracts; Education Law § 2-d; and the regulations.

§ 121.10 requires third-party contractors to notify each educational agency with which it has a contract of any breach or unauthorized release of personally identifiable information. Educational agencies must report breaches or unauthorized releases of PII to the Chief Privacy Officer and notify affected parents, eligible students, teachers and/or principals in accordance with the regulations.

§ 121.11 provides that the Chief Privacy Officer has the authority to investigate reports of breaches or unauthorized releases and may impose civil penalties on third party contractors for breaches or unauthorized releases of PII.

§ 121.12 provides that consistent with FERPA, parents and eligible students shall have the right to inspect and review a student's education record by making a request directly to the educational agency in a manner prescribed by the educational agency. Educational agencies are required to notify parents annually of their right to request to inspect and review their child's education record including any student data stored or maintained by an educational agency.

§ 121.13 addresses the Chief Privacy Officer's powers, including the power to access records and other materials maintained by an educational agency that relate to PII.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

See the Costs Section of the Regulatory Impact Statement that is published in the State Register on this publication date for an analysis of the costs of the proposed rule.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed rule may impose additional technological requirements on small businesses that receive PII. Economic feasibility is addressed above under Compliance Costs.

6. MINIMIZING ADVERSE IMPACT:

The rule is necessary to implement Education Law section 2-d, as added by Chapter 56 of the Laws of 2014. The rule has been carefully drafted to meet statutory requirements.

7. SMALL BUSINESS PARTICIPATION:

The proposed regulation was developed in consultation with stakeholders and the public. In the Spring of 2018, fourteen public forums were held across the state to receive public comment on the law. Electronic comments were also accepted by the Department during this two-month period. These comments were critical to developing the implementing regulations.

(b) Local governments:

1. EFFECT OF RULE:

The proposed rule, consistent with Education Law section 2-d, establishes certain requirements for educational agencies and their third-party contractors to ensure the security and privacy of PII.

2. COMPLIANCE REQUIREMENTS:

The proposed rule applies to educational agencies and does not impose any program, service, duty or responsibility on educational agencies be-

yond those imposed by the statute. Compliance requirements are summarized as follows:

§ 121.2 prohibits educational agencies from selling personally identifiable information or using/disclosing it or allowing any other entity to use or disclose it for any marketing or commercial purpose. Educational agencies must incorporate provisions in its contracts with third party contractors that require the confidentiality of PII.

§ 121.3 requires each educational agency to adopt a parent's bill of rights for data privacy and security that is included with every contract an educational agency enters with a third-party contractor that receives personally identifiable information and is published on its website.

§ 121.4 requires educational agencies to establish procedures for parents and eligible students to file complaints about breaches or unauthorized releases of student data.

§ 121.5 requires each educational agency to adopt and publish a data security and privacy policy that complies with the regulations and aligns with the National Institute for Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity Version 1.1 no later than July 1, 2020.

§ 121.6 requires each educational agency to ensure that its contracts with third-party contractors include a data security and privacy plan.

§ 121.7 requires educational agencies to provide annual information privacy and security awareness training to their officers and employees with access to personally identifiable information. Such training may be delivered using online training tools and may be included as part of training the educational agency already offers to its workforce and should include training on the state and federal laws that protect personally identifiable information, and how employees can comply with such laws.

§ 121.8 requires each educational agency to designate one or more employees to serve as the educational agency's data protection officer(s) to be responsible for the implementation of the policies and procedures required in Education Law § 2-d and this Part, and to serve as the point of contact for data security and privacy for the educational agency. This requirement may be fulfilled by a current employee(s) of the educational agency who may perform this function in addition to other job responsibilities.

§ 121.9 requires third-party contractors that will receive PII to adopt technologies, safeguards and practices that align with the NIST Cybersecurity Framework; comply with the data security and privacy policy of the educational agency with which it contracts; Education Law § 2-d; and the regulations. Prohibits third-party contractors from disclosing PII to any other party without the prior written consent of the parent or eligible student. Allows a parent or eligible student to release PII to a third-party contractor where the parent or eligible student requests a service or product from a third-party contractor and provides express consent to the use or disclosure of the PII by the third-party contractor for purposes of providing the requested product or service.

§ 121.10 requires third-party contractors to notify each educational agency with which it has a contract of any breach or unauthorized release of personally identifiable information. Educational agencies must report breaches or unauthorized releases of PII to the Chief Privacy Officer and notify affected parents, eligible students, teachers and/or principals in accordance with the regulations.

§ 121.11 provides that the Chief Privacy Officer has the authority to investigate reports of breaches or unauthorized releases and may impose civil penalties on third party contractors for breaches or unauthorized releases of PII and for each violation of Education Law § 2-d.

§ 121.12 provides that consistent with FERPA, parents and eligible students shall have the right to inspect and review a student's education record by making a request directly to the educational agency in a manner prescribed by the educational agency. Educational agencies are required to notify parents annually of their right to request to inspect and review their child's education record including any student data stored or maintained by an educational agency.

§ 121.13 addresses the Chief Privacy Officer's powers, including the power to access records and other materials maintained by an educational agency that relate to PII.

3. PROFESSIONAL SERVICES:

§ 121.7 requires educational agencies to provide annual information privacy and security awareness training to their officers and employees with access to personally identifiable information. Such training may be delivered using online training tools and may be included as part of training the educational agency already offers to its workforce.

§ 121.8 requires each educational agency to designate one or more employees to serve as the educational agency's data protection officer(s) to be responsible for the implementation of the policies and procedures required in Education Law § 2-d and this Part, and to serve as the point of contact for data security and privacy for the educational agency. This requirement may be fulfilled by a current employee(s) of the educational agency who may perform this function in addition to other job responsibilities.

4. COMPLIANCE COSTS:

See the Costs Section of the Regulatory Impact Statement that is published in the State Register on this publication date for an analysis of the costs of the proposed rule.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed regulation requires each educational agency to ensure it has a policy on data security and privacy. As required by Education Law § 2-d (5), the proposed regulation adopts the National Institute for Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity Version 1.1 (NIST Cybersecurity Framework or NIST CSF) as the standard for data security and privacy for educational agencies. No later than July 1, 2020, each educational agency shall adopt and publish a data security and privacy policy that implements the requirements of this Part and aligns with the NIST CSF.

Economic feasibility is addressed above under Compliance Costs.

6. MINIMIZING ADVERSE IMPACT:

The rule is necessary to implement Education Law section 2-d, as added by Chapter 56 of the Laws of 2014. The rule has been carefully drafted to meet statutory requirements while providing flexibility to educational agencies.

7. LOCAL GOVERNMENT PARTICIPATION:

The proposed regulation was developed in consultation with stakeholders and the public. In the Spring of 2018, fourteen public forums were held across the state to receive public comment on the law. Electronic comments were also accepted by the Department during this two-month period. These comments were critical to developing the implementing regulations. The Department has also coordinated with a Data Privacy Advisory Council (DPAC) and subset Regulatory Drafting Workgroup, to review drafts of the proposed regulation and provide an opportunity for stakeholder comment. The DPAC is comprised of stakeholders from a wide range of industry including parent advocates, administrative and teacher organizations as well as technical experts and district level staff. Finally, the Department is working with an Implementation Workgroup, comprised of RIC Directors, BOCES staff and district technical directors to receive feedback and ensure successful implementation of these regulations.

Revised Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

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

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

The majority of the requirements in the proposed amendment do not impose any program, service, duty or responsibility on educational agencies beyond those imposed by the statute.

§ 121.2 prohibits educational agencies from selling personally identifiable information or using/disclosing it or allowing any other entity to use or disclose it for any marketing or commercial purpose. Educational agencies must incorporate provisions in its contracts with third party contractors that require the confidentiality of PII.

§ 121.3 requires each educational agency to adopt a parent's bill of rights for data privacy and security that is included with every contract an educational agency enters with a third-party contractor that receives personally identifiable information and is published on its website.

§ 121.4 requires educational agencies to establish procedures for parents and eligible students to file complaints about breaches or unauthorized releases of student data.

§ 121.5 requires each educational agency to adopt and publish a data security and privacy policy that complies with the regulations and aligns with the National Institute for Standards and Technology Framework for Improving Critical Infrastructure Cybersecurity Version 1.1 no later than July 1, 2020.

§ 121.6 requires each educational agency to ensure that its contracts with third-party contractors include a data security and privacy plan.

§ 121.7 requires educational agencies to provide annual information privacy and security awareness training to their officers and employees with access to personally identifiable information. Such training may be delivered using online training tools and may be included as part of training the educational agency already offers to its workforce and should include training on the state and federal laws that protect personally identifiable information, and how employees can comply with such laws.

§ 121.8 requires each educational agency to designate one or more employees to serve as the educational agency's data protection officer(s) to be responsible for the implementation of the policies and procedures required in Education Law § 2-d and this Part, and to serve as the point of contact for data security and privacy for the educational agency. This requirement may be fulfilled by a current employee(s) of the educational agency who may perform this function in addition to other job responsibilities.

§ 121.9 requires third-party contractors that will receive PII to adopt technologies, safeguards and practices that align with the NIST Cybersecurity Framework; comply with the data security and privacy policy of the educational agency with which it contracts; Education Law § 2-d; and the regulations. Prohibits third-party contractors from disclosing PII to any other party without the prior written consent of the parent or eligible student. Allows a parent or eligible student to release PII to a third-party contractor where the parent or eligible student requests a service or product from a third-party contractor and provides express consent to the use or disclosure of the PII by the third-party contractor for purposes of providing the requested product or service.

§ 121.10 requires third-party contractors to notify each educational agency with which it has a contract of any breach or unauthorized release of personally identifiable information. Educational agencies must report breaches or unauthorized releases of PII to the Chief Privacy Officer and notify affected parents, eligible students, teachers and/or principals in accordance with the regulations.

§ 121.11 provides that the Chief Privacy Officer has the authority to investigate reports of breaches or unauthorized releases and may impose civil penalties on third party contractors for breaches or unauthorized releases of PII and for each violation of Education Law § 2-d.

§ 121.12 provides that consistent with FERPA, parents and eligible students shall have the right to inspect and review a student's education record by making a request directly to the educational agency in a manner prescribed by the educational agency. Educational agencies are required to notify parents annually of their right to request to inspect and review their child's education record including any student data stored or maintained by an educational agency.

§ 121.13 addresses the Chief Privacy Officer's powers, including the power to access records and other materials maintained by an educational agency that relate to PII.

3. COSTS:

See the "Costs" Section of the Regulatory Impact Statement that is published in the State Register on this publication date for an analysis of the costs of the proposed rule, which include costs for educational agencies across the State, including those located in rural areas.

4. MINIMIZING ADVERSE IMPACT:

The rule is necessary to implement Education Law section 2-d. The rule has been carefully drafted to meet statutory requirements while providing flexibility educational agencies. Since the statute applies to all educational agencies throughout the State, it was not possible to establish different compliance and reporting requirements for regulated parties in rural areas, or to exempt them from the rule's provisions.

5. RURAL AREA PARTICIPATION:

The proposed regulations were developed in consultation with stakeholders and the public. In the Spring of 2018, fourteen public forums were held across the state to receive public comment on the law including comment from those located in rural areas. Electronic comments were also accepted by the Department during this two-month period. These comments were critical to developing the implementing regulations. The Department has also coordinated with a Data Privacy Advisory Council (DPAC) and subset Regulatory Drafting Workgroup, to review drafts of the proposed regulation and provide an opportunity for stakeholder comment. The DPAC is comprised of stakeholders from a wide range of industry including parent advocates, administrative and teacher organizations as well as technical experts and district level staff including those located in rural areas. Finally, the Department is working with an Implementation Workgroup, comprised of RIC Directors, BOCES staff and district technical directors to receive feedback and ensure successful implementation of these regulations.

Revised Job Impact Statement

The purpose of the revised proposed rule is to implement Education Law section 2-d, as added by Chapter 56 of the Laws of 2014, which protects the privacy and security of personally identifiable information of students, and teacher and principal annual professional performance review (APPR) data. The law outlines certain requirements for educational agencies and the third-party contractors they utilize to ensure the security and privacy of protected information. Because it is evident from the nature of the proposed rule that it will have no impact on the number of jobs or employment opportunities in New York State, no further steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

Assessment of Public Comment

This assessment summarizes the comments received on the proposed Parts 121 of the Regulations of the Commissioner of the Department of Education, published January 30, 2019. Please refer to the full Assessment of Public Comment for the Department's complete assessment of public comment.

§ 121.1 Definitions.

A commenter requested changes to the definition of "data breach". No change.

A commenter requested that "Commercial or Marketing Purpose" be amended to clarify it does not apply to develop or improve educational products or services. Another recommended the definition exclude third-party contractors corporate restructuring. No change.

Several commenters were concerned the definition of "contract or other written agreement' could limit usage of software applications. No change.

A commenter stated that Education Law § 2-d and the Rule does not apply to charter schools and referenced Education Law § 2854(1)(b). No change.

A commenter requested that the Department adopt its own definition of PII instead of the definition in the Family Educational Rights and Privacy Act (FERPA). No change.

A commenter recommended that the Rule add a definition for "Encryption Technology" Revision made to add a new definition for the term "Encryption."

Several commenters express concern about "click-wrap" agreements and compliance. No change.

A commenter requested that the Department add "former student" to the definition of "student." No change.

A commenter requested "educational purpose" be defined. No change.

Several commenters wanted clarification on how PII is different from Directory Information. No change.

§ 121.2 Educational Agency Data Collection Transparency and Restrictions.

A commenter encouraged the Department to provide training resources. No change.

A commenter requested the Rule include provisions of Education Law § 2-d 4(e) for clarity. Revision made.

A commenter liked § 121.2(a)'s prohibition of the sale of identifiable student data. No change.

§ 121.3 Parents Bill of Rights for Data Privacy and Security.

A commenter requested clarification on whether the Bill of Rights will be provided by the Educational Agency or Third-Party Contractor. No change.

A commenter noted a security risk to require educational agencies to publish information about contracts and third-parties publicly on their website. No change.

A commenter was concerned the requirement to adopt a bill of rights will limit the technology teachers and students can use. No change.

A commenter expressed concern that vendors for multi-year software contracts will not be Education Law § 2-d compliant. No change.

A commenter requested a provision to prohibit subcontractors from using PII for any purpose other than the contracted service and from disclosing such. No change.

A commenter requested the Rule reference: Protection of Pupil Rights Amendment, National School Lunch Act and Children's Online Privacy Protection Act. No change.

A commenter recommends that educational agencies be required to post or make available contracts with vendors receiving PII. No change.

A commenter recommended revising § 121.3(c)(3) to require that data must be returned to the educational agency where it is not destroyed at the end of the contract. No change.

A commenter indicated support for § 121.3 and recommended removing the examples in § 121.3(c)(5). Revision made.

A commenter requested conforming the encryption language in § 121.3(6) to be consistent with the standard in § 121.9. No change.

A commenter wanted a requirement that the Bill of Rights address whether parents could opt out of data collection. No change.

A commenter wanted "if" removed from § 121.3(c)(4). No change.

Another commenter requested that the Rule prohibit the Department from collecting PII including country of birth and suspensions. No change.

A commenter stated that § 121.3 of the Rule should include language from Education Law § 2-d(4)(e). Revision made.

A commenter requested a change requiring third-party contractors to identify subcontractors in supplemental materials. No change.

§ 121.4 Parent Complaints of Breach or Unauthorized Release of Personally Identifiable Information.

A commenter recommended § 121.4 be revised to require complaints and investigation findings be submitted in writing. Revision made allowing agencies to require submissions in writing.

A commenter asked the Department to develop a standardized complaint form. No change.

A commenter recommended § 121.4(c) provide that educational agencies must respond to a complaint within six months. No change.

A commenter recommended § 121.4(d) be clarified to ensure that records of data breaches are available to the public through FOIL. No change.

§ 121.5 Data Security and Privacy Standard.

Commenters noted that the NIST Cyber Security Framework (CSF) is not applicable to the educational sector and not designed to protect confidential information. No change.

A commenter stated the Rule refers to two different encryption standards –the CSF and the HIPAA. No change.

A commenter stated the CSF is restrictive. No change.

A commenter requested the Department make a model Data security and Privacy Policy available before educational agencies must adopt their own policy. No change.

A commenter recommended § 121.5(c) be clarified to state that PII should not be included in public reports or documents. No change.

A commenter recommended Directory Information opt out forms be included in the educational agency's policy. No change.

A commenter requested each educational agency should provide notice of its Policy to parents and employees. No change.

A commenter believed CSF was adopted because the workgroup did not have the necessary technical expertise. No change.

A commenter recommended outside security experts be utilized in lieu of CSF compliance. No change.

A commenter recommended BOCES provide a list of security engineers and companies, assist with negotiations and state should survey for compliance. No change.

A commenter recommended adding "disclosure" to § 121.5(c)(1). Revision made.

A commenter recommended adding all laws and protections available to parents to the agency's policy. No change.

A commenter noted the most recent CSF should be referenced. No change.

§ 121.6 Data Security and Privacy Plan.

Several commenters requested the Department develop a centralized list of approved software applications or, negotiate compliant contracts. No change.

A commenter expressed concerns about the vendor community's willingness to comply with the Rule. No change.

A commenter requested guidance relating to the return of data at the end of the contract. The rule has been revised to require a description of how data will be managed at the end of a contract.

§ 121.7 Training for Educational Agency Employees.

Commenters requested the Rule mandate training content, including CSF, cybersecurity protocols, breach notification and protections provided for in FERPA and HIPAA. Rule revised.

A commenter recommended the training be under 5 minutes. No change.

§ 121.8 Educational Agency Data Protection Officer.

Commenters suggested private entities and BOCES may provide some of the functions of the DPO and expressed concern that current employees could not perform the duties of a DPO in addition to other job responsibilities. No change.

§ 121.9 Third-Party Contractors.

A commenter requested nonprofit organizations be exempted from complying with the requirements. No change.

Commenters noted the Rule may preclude not-for-profits from offering opt-in educational services to students. The rule is revised to permit prior written consent for such services.

A commenter recommended § 121.9 be clarified to exempt the sale of school photographs or yearbooks pursuant to a contract with an educational agency. No change.

A commenter recommended including an explicit prohibition of the licensing of student data. No change.

A commenter recommended contractors provide written assurances of compliance with the educational agency's Policy. No change.

A commenter wanted to extend the consent requirement in Ed Law § 2-d 5(f)(3)(i) to teachers and principals. No change.

A commenter requested the Rule permit the transfer of PII as part of a corporate restructuring. No change.

Commenters suggested language specifying Education Law § 2-d applies to contractual relationships established prior to the Rule's effective date and, NYSED should audit contracts. No change.

A commenter requested the Rule exempt school attorneys, physicians, psychologists and other professionals. No change.

A commenter requested clarification between (a)(2) and (3). No change.

A commenter requested "reasonable" be the standard in § 121.9(a)(5). No change.

§ 121.10 Reports and Notifications of Breach and Unauthorized Release.

Commenters requested clarification where a district has contracted with BOCES, the responsibility to notify of a breach is the districts' responsibility. No change.

A commenter recommended that breach notifications to parents be by mail, prohibit the use of email and phone, and include certain additional directions. No change.

A commenter requested language to cover breaches of banking, retirement, and investment information. No change.

A commenter requested clarification concerning notification to parents. No change.

A commenter questioned what penalties would be applicable to districts where a third-party contractor provided a delayed breach notification.

A commenter stated § 121.10(b) and (d) were duplicative. No change.

A commenter requested § 121.10(e) include former students. No change.

§ 121.11 Third-Party Contractor Civil Penalties.

A commenter noted the Rule did not incorporate the separate general penalty provisions of Education Law § 2-d(7)(b). Revision made.

A commenter recommended § 121.11 be revised to state penalties may only be imposed where the third-party has breached or violated duties with intent or recklessness or gross negligence. No change.

§ 121.12 Right of Parents and Eligible Students to Inspect and Review Students Education Records.

A commenter suggested educational agencies should arrange for records to be delivered to the parent or eligible student and require the posting of FERPA opt out forms. No change.

A commenter wanted to extend provision to data stored by contractor. No change.

§ 121.13 Chief Privacy Officer's Powers.

A commenter recommended references to "privacy risk assessments" be changed to "privacy impact assessments." Revision made in part.

A commenter noted the Chief Privacy Officer (CPO) had too much authority under Education Law § 2-d while another commented stated that it did not include all the powers of the CPO specified in the statute. Revision made to add the powers of the CPO outlined in the statute.

A commenter requested report be posted January, 1. No change.

General Comments

Commenters stated the Rule should mandate expanding the CPO's annual report, and requested resources from SED. No change.

Several commenters objected to the Rule as an unfunded mandate. No change.

Commenters requested a revised ASVAB Directive from the Department following New York City's Rule A-825. Out of scope. No change.

Commenters stated the proposed timeline is too aggressive and requested additional implementation time. Revision made.

A comment was about a Department presentation. No change.

A commenter expressed concerns about liability upon school districts and the level of technical security school districts can provide will fail in the face of a sophisticated cyber-attack. No change.

A commenter requested an extension of the public comment period so educational agencies may better understand the Rule. No change.

Several commenters encouraged the Department to include all stakeholders, including third-party providers, as part of the Data Privacy Advisory Council. No change.

A commenter expressed concern that the Rule was developed to limit the burden on school districts rather than to protect PII. No change.

A commenter recommended that the Rule prohibit the deployment of biometric surveillance systems in educational agencies. No change.

A commenter questioned the sufficiency of anonymizing student names. No change.

A commenter requested a clearinghouse of compliant vendors. No change.

A commenter noted that a PowerPoint presentation by SED referenced the withholding or claw back of any related payments to an agency where the agency is not in compliance all rules and law. No change.

A commenter stated the Department should withdraw the Rule or modify it to include more protections. No change.

A commenter recommended stating the Rule applies to directory information. No change.

A comment noted that compliance with the proposed Rule may require certain procurements.

Another commenter noted that networks and firewalls must be addressed by the Rule. No change.

A commenter noted concerns relating to the ability of vendors to track the IP Address to a student's home when utilizing a device outside school. No change.

A commenter stated there was a lack of opportunity for public comment. No change.

A commenter questions whether "extensions" were third-party contractors. No change.

A commenter stated the DPAC had limited engagement outside of meetings. No change.

A commenter questions whether expenditures were exempted from the tax cap. No change.

A commenter inquired whether google was compliant. No change.

A commenter stated compliant online terms should be acceptable. No change.

A commenter requested guidance for future software orders. No change.

Department of Environmental Conservation

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Sanitary Condition of Shellfish Lands

I.D. No. ENV-31-19-00008-EP
Filing No. 657
Filing Date: 2019-07-12
Effective Date: 2019-07-12

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

Proposed Action: Amendment of Part 41 of Title 6 NYCRR.

Statutory authority: Environmental Conservation Law, sections 11-0303, 13-0307 and 13-0319

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

Specific reasons underlying the finding of necessity: Shellfish are filter feeders that consume plankton, other minute organisms, and particulate matter found in the water column. Shellfish are capable of accumulating pathogenic bacteria, viruses, and toxic substances within their bodies. Consequently, shellfish harvested from areas that do not meet the bacteriological standards for certification have an increased potential to cause illness in shellfish consumers. Closures of shellfish lands that do not meet water quality standards are essential for the protection of public health.

Several shellfish growing areas require reclassification as year-round uncertified and/or seasonally uncertified. Recent evaluations of current water quality data indicate that the bacteriological standards for certified shellfish lands are not being met in the affected areas, and an increased risk of illness exists for shellfish consumers.

Technical changes are also needed to clarify descriptions for enforcement purposes.

The promulgation of this regulation on an emergency basis is necessary to protect public health. If the Department of Environmental Conservation does not adopt this rule making on an emergency basis, areas that do not meet bacteriological standards will remain open for harvest, and the consumption of potentially harmful shellfish is foreseeable.

Subject: Sanitary Condition of Shellfish Lands.

Purpose: To reclassify underwater shellfish lands to protect public health.

Substance of emergency/proposed rule (Full text is posted at the following State website: https://www.dec.ny.gov/regulations/106687.html): The New York State Department of Environmental Conservation (Department) proposes to amend 6 NYCRR Part 41 to reclassify as uncertified (closed to shellfish harvest) either year-round or seasonally the following shellfish lands:

Southampton: An 8-acre expansion of the seasonally uncertified area in Eastern Moriches Bay will clarify the closure line to the southeasternmost point of land, at the southeast corner of the property located at 15 Fiske Avenue, Westhampton Beach.

Southampton: A 10-acre closure will uncertify a portion of Tiana Bay at the mouth of Romana Creek.

Southampton, East Hampton, & Shelter Island: A 29-acre closure will seasonally uncertify all of Little Northwest Creek and a 250-yard radius in outer Sag Harbor at the creek mouth.

East Hampton: Seasonal closure dates for the northern portion of Lake Montauk will be lengthened from May 15 through October 31 to May 1 through November 30.

Southold: A 2-acre expansion of the uncertified area in Greenport will include the waters between the Greenport Yacht & Ship Building Company and the fixed dock at 202 Carpenter Street Greenport, New York 11944.

Southold: The dates of the seasonal closure of Mill Creek and Budds Pond will be modified to May 1 through October 31 and the Budds Pond closure boundary line is being clarified.

Southold: 23-acres in Downs Creek will be downgraded to year-round uncertified.

Southold: The seasonally uncertified area at the Orient by the Sea boat basin is being expanded into Gardiners Bay with a 200-foot radial closure and the closure dates from May 15 through October 31 will be extended to May 1 through October 31.

Riverhead: A 74-acre expansion of the uncertified portion of Long Island Sound near Wading River Creek will extend easterly to the westernmost point of the bulkhead located at 158 North Side Road Wading River, New York 11792.

Riverhead: A 28-acre radial closure expansion at the mouth of Baiting Hollow Creek will uncertify an area extending 300-yards into Long Island Sound.

Smithtown & Huntington: A 27-acre expansion of the radial closure at the mouth of Crab Meadow Creek will extend the uncertified area within Smithtown Bay from 500-feet to 300-yards.

Smithtown & Huntington: A 207-acre, 700-yard radial closure extending from the northernmost tip of the rock jetty on the east side of Northport Basin.

The Department proposes to amend 6 NYCRR Part 41 to reclassify as certified (open to shellfish harvest) either year-round or seasonally the following shellfish lands:

Brookhaven: 7-acres in Bellport Bay near the former site of Old Inlet Marina will be upgraded from seasonally uncertified to certified.

Southold: 24-acres of Pirates Cove in West Harbor on Fishers Island will be upgraded from uncertified to seasonally uncertified. West Harbor and Pirates Cove will both be closed to shellfish harvesting from May 1 through September 30.

The Department will also be proposing technical changes to amend 6 NYCRR Part 41 to clarify descriptions for enforcement purposes. The waterbodies affected by the technical changes are: Atlantic Ocean, Hempstead Bay, South Oyster Bay, Oyster Bay Harbor, Great South Bay, Moriches Bay, Mecox Bay, Hashamomuck Pond, and Smithtown Bay.

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 October 9, 2019.

Text of rule and any required statements and analyses may be obtained from: Kevin Ryan, NYS Department of Environmental Conservation, 205 N. Belle Mead Road, Suite 1, East Setauket, NY 11733, (631) 444-0461, email: Kevin.Ryan@dec.ny.gov

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

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

Additional matter required by statute: The Department has determined that the Notice of Emergency Adoption is a Type II action and no further review is required pursuant to Article 8 of the ECL, the State Environmental Quality Review Act. The Department has determined that the Notice of Proposed Rule Making is an unlisted action pursuant to Article 8 of the ECL, and a Short Environmental Assessment Form and negative declaration have been prepared and are on file. A Coastal Assessment Form is also on file.

Regulatory Impact Statement

1. Statutory authority:

The statutory authority for designating shellfish lands as certified or uncertified is Environmental Conservation Law (ECL) section 13-0307. ECL § 13-0307(1) requires the Department of Environmental Conservation (Department) to periodically conduct examinations of all shellfish lands within the marine district to ascertain the sanitary condition of these areas. ECL § 13-0307(2) requires the Department to certify which shellfish lands are in such sanitary condition that shellfish may be taken for food. Such lands are designated as certified shellfish lands. All other shellfish lands are designated as uncertified. The statutory authority for promulgating regulations with respect to the harvest of shellfish is given in ECL § 13-0319.

2. Legislative objectives:

There are two purposes for the legislation: (1) to ensure that shellfish lands are appropriately classified and (2) to protect the public health by preventing the harvest and consumption of shellfish from lands that do not meet minimum standards for certification. Department staff examine shellfish lands and determine which shellfish lands meet the sanitary criteria for a certified shellfish land, as set forth in Part 47 of Title 6 NYCRR, entitled "Certification of Shellfish Lands." Shellfish lands which meet these criteria must be designated as certified. Shellfish lands which do not meet criteria must be designated as uncertified.

3. Needs and benefits:

To protect the public health and to comply with ECL § 13-0307, the Department conducts and maintains sanitary surveys of shellfish growing areas (SGAs) in the marine district. Maintenance of these surveys includes the regular collection and bacteriological examination of water samples to monitor the sanitary condition of SGAs. Annual water quality evaluation reports written in 2018 were prepared by Department staff for each SGA. These reports present the results of statistical analyses of water quality

data comprised of a minimum of 30 water quality data points. The years involved can vary based on the number of samples collected for each year and for each growing area.

The report summary may state that all or portions of an SGA should be designated as uncertified for the harvest of shellfish, or that all or portions of an SGA should be designated as certified or seasonally uncertified for the harvest of shellfish based on criteria in 6 NYCRR Part 47. Seasonally uncertified areas are closed for the harvest of shellfish during particular months that are specified in regulations, and those months can vary between SGAs.

Regulations that designate shellfish lands as certified are needed to allow the harvest of shellfish from lands that meet the sanitary criteria for a certified area. Shellfish are a valuable state resource and, where possible, should be available for commercial and recreational harvest. The classification of previously uncertified shellfish lands as certified may provide additional sources of income for commercial shellfish diggers by increasing the amount of areas available for harvest. The direct harvest of shellfish for use as food is allowed from certified shellfish lands only. Recreational harvesters also benefit by having increased harvest opportunities and the ability to make use of a natural resource readily available to the public.

Regulations that designate shellfish lands as uncertified are needed to prevent the harvest and consumption of shellfish from lands that do not meet the sanitary criteria for a certified area. Shellfish harvested from uncertified shellfish lands have a greater potential to cause human illness due to the possible presence of pathogenic bacteria or viruses.

These regulations also protect the shellfish industry. Commercial shellfish harvesters and seafood wholesalers, retailers, and restaurants are adversely affected by public reaction to instances of shellfish related illness. By prohibiting the harvest of shellfish from lands that fail to meet the sanitary criteria, these regulations can ensure that only wholesome shellfish are allowed to be sold to the shellfish consumer.

Additionally, these regulations include changes to the shellfish growing area descriptions that will update, clarify, and correct them to match the current physical appearance and names of local landmarks cited in the descriptions and to achieve better consistency within 6 NYCRR Part 41. These changes will aid harvesters and law enforcement officials in determining which areas are uncertified for the harvest of shellfish.

4. Costs:

There will be no costs to State or local governments. No direct costs will be incurred by regulated commercial shellfish harvesters in the form of initial capital investment or initial non-capital expenses, in order to comply with these proposed regulations. The Department cannot provide an estimate of potential lost income to shellfish harvesters when areas are classified as uncertified, due to a number of variables that are associated with commercial shellfish harvesting; nor can the potential benefits be estimated when areas are reopened. Those variables are listed in the following three paragraphs.

In 2018, there were 1,692 licensed shellfish diggers in New York State. As of April 12, 2019, there are 1,354 licensed shellfish diggers for the year 2019. However, the actual number of those individuals who harvest shellfish commercially full time is not known. Recreational harvesters who wish to harvest more than the daily recreational limit of 100 hard clams, with no intent to sell their catch, can only do so by purchasing a New York State digger's permit. The number of individuals who hold shellfish digger's permits for that type of recreational harvest is unknown. The Department's records do not differentiate between full time and part-time commercial or recreational shellfish harvesters.

The number of harvesters working in a particular area cannot be estimated for the reasons stated above. In addition, the number of harvesters in a particular area is dependent upon the season, the amount of shellfish resource in the area, the price of shellfish and other economic factors, unrelated to the Department's proposed regulatory action. When a particular area is classified as uncertified, harvesters can shift their efforts to other certified areas.

Estimates of the existing shellfish resource in a particular embayment are not known. Recent shellfish population assessments have not been conducted by the Department. Without this information, the Department cannot determine the effect a closure or reopening would have on the existing shellfish resource.

The Department's actions to classify areas as certified or uncertified are not dependent on the shellfish resources in a particular area. They are based solely on the results of water quality analyses, the need to protect public health, and statutory requirements.

There is no cost to the Department. Administration and enforcement of the proposed amendment are covered by existing programs.

5. Local government mandates:

The proposed rule does not impose any mandates on local government.

6. Paperwork:

None.

7. Duplication:

The proposed amendment does not duplicate any state or federal requirement.

8. Alternatives:

There are no acceptable alternatives. ECL § 13-0307 mandates that when the Department has determined that a shellfish land meets the sanitary criteria for certified shellfish lands, the Department must designate the land as certified and open to shellfish harvesting. All other shellfish lands must be designated as uncertified and closed to shellfish harvesting. These actions are necessary to protect public health. Failure to comply with the National Shellfish Sanitation Program (NSSP) guidelines could result in a ban on New York State shellfish in interstate commerce and would cause undue hardship to the commercial harvesting industry.

9. Federal standards:

There are no federal standards regarding the certification of shellfish lands. New York and other shellfish producing and shipping states participate in the NSSP which provides guidelines intended to promote uniformity in shellfish sanitation standards among members. The NSSP is a cooperative program consisting of the federal government, states, and the shellfish industry. Participation in the NSSP is voluntary, but participating states agree to follow NSSP water quality standards. Each state adopts its own regulations to implement a shellfish sanitation program consistent with the NSSP. The U.S. Food and Drug Administration (FDA) evaluates state programs and standards relative to NSSP guidelines. Substantial nonconformity with NSSP guidelines can result in sanctions being taken by the FDA, including removal of the state's shellfish shippers from the Interstate Certified Shellfish Shippers List. This effectively bars a nonconforming state's shellfish products from interstate commerce.

10. Compliance schedule:

Compliance with any new regulations designating areas as certified or uncertified does not require additional capital expense, paperwork, record keeping or any action by the regulated parties. Immediate compliance with any regulation designating shellfish lands as uncertified is necessary to protect public health. Shellfish harvesters are notified of changes in the classification of shellfish lands by mail either prior to, or concurrent with, the adoption of new regulations.

Regulatory Flexibility Analysis

1. Effect of rule:

In 2018, there were 1,692 licensed shellfish diggers in New York State. As of April 12, 2019, there are 1,354 licensed shellfish diggers for the year 2019. The numbers of permits issued for areas in the State for 2019 are as follows: Town of Babylon, 37; Town of Brookhaven, 240; Town of East Hampton, 183; Town of Hempstead, 87; Town of Huntington, 106; Town of Islip, 97; Town of North Hempstead, 6; Town of Oyster Bay, 72; Town of Riverhead, 68; Town of Shelter Island, 33; Town of Smithtown, 28; Town of Southampton, 149; Town of Southold, 208; New York City, 33; and Other, 7.

The Department of Environmental Conservation (Department) periodically conducts examinations of all shellfish lands within the marine district to ascertain the sanitary condition of these areas. As a result of these examinations, the Department designates lands as certified or uncertified for the harvest of shellfish. Any change in the designation of shellfish lands may have an effect on shellfish diggers. Each time shellfish lands, or portions of shellfish lands, are designated as uncertified, there may be some loss of income for shellfish diggers who are harvesting shellfish from the lands to be closed. This loss may be determined by the acreage to be closed, the type of closure (whether year-round or seasonal), the species of shellfish present in the area, the area's productivity, and the market value of the shellfish resource in the particular area.

When uncertified shellfish lands are found to meet the Department's sanitary criteria and are designated by the Department as certified, there is a benefit to shellfish diggers. More shellfish lands are made available for the harvest of shellfish, and there is a potential for an increase in income for shellfish diggers. Again, the effect of the re-opening of a harvesting area is determined by the shellfish species present, the area's productivity, and the market value of the shellfish resource in the area.

Shellfish growing area descriptions will be updated, clarified and corrected to match the current physical appearance and names of local landmarks cited in the descriptions and to achieve better consistency within 6 NYCRR Part 41. These changes will aid harvesters and law enforcement officials in determining which areas are uncertified for the harvest of shellfish.

Local governments on Long Island exercise management authority and share law enforcement responsibility for shellfish with the State and the counties of Nassau and Suffolk. These include the towns of Hempstead, North Hempstead, and Oyster Bay in Nassau County, and the towns of Babylon, Islip, Brookhaven, Southampton, East Hampton, Southold, Shelter Island, Riverhead, Smithtown, and Huntington in Suffolk County. Changes in the classification of shellfish lands impose no additional requirements on local governments above the level of management and

enforcement that they currently perform; therefore, the Department expects that there will be no effect on local governments.

2. Compliance requirements:

The proposed regulation would not require reporting or recordkeeping requirements for small businesses or local governments.

3. Professional services:

Small businesses and local governments would not require any professional services to comply with the proposed regulation.

4. Compliance costs:

Under the proposed regulation, there are no capital costs which would be incurred by small businesses or local governments.

5. Economic and technological feasibility:

There is no reporting, recordkeeping, or affirmative actions that small businesses or local governments must undertake to comply with the proposed regulation. Similarly, small businesses and local governments would not have to retain any professional services or incur any capital costs to comply with the regulation. As a result, it should be economically and technically feasible for small businesses and local governments to comply with this regulation.

6. Minimizing adverse impact:

The designation of shellfish lands as uncertified may have an adverse impact on commercial shellfish diggers. All diggers in the towns affected by proposed closures will be notified by mail of the designation of shellfish lands as uncertified prior to, or concurrent with the date the closures go into effect. Shellfish lands which fail to meet the sanitary criteria during specific months of the year will be designated as uncertified only during those months. To minimize any adverse effects of proposed closures, towns may request that uncertified shellfish lands be considered for conditionally certified designation or for a shellfish transplant project. Shellfish diggers will also be able to shift harvesting effort to nearby certified shellfish lands. There should be no significant adverse impact on local governments from these changes in the classification of shellfish lands.

7. Small business and local government participation:

Impending shellfish closures are discussed at regularly scheduled Shellfish Advisory Committee meetings. This committee, organized by the Department, is comprised of representatives of local baymen's associations, shellfish shippers, and local town officials. Through their representatives, shellfish harvesters and shippers can express their opinions and give recommendations to the department concerning shellfish land classification. Local governments, state legislators, and baymen's organizations are notified by mail and given the opportunity to comment on any proposed rule making.

8. (IF APPLICABLE) For rules that either establish or modify a violation or penalties associated with a violation:

None.

9. (IF APPLICABLE) Initial review of the rule, pursuant to SAPA § 207 as amended by L. 2012, ch. 462:

The rule will be reviewed in three years.

Rural Area Flexibility Analysis

The Department of Environmental Conservation (Department) has determined that this rule will not impose an adverse impact on rural areas. This rule making only affects the marine and coastal district of the State; there are no rural areas within the marine and coastal district. The shellfish fishery is entirely located within the marine and coastal district and is not located adjacent to any rural areas of the State. The proposed rule will not impose any reporting, record keeping, or other compliance requirements on public or private entities in rural areas. Since no rural areas will be affected by the proposed amendments, the Department has determined that a Rural Area Flexibility Analysis is not required.

Job Impact Statement

1. Nature of impact:

Environmental Conservation Law (ECL) § 13-0307 requires that the Department of Environmental Conservation (Department) examine shellfish lands and certify which shellfish lands are in such sanitary condition that shellfish may be taken for use as food. Shellfish lands that do not meet the criteria for certified (open) shellfish lands must be designated as uncertified (closed) to protect public health.

Rule makings to amend Part 41 of Title 6 of the Official Compilation of Codes, Rules, and Regulations of New York (6 NYCRR 41), Sanitary Condition of Shellfish Lands, can potentially have a positive or negative effect on jobs for shellfish harvesters. Amendments to reclassify areas as certified may increase job opportunities, while amendments to reclassify areas as uncertified may limit harvesting opportunities.

The Department does not have specific information regarding the locations in which individual diggers harvest shellfish, and is therefore unable to assess the specific job impacts of the proposed regulation on individual shellfish diggers. In general terms, amendments of 6 NYCRR Part 41 to designate areas as uncertified can have negative impacts on harvesting opportunities. The extent of the impact will be determined by the acreage closed, the type of closure (year-round or seasonal), the area's productivity, and the market value of the shellfish. In general, any negative impacts are small because the Department's actions to designate areas as uncertified typically only affect a small portion of the shellfish lands in the state. Negative impacts are also diminished in many instances by the fact that shellfish harvesters are able to redirect effort to adjacent certified areas.

Amendments of 6 NYCRR Part 41 to designate areas as certified can have positive impacts on harvesting opportunities. This action results in financial benefits for commercial fisherman and increased opportunities for recreational shellfish harvesters. Increasing the amount of certified shellfish harvesting areas can provide a financial benefit due to the increased availability of shellfish resources.

2. Categories and numbers affected:

Licensed commercial shellfish diggers can be affected by amendments to 6 NYCRR Part 41. Most harvesters are self-employed, but there are some who work for companies with privately controlled shellfish lands or who harvest surf clams or ocean quahogs in the Atlantic Ocean.

In 2018, there were 1,692 licensed shellfish diggers in New York State. As of April 12, 2019, there are 1,354 licensed shellfish diggers for the year 2019. The numbers of permits issued for areas in the State for 2019 are as follows: Town of Babylon, 37; Town of Brookhaven, 240; Town of East Hampton, 183; Town of Hempstead, 87; Town of Huntington, 106; Town of Islip, 97; Town of North Hempstead, 6; Town of Oyster Bay, 72; Town of Riverhead, 68; Town of Shelter Island, 33; Town of Smithtown, 28; Town of Southampton, 149; Town of Southold, 208; New York City, 33; and Other, 7. It is estimated that ten (10) to twenty-five (25) percent of the diggers are full-time harvesters. The remainder are seasonal or part-time harvesters.

3. Regions of adverse impact:

Certified shellfish lands that could potentially be affected by amendments to 6 NYCRR Part 41 are located within or adjacent to Queens County, Nassau County, and Suffolk County. There is no potential adverse impact to jobs in any other areas of New York State.

4. Minimizing adverse impact:

Shellfish lands are designated as uncertified to protect public health as required by the ECL. Some impact from rule makings to close areas that do not meet the criteria for certified shellfish lands is unavoidable.

To minimize the impact of closures of shellfish lands, the Department evaluates areas to determine whether they can be opened seasonally during periods of improved water quality. The Department also operates conditional harvesting programs at the request of, and in cooperation with, local governments. Conditional harvesting programs allow harvest in uncertified areas under prescribed conditions, determined by studies, when bacteriological water quality is acceptable. Additionally, the Department operates shellfish transplant harvesting programs which allow removal of shellfish from closed areas for bacterial cleansing in certified areas. Conditional harvesting and shellfish transplant programs increase harvesting opportunities by making the resource in a closed area available under controlled conditions.

5. Self-employment opportunities:

A large majority of shellfish harvesters in New York State are self-employed. Rule makings to change the classification of shellfish lands can have an impact on self-employment opportunities. The impact is dependent on the size and productivity of the affected area and the availability of adjacent lands for shellfish harvesting.

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

The rule will be reviewed in three years.

Department of Financial Services

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Student Loan Servicers

I.D. No. DFS-31-19-00007-P

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

Proposed Action: Addition of Part 409 to Title 3 NYCRR.

Statutory authority: Banking Law, sections 10, 11, 14, 718, art. 14-A; Financial Services Law, sections 102, 201, 202, 301 and 302

Subject: Student Loan Servicers.

Purpose: To provide for the supervision of the student loan servicing industry.

Substance of proposed rule (Full text is posted at the following State website: https://www.dfs.ny.gov/industry_guidance/regulations/proposed_banking): Section 409.1 Definitions. Provides the definitions used in the part.

Section 409.2 Applicability. Sets forth that the part is applicable to all student loan servicers servicing New Yorker's student loans. To the extent federal preemption prevents the application of certain provision, this section outlines those provisions which do not apply to student loan servicers who only service federal student loans.

Section 409.3 Licensing. Sets forth the requirements for licensing, the application process, and the ability to surrender a license. Requires use of NMLS in licensing. The license issued under this section shall be a perpetual license.

Section 409.4 Temporary license during transition period. This section provides for a temporary license to any student loan servicer who is already engaged in the business as of the effective date of Article 14-A and who makes a complete license application as of that date. Such temporary license shall only be effective until the Superintendent renders a decision on the application, it may not be extended or renewed, and is subject to revocation without a hearing.

Section 409.5 Continuing duty to update licensing information; changes in officers and directors. Provides that licensed student loan servicers shall make necessary amendments to their application and licensing file.

Section 409.6 Change in control application; prior approval. Sets forth the procedures for making a change in control application and obtaining prior approval of the superintendent. Also provides the process for determinations of control of a student loan servicer.

Section 409.7 Suspension and revocation of a license. Provides the grounds for the suspension or revocation of a license. Expressly permits hearings by submission. Provides for emergency suspensions in certain circumstances.

Section 409.8 Servicing standards. Sets forth standards to be followed by the industry. Including standards surrounding nonconforming payments, transfers of servicing, customer service, and borrower complaints and inquiries.

Section 409.9 Prohibited practices. Provides certain prohibited acts and practices. Establishes baseline understanding of unfair and abusive acts and practices.

Section 409.10 Examinations. Sets forth provisions relating to the examination of student loan servicers and how the costs of those examinations will be assessed.

Section 409.11 Reporting requirements. Establishes the procedure for annual reporting by student loan servicers and sets forth rules regarding special reports.

Section 409.12 Confidential supervisory information. Outlines what supervisory information shall be confidential communications protected from disclosure.

Section 409.13 Books and records. Provides rules for the preservation of the books and records of student loan servicers.

Section 409.14 Cybersecurity. Confirms the application of 23 NYCRR Part 500 to student loan servicers and provides for a phased in transition period.

Section 409.15 Notifications. For those entities not required to obtain a license under the proposed regulation that are required to submit notice to the Superintendent of their participation in the servicing of student loans in the state, this section provides the mechanism for submitting that notice.

Section 409.16 Severability. This section instructs that should any provision of this regulation be found by a court of competent jurisdiction to be preempted, that it is the intent of the Department that such provision be reformed to continue to apply to the greatest extent permitted.

Text of proposed rule and any required statements and analyses may be obtained from: Eamon G. Rock, Department of Financial Services, One Commerce Plaza, Albany, NY 12257, (518) 474-4567, email: Eamon.Rock@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.

Regulatory Impact Statement

1. Statutory Authority: Section 102 of the New York Financial Services Law (the "Financial Services Law" or "FSL"), declares that the purpose of the FSL is "to ensure the continued safety and soundness of New York's banking, insurance and financial services industries, as well as the prudent conduct of the providers of financial products and services, through responsible regulation and supervision."

Pursuant to FSL Section 201, the Department of Financial Services (the "Department") has broad authority to take such actions as are necessary to ensure the continued solvency, safety, soundness and prudent conduct of the providers of financial products and services; to protect users of financial products and services; and to eliminate financial fraud, other criminal abuse and unethical conduct in the industry.

FSL Section 202 creates the office of the Superintendent of Financial Services (the "Superintendent") and confers on the Superintendent all "the rights, powers, and duties in connection with financial services and protection in this state, expressed or reasonable implied by [the FSL] or any other applicable law of this state."

FSL Section 301 gives the Department broad power "to protect users of financial products and services." In addition, FSL Section 302 provides the Department with equally broad authority to adopt regulations relating to "financial products and services," which are broadly defined in the Financial Services Law to mean essentially any product or service offered by a Department-regulated entity.

Section 10 of the New York Banking Law (the "Banking Law" or "BL") sets forth a declaration of policy, including that banking institutions will be regulated in a manner to insure safe and sound conduct and maintain public confidence. And BL § 11 sets forth that the Department is charged with the execution of the laws relating to entities regulated under the Banking Law.

BL § 14 references, without limitation, the policy of BL § 10 and sets forth certain powers of the Superintendent under the Banking Law, including the power to "make, alter and amend orders, rules and regulations not inconsistent with law" and, under certain enumerated circumstances, to "make variations from the requirements" of the Banking Law, provided such variations are "in harmony with the spirit of the law."

Article 14-A of the Banking Law establishes the supervision of the student loan servicing industry by the Department and provides from the licensure and regulation of student loan servicers thereby. BL § 718 specifically empowers the Superintendent to promulgate regulation in furtherance of the purposes of Article 14-A.

2. Legislative Objectives: Article 14-A of the Banking Law as added by Part L of Chapter 58 of the Laws of 2019, provides for the supervision of the student loan servicing industry by the Department. In furtherance of that supervision student loan servicers are subject to licensure and to conduct requirements by the provision of that Article. This proposed regulation implements the provisions of that Article and thus furthers the Legislature's objective in passing Part L, namely to provide for the supervision of the industry. The proposed regulation also protects New York consumers and ensures safe and sound operation of the industry in fulfillment of the objectives of the Legislature in creating the Department.

3. Needs and benefits: Article 14-A of the Banking Law as added by Part L of Chapter 58 of the Laws of 2019 establishes the supervision of the student loan servicing industry. That statute provides the Department with certain powers and responsibilities, this proposed regulation is necessary to implement Article 14-A in the manner the legislation contemplated. Further, the proposed regulation is necessary to ensure the industry is aware of its responsibilities and obligations under Article 14-A and Department supervision. As efficient and effective supervision requires the use of NMLS in making applications and other submissions the proposed regulation is also necessary to establish the requirement to use that system. Finally, the proposed regulation is necessary to protect consumers, in this case the approximately 2.8 million student loan borrowers in New York.

4. Costs: Student loan servicers who are subject to the proposed regulation may have certain costs of compliance with it. It should be noted however, that the industry subject to this regulation is comprised of sophisticated parties who are already subject to similar regulation in other states. Thus, to the extent there are compliance costs the industry should be able to bear them. Further, the Department has weighed the compliance costs against the financial risks to borrowers, who are undeniably in a more financially vulnerable position. While the Department sought to impose no greater than necessary costs under the proposed regulation, the Department was unwilling to narrow any necessary consumer protection for cost-savings reasons. Indeed, most industry costs arise directly from the text of the legislation and were thus considered by legislature and found to be appropriate.

The statute provides that the Department can require electronic submissions. The proposed regulation does impose requirements on electronic submission through NMLS. The use of NMLS is consistent with the Department's practice with other non-bank entities it regulates under the Banking Law. There are costs to use the system that will be borne by the regulated entities. The use of NMLS has been determined necessary to ensure the efficient and effective regulation of the student loan servicing industry.

The regulation will not result in any fiscal implications to the State. The costs of supervision of the industry, e.g., the staff necessary to review licensing applications, to handle complaints, and to conduct examinations, are the result of the statute and not this regulation. Those costs are covered by the industry assessments as outlined in BL Article 14-A and FSL 206.

5. Local government mandates: To the Department's knowledge there

are no local governments who are student loan servicers, therefore there are no new requirements imposed by the rule on any county, city, town, village, school, fire or other special district.

6. Paperwork: Proposed Part 409 requires servicers to keep books and records related to servicing for a period of three years and produce annual and other reports requested by the Superintendent. It is anticipated that submission of this reporting will be done electronically with instructions for completion provided sufficiently in advance for the preparation of the report. The other recordkeeping and reporting requirements are consistent with standards generally required of other regulated financial services entities. Applicants and licensees will be required to follow the checklists and instructions posted on NMLS in submitting applications or in making amendments to their NMLS files.

7. Duplication: The regulation does not duplicate or conflict with any other regulations.

8. Alternatives: Article 14-A of the Banking Law provides for the licensing of student loan servicers doing business in this state by the Department and as such, the promulgation of this regulation is necessary, and the alternative of not promulgating a regulation related to student loan servicers was rejected.

Further, as Article 14-A establishes the supervision of an entire industry it is necessary that additional detail be provided to industry participants to explain responsibilities and prohibited practices and to provide borrowers with a set of clear rules that servicers that are servicing their student loans must follow.

The Department considered not permitting the use of electronic application processes or to make use of NMLS optional for this license. Both options were rejected. Article 14-A specifically authorizes the Superintendent to require the application and other submissions by entities supervised under the Article to be made by electronic means. The Superintendent has determined that efficient and effective administration of the application process and the continued supervision of the industry demands uniform electronic filing.

9. Federal Standards: The proposed rule will overlap in some respects with the authority of the Consumer Financial Protection Bureau and the federal Department of Education to oversee student loan servicers. However, there are no consistent market-wide standards for servicing student loans. Although federal regulations provide some requirements for federal loans, the regulations are not comprehensive. No federal law or regulation governs servicing of private student loans. This rule is needed to ensure student loan servicers treat consumers fairly.

10. Compliance Schedule: The requirements of Article 14-A become effective October 9, 2019, it is anticipated that this regulation will be in place and effective by that date. The regulation will be effective upon publication of the notice of adoption.

Regulatory Flexibility Analysis

The Department finds that the rule will not impose any adverse economic impact or reporting, recordkeeping or other compliance requirements on small businesses or local governments in New York State. The rule provides for the supervision of the student loan servicing industry. The Department is not aware of any small business or local government to whom the regulation would apply. Thus, the rule should have no impact on any small business or local government.

Rural Area Flexibility Analysis

The Department finds that the rule will not impose any adverse impact on rural areas or reporting, recordkeeping or other compliance requirements on public or private entities in rural areas in New York State. The rule provides for the supervision of the student loan servicing industry. The Department is not aware of any public or private entities in rural areas that are engaged in the servicing of student loans. Thus, the rule should have no impact on any public or private entities in rural areas.

Job Impact Statement Article 14-A of the Banking Law provides for the supervision of the student loan servicing industry by the Department. This supervision has certain compliance costs and provides certain prohibited practices. To the extent complying with the minimum standards outlined in Article 14-A and in the proposed regulation will impose costs on the industry, the industry may choose to address those costs by adjusting their hiring or staffing. However, as the Department cannot be sure how each student loan servicer will react to the Department's supervision it is impossible to quantify any impact the regulation may have on jobs particularly in terms of numbers or categories affected. Indeed, the Department anticipates that most of the student loan servicers subject to the regulation are already licensed or regulated by other states, thus the additional regulation by New York may not pose any large increase in compliance costs and may result in no effect on jobs.

Further, the Department understands that the vast majority of student loan servicers who will be subject to the proposed regulation do not have a physical presence in New York. Thus, while the impact of the proposed regulation is uniform across the industry, the impact on jobs may not be felt in New York, or in any particular region in New York. Based on licensure in other states, the Department is aware of a limited number of student loan servicers that do maintain a physical presence in New York, however the functions served by those presences are currently unknown to the Department. Those presences are not limited to any one region and include downstate, central and western New York, so to the extent an impact on jobs may be anticipated in New York, those are the areas that could be impacted.

The proposed regulation represents the necessary rules for the proper conduct of the student loan industry in New York. Therefore, to the extent the proposed regulation has a negative impact on jobs, it is limited to the necessary rules for the industry. The regulation also calls for informed customer service staff and prompt investigation and handling of consumer complaints and inquiries. These requirements may require the hiring of additional customer support staff and thus have a positive impact on jobs and employment opportunities.

REVISED RULE MAKING NO HEARING(S) SCHEDULED

Professional Bail Agents; Managing General Agents; et al

I.D. No. DFS-36-18-00003-RP

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

Proposed Action: Amendment of Parts 28 (Regulation 42), 33 (Regulation 120) and 66 (Regulation 76) of Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202, 302; Insurance Law, sections 301, 2307 and art. 68

Subject: Professional Bail Agents; Managing General Agents; et al.

Purpose: To provide greater protection to consumers and raise the standards of integrity in the bail bond business.

Substance of revised rule (Full text is posted at the following State website: https://www.dfs.ny.gov/industry_guidance/regulations/proposed_insurance): Section 28.0 (Introduction) is amended to state that the regulation is designed to provide greater protection to consumers and raise standards of integrity in the bail business.

Section 28.1 is renumbered as Section 28.2, and new Section 28.1 provides definitions applicable to Part 28.

Section 28.2 (formerly Section 28.1) prohibits pre-arrest agreements.

Section 28.3 is added to require, and set forth the procedures for, the appointment of bail agents by insurers and charitable bail organizations ("CBOs").

Section 28.4 is added to prohibit a bail agent from using an unauthorized name.

Section 28.5 is added to set forth bail agent notification requirements.

Section 28.6 is added to set forth requirements regarding bail agent offices.

Section 28.7 is added to prohibit payments of compensation to unlicensed bail agents by insurers and CBOs.

Section 28.8 is added to prohibit a bail agent or insurer from obtaining any fee or consideration other than a premium based on rates in effect and the actual documented out-of-pocket costs of the apprehension and surrender of the principal following a court-ordered warrant; the apprehension and surrender of the principal following the documented request of the indemnitor; and the application for the remission of forfeiture. It also prohibits an insurer, bail agent, or an employee or other representative of an insurer from knowingly deviating from the filed rates and sets forth the duration of a bail bond.

Section 28.9 is added to set forth requirements regarding return of premiums.

Section 28.10 is added to require and define the prompt release of the principal.

Section 28.11 is added to set forth requirements and procedures regarding collateral.

Section 28.12 is added to require a bail agent to use separate accounts for premium and collateral.

Section 28.13 is added to prohibit a bail agent from using any contract or form that has not been approved by the Superintendent of Financial Services ("Superintendent") pursuant to 11 NYCRR section 66.1.

Section 28.14 is added to set forth requirements regarding the supervision of bail agents by insurers and CBOs.

Section 28.15 is added to set forth requirements regarding the termination of appointments of bail agents by insurers and CBOs.

Section 28.16 (formerly Section 28.2(a)) is amended to impose new requirements regarding bail registers.

Section 28.17 (formerly Section 28.2(b) and (c)) is amended to impose new requirements regarding receipts, records and written statements to be provided to indemnitors and principals.

Section 28.18 is added to require a statement of rights.

Section 28.19 is added to include requirements regarding a bail agent's maintenance and retention of records.

Section 28.20 is added to set forth requirements regarding surrender of a principal.

Section 33(c) is amended by revising the definition of "managing general agent" to include certain bail agents.

Section 66.0 is amended by adding a new subdivision (f) to explain why DFS is requiring that bail bond forms be filed with and approved by the Superintendent.

Section 66.1(a) is amended to require bail bond forms to be filed and approved by the Superintendent.

Section 66.1(b) is added to require an insurer and CBO to file with the Superintendent for the Superintendent's approval any contract or form to be signed by or provided to an indemnitor or principal in connection with the issuance of a bail bond or depositing money or property as bail, and to use only such approved contracts and forms.

Revised rule compared with proposed rule: Substantial revisions were made in sections 28.1, 28.3, 28.5, 28.8, 28.10, 28.11, 28.17, 28.18, 28.19 and 66.0.

Text of revised proposed rule and any required statements and analyses may be obtained from Samantha Darche, Department of Financial Services, One State Street, New York, NY 10004, (212) 709-1695, email: Samantha.Darche@dfs.ny.gov

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

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

Revised Regulatory Impact Statement

1. Statutory authority: Financial Services Law ("FSL") §§ 202 and 302 and Insurance Law ("IL") §§ 301, 2307, 2314, and Article 68.

FSL § 202 establishes the office of the Superintendent of Financial Services ("Superintendent"). FSL § 302 and Insurance Law § 301, in material part, authorize the Superintendent to effectuate any power accorded to the Superintendent by the FSL, IL, or any other law, and to prescribe regulations interpreting the IL.

IL § 2307(b) prohibits a policy form from being delivered or issued for delivery unless it has been filed with the Superintendent and either the Superintendent has approved it or 30 days has elapsed and the Superintendent has not disapproved it as misleading or violative of public policy. However, § 2307(c) permits the Superintendent, by regulation, to waive the policy form prior approval requirements if the rates for that insurance are not subject to prior approval under IL § 2305(a).

IL § 2314 prohibits an authorized insurer and any employee or other representative of an authorized insurer from knowingly charging or demanding a rate or receiving a premium that departs from the rates, rating plans, classifications, schedules, rules and standards in effect on behalf of the insurer and from issuing or making any policy or contract involving a violation thereof.

IL Article 68 sets forth provisions governing the licensing of bail agents and the doing of a bail business by an insurer and charitable bail organization ("CBO").

2. Legislative objectives: The providing of bail is an integral part of the criminal justice system in New York State and the Legislature has long been concerned with abuses in providing bail bonds. The Legislature has strictly regulated who may deposit money as bail or execute as surety any bail bond. IL Article 68 provides the statutory requirements applicable to the regulation of bail insurers, CBOs, and bail agents. 11 NYCRR 28 (Insurance Regulation 42), which was first promulgated in 1964, implements the Legislative intent in regulating the business and posting of bail as a vocation in New York. IL § 2307 requires a policy form to be filed with the Superintendent unless the Superintendent waives the prior approval requirement by regulation and IL § 2314 prohibits an authorized insurer and any employee or other representative of an authorized insurer from knowingly deviating from the filed rate.

The amendments accord with the public policy objectives of more effectively regulating the bail industry and protecting consumers that the Legislature sought to advance in IL §§ 2307 and 2314 and Article 68 by: amending 11 NYCRR 28, which implements IL Article 68, and 11 NYCRR 33 (Insurance Regulation 120), which governs managing general agents, to establish similar provisions and requirements that are applicable to other insurance producers; amending 11 NYCRR 66 (Insurance Regulation 76) to require that bail bond forms be filed with the Superintendent for prior approval; and establishing requirements to prevent abuses that are particular to bail.

3. Needs and benefits: Since 2005, there has been an increase in the number of complaints made to the Department of Financial Services ("DFS") against licensed bail agents, including allegations of misuse of collateral pledged with bail agents, the charging of impermissible fees, fraud, and the illegal retention of premium. For example, DFS received a complaint alleging, among other things, that a bail agent refused to return over $30,000 in premium that an indemnitor had paid for a bail bond to secure the release of a principal after the court rejected the bond at a bail sufficiency hearing and the principal was not released from custody. While handling that complaint, DFS learned that the U.S. Circuit Court of Appeals for the Second Circuit had certified the following question to the New York Court of Appeals involving the IL and analogous facts to those at issue in the DFS complaint: "Whether an entity engaged in the 'bail business,' as defined in NYIL § 6804(a)(1), may retain its 'premium or compensation,' where a bond posted pursuant to NYCPL § 520.20 is denied at a bail sufficiency hearing conducted pursuant to NYCPL § 520.30, and the criminal defendant that is the subject of the bond is never admitted to bail."

In June 2017, the New York Court of Appeals issued its opinion in Gevorkyan v. Judelson, 29 N.Y.3d 452 (2017), in which DFS filed an amicus curiae brief. According to the Court's analysis of the statute, and as argued in DFS's amicus brief, an insurer is entitled to the premium only upon "giving bail bond" under IL § 6804(a), and the bail bond "has not been given if the court refuses to accept the bond after the bail source hearing." Id. at 458. The Court noted that its determination was further supported by the IL principle that premium follows risk: "The question before us ultimately turns on when a 'premium' is earned." Id. at 461. As the Court explained, "[t]he use of the word 'premium' in section 6804(a) is significant because that term connotes a consideration paid to an insurer for assuming a risk. Risk, when used "with reference to insurance, describes the liability assumed as specified on the face of the policy." (Emphasis in original.) Id. In the Court's view, the insurer does not incur risk if the criminal defendant is not released and has no opportunity to abscond. "If the court disapproves the bail bond, the surety never runs the risk it contracted to insure." Id. at 462. On August 29, 2017, DFS issued Insurance Circular Letter No. 13 (2017) to advise insurers and licensed bail agents that they must strictly comply with the Gevorkyan decision.

In August 2017, in light of the Gevorkyan case, DFS sent a letter to insurers writing bail bonds asking for information related to various aspects of their bail business in New York State, including complaints received by the insurer regarding its or its bail agents' failure to return premiums or fees after the principal was not released from custody; copies of the insurers' most recent versions of all forms provided to indemnitors and principals in New York State; and written guidelines and manuals that the insurer provides to bail agents that discuss earning and retention of premium and collateral.

DFS also met with advocates and learned that bail agents are not posting their names and licenses in their offices, making it difficult for indemnitors to know who they are dealing with and whether that person is properly licensed as a bail agent. Advocates also noted that bail agents are requiring indemnitors to sign contracts whereby they agree to pay impermissible fees for things such as missed phone calls, couriers, and notaries; are not providing indemnitors and principals with copies of agreements they signed; are making it difficult to obtain return of collateral or are not returning collateral; and are taking advantage of indemnitors who may be undocumented persons by asking them for more money.

In June 2018, DFS sent a letter to licensed bail agents asking them to submit information about themselves and how they operate their businesses, including a description of how premium and collateral are received and maintained; a list of fees that they charge other than bail bond premium; and the circumstances under which they would rearrest or return a principal to custody.

Furthermore, DFS, with the Department of State and the Division of Criminal Justice Services, held listening sessions in New York City, Buffalo, and Syracuse in June 2018 to gather input from communities, advocates, and licensees concerning practices and how to combat abuses in the bail industry.

After reviewing testimony and comments from the listening sessions, considering complaints and surveying other states' bail laws and regulations, DFS drafted amendments that would correct deficiencies and clarify certain issues. The amendments would require, among other things: a bail agent to maintain a bail register; a bail agent to issue a receipt upon collecting and, if applicable, returning the premium and collateral; an insurer, CBO, and bail agent to be liable for the return of all collateral received; an insurer and CBO to file, for the Superintendent's approval, all contracts and other forms that are signed by or provided to the indemnitor or principal; a bail agent to prominently display in a headquarters location and each satellite office the license of the bail agent and any supervising person responsible for the place of business and a sign that states that a complaint may be filed with DFS; and a bail agent to provide certain disclosures to a potential indemnitor before the indemnitor signs any agreement. The amendments also codify the Gevorkyan decision that the

full premium paid for a bail bond must be returned if the principal is not released from custody.

The amendments also would include in the definition of "managing general agent" under 11 NYCRR 33 any person or business entity that supervises or manages, on behalf of an insurer, bail agents appointed by the insurer, other than a person who is a full-time employee or officer of the insurer.

On September 5, 2018, DFS published the proposed amendments in the State Register and received extensive comments from insurers, bail agents, consumer advocates, and individual New York residents. DFS reviewed the comments and made changes to the proposed amendments in response thereto.

4. Costs: Insurers, CBOs, and bail agents will incur costs to implement and continue compliance with the amendments because they will need to make filings with DFS, issue receipts, expend printing and copying costs for written disclosures made available by DFS, and keep additional detailed records. These costs may vary based upon the size of the regulated entity and thus DFS cannot currently estimate the costs. The filing of policy forms and contracts by insurers should not be significant because insurers already make rate filings with DFS and provide forms to their bail agents. Many of the recordkeeping and other requirements in the proposed amendments are identical to requirements applicable to insurance producers.

These amendments may impose compliance costs on DFS because DFS will need to review contracts and policy forms submitted to DFS for approval. However, any additional costs incurred by DFS should be limited since there are not many insurers writing bail bonds and the terms of the bonds should generally be the same. As such, the costs to DFS should be minimal and DFS expects to absorb the costs in its ordinary budget.

The amendments do not impose compliance costs on local governments.

5. Local government mandates: This rule does not impose any program, service, duty, or responsibility upon a county, city, town, village, school district, fire district, or other special district.

6. Paperwork: The amendments will require insurers and CBOs to make filings with DFS and will require bail agents to issue receipts, provide written disclosures, and keep additional detailed records.

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

8. Alternatives: DFS considered requiring collateral to be maintained in an interest-bearing account in a financial institution located in New York State that is insured by the Federal Deposit Insurance Corporation or National Credit Union Administration but determined that such a requirement was unnecessary.

DFS further considered requiring that build-up funds be held in a trust account but removed that section of the rule in response to comments it received from the bail industry.

DFS also considered maintaining the exemption for an insurer from filing bail bond forms with the DFS for DFS's approval but decide to remove that exemption to better protect consumers because bail agents are using forms that often include language and terms that impose unreasonable, punitive, or predatory conditions on principals and indemnitors.

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

10. Compliance schedule: An insurer, CBO, and bail agent must comply with the rule within 120 days after publication of the notice of adoption in the State Register.

Revised Regulatory Flexibility Analysis

1. Effect of rule: These amendments to the regulations apply to insurers in New York State that are authorized to write bail bonds; certified charitable bail organizations ("CBOs"); and bail agents.

Although most insurers are not small businesses, industry has asserted previously that certain insurers subject to the regulations are small businesses but has not provided the Department of Financial Services ("DFS") with specific insurers or the number of such entities.

There are approximately 282 licensed bail agents in New York State, individual, corporate or otherwise. Although DFS does not have any specific statistics, DFS believes that many, if not most, of those bail agents are independently owned and operated and employ 100 or fewer individuals, Therefore, they are small businesses under the definition in State Administrative Procedure Act ("SAPA") § 102(8).

There are nine certified CBOs currently in New York State. All of these CBOs are not-for-profit entities. DFS does not have information regarding their size but believes that most, if not all, are small businesses under SAPA § 102(8).

These amendments do not apply to local governments.

2. Compliance requirements: The amendments will require insurers and CBOs that are small businesses, to make filings with DFS and will require bail agents that are small businesses to issue receipts, provide written disclosures, and keep additional detailed records.

No local government will have to undertake any reporting, recordkeeping, or other affirmative acts to comply with the amendments because they do not apply to a local government.

3. Professional services: It is not anticipated that any small business affected by these amendments will need to retain professional services, such as lawyers or auditors, to comply with the amendments. No local government will need professional services to comply with these amendments because they do not apply to any local government.

4. Compliance costs: Insurers, CBOs, and bail agents that are small businesses will incur costs for the implementation and continued compliance with the amendments because they will need to make filings with DFS, issue receipts, expend printing and copying costs for written disclosures made available by DFS, and keep additional detailed records. These costs may vary based upon the size of the regulated entity and thus DFS cannot currently estimate the costs. The filing of policy and other forms for insurers or certain forms for CBOs should not be significant. Insurers already make rate filings and provide forms to their appointed bail agents. Many of the recordkeeping and other requirements for bail agents in the proposed amendments are identical to those requirements applicable to insurance producers.

No local government will incur any costs to comply with these amendments because they do not apply to any local government.

5. Economic and technological feasibility: No insurer, CBO, or bail agent that is a small business affected by these amendments should experience any economic or technological impact because of the amendments. These amendments not apply to any local government; therefore, no local government should experience any economic or technological impact as a result of the amendments.

6. Minimizing adverse impact: There will not be an adverse impact on a local government since these amendments to the regulations do not apply to a local government. There may be an adverse impact on insurers, CBOs, and bail agents that may be small businesses but any adverse impact should be minimal. DFS considered the approaches suggested in SAPA § 202-b(1) for minimizing adverse impacts but did not find them applicable and concluded that the consumer protections afforded by these amendments are critical.

7. Small business and local government participation: DFS, with the Department of State and the Division of Criminal Justice Services, held listening sessions in New York City, Buffalo, and Syracuse in June 2018 to gather input from communities, advocates, and licensees concerning practices and how to combat abuses in the bail industry.

After reviewing testimony and comments from the listening sessions it received, considering complaints, and surveying other states' bail laws and regulations, DFS drafted amendments that would correct deficiencies and clarify certain issues.

On September 5, 2018, DFS published the proposed amendments in the State Register and posted the proposed amendments on DFS' website. DFS received extensive comments from insurers and bail agents that are small businesses and made changes to the proposed amendments in response thereto.

Revised Rural Area Flexibility Analysis

These amendments do not impose any additional burden on persons located in rural areas, and will not have an adverse impact on rural areas.

The amendments would amend 11 NYCRR 28 (Insurance Regulation 42)to require, among other things: a bail agent to maintain a bail register; a bail agent to issue a receipt upon collecting and, if applicable, returning the premium and collateral from the indemnitor; an insurer, charitable bail organization ("CBO"), and bail agent to be liable for the return of all collateral received; a bail agent to prominently display in a headquarters location and each satellite office the license of the bail agent and any supervising person responsible for the place of business and a sign that states that a complaint may be filed with the Department of Financial Services; and a bail agent to provide certain disclosures to a potential indemnitor before the indemnitor signs any agreement. The amendments also codify the holding of Gevorkyan v. Judelson, 29 N.Y.3d 452 (2017), that the full premium paid for a bail bond must be returned if the principal is not released from custody.

The amendments further would include in the definition of "managing general agent" under 11 NYCRR 33 (Insurance Regulation 120)any person or business entity that supervises or manages, on behalf of an insurer, bail agents appointed by the insurer, other than a person who is a full-time employee or officer of the insurer and would amend 11 NYCRR 66 (Insurance Regulation 76) to require bail bond insurers and CBOs to file, for the Superintendent's approval, all contracts and other forms that are signed by or provided to the indemnitor or principal, including the bail bond form.

These amendments apply uniformly to regulated parties that do business in both rural and non-rural areas of New York State. The amendments will not impose any additional costs on rural areas.

Revised Job Impact Statement

The proposed amendments should have no negative impact on jobs or employment opportunities in this State. The amendments would amend 11

NYCRR 28 (Insurance Regulation 42) to require, among other things: a bail agent to maintain a bail register; a bail agent to issue a receipt upon collecting and, if applicable, returning the premium and collateral; an insurer, charitable bail organization ("CBO"), and bail agent to be liable for the return of all collateral received; a bail agent to prominently display in a headquarters location and each satellite office the license of the bail agent and any supervising person responsible for the place of business and a sign that states that a complaint may be filed with the Department of Financial Services; and a bail agent to provide certain disclosures to a potential indemnitor before the indemnitor signs any agreement. The amendments also codify Gevorkyan v. Judelson, 29 NY 3d 452 (2017), which held that the full premium paid for a bail bond must be returned if the principal is not released from custody.

The amendments further would include in the definition of "managing general agent" under 11 NYCRR 33 (Insurance Regulation 120) any person or business entity that supervises or manages, on behalf of an insurer, bail agents appointed by the insurer, other than a person who is a full-time employee or officer of the insurer and would amend 11 NYCRR 66 (Insurance Regulation 76) to require insurers and CBOs to file, for the Superintendent of Financial Services' approval, all contracts and other forms that are signed by or provided to the indemnitor or principal, including the bail bond form.

These amendments, intended to make the bail process more transparent and provide greater consumer protection, will not have a substantial adverse impact on jobs and employment opportunities in New York State.

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 ("DFS") received comments from an association of bail agents; an association of bail insurers; an insurer authorized to write fidelity and surety insurance; a New York City agency; a New York City elected official; a coalition of advocate organizations; a racial justice organization; and individual New York consumers (collectively, "interested parties").

Interested parties submitted a number of comments, including comments that: the New York City Administrative Code (the "code") requirements pertaining to bail agents do not entirely align with the rule and that DFS should either "carve-out" New York City bail agents from the rule, substitute compliance with the code for compliance with the rule, or amend the rule to match the code; DFS should allow bail agents to charge fees for services in addition to premium and offer payment plans; the rule should allow bail agents to make pre-arrest arrangements for bail and allow a single indemnitor to contract for bail for multiple defendants; the rule should require bail agents to report less frequently to courts and DFS changes in contact information; objected to reporting misconduct of bail agent employees and self-reporting criminal matters; DFS amend the rule to recognize that the duration of the bail bond ends at exoneration; the rule permit a bail agent to retain the bond premium if the principal remains incarcerated on another matter or warrant; sought clarification of the insurers' obligation to return premium; sought clarification as to who is responsible for the costs associated with a bail source hearing; sought clarification as to the time period for return of premium; expressed concerns with the build-up fund section; the rule should require bail agents to post a bond within 12 hours following the execution of a contract or the receipt of premium or collateral and require bail agents to return 25% of both premium and collateral for every 24-hour period following the execution of the contract or the receipt of any premium or collateral without release; DFS clarify that collateral be returned only if there has not been a forfeiture or remission of forfeiture; sought clarification as to when the insurer is liable for the return of collateral; requested clarification of what is meant reasonable collateral and how a bail agent and insurer are supposed to hold collateral jointly; the rule should permit bail agents to deduct from collateral to be returned any expenses, unpaid premium, losses or fees; opposed requiring that a bail agent assist the indemnitor with obtaining exoneration because courts upstate may be further away than they are in the New York metro area; questioned how collateral is valued and who pays for determining value; the rule require that an insurer be required to return collateral 60 days from the date of notice of the bail agent's failure to return collateral; the rule permit a bail agent to receive compensation for the cost of a remission motion; the rule should exempt a bail agent from maintaining a premium account if premiums were remitted to the insurer within 14 days; it is cumbersome for a bail agent to maintain records of premium and collateral; objected to filing bail and indemnity forms with DFS for approval; DFS should include more specificity regarding restrictions and terms in bail bond contracts; requested clarification about the scope of an insurer's obligation to supervise bail agents; the rule should require insurers to create a restitution fund for consumers; opposed requiring an insurer to disclose to DFS the basis for terminating a bail agent's appointment absent a violation of a specific regulation; the receipt the bail agent issues when the indemnitor pays the premium and collateral and the receipt the bail agent issues when the bail agent returns the premium and collateral should have matching numbers; objected to including information in a receipt or statement of rights that would be included in the bail or indemnity agreements; the rule should require a nonresident bail agent to make available records in New York State within ten business days upon request rather than ten calendar days; objected to bail agents having to provide notice to consumers that they can make a complaint to DFS; objected to timing bail agent record retention to return of collateral because the collateral may never be picked up by the indemnitor; asked if bail forms may be customized and if the bail agent may use electronic signatures; stated that the rule is inadequate and relies too heavily on adding disclosures, rather than limiting abusive terms and that it fails to shift power dynamics and ensure justice; opposed DFS oversight of surrenders; state that reporting of surrenders is insufficient and DFS should place explicit limits on surrenders, review and track all notified surrenders, and impose fines and restitution for bail agents improperly incarcerating principals; stated that the use of bail contracts and forms approved by DFS is welcome; DFS should make certain information public and searchable, including information about consumer complaints and enforcement actions against bail agents, bail bond forms and the contact information for insurers that issue bail bonds; requested annual reporting on the number of violations issued to bail agents, monetary penalties associated with those violations, number of licenses revoked and suspended, and number of consumer complaints and the disposition of those complaints; asked DFS to ensure that disclosure requirements do not limit a consumer's ability to bring a lawsuit against a bail agent or insurer; requested there be at least annual meetings between DFS, advocates, community members, and the bail industry to discuss the practical effects of the rule; requested that the rule restrict a bail agent's misuse of consumer information and explicitly restrict abusive solicitation practices and payments for referrals.

DFS amended the rule in response to comments it received. DFS has posted on its website a complete assessment of the public comments that it received regarding the rule.

Higher Education Services Corporation

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

NYS Child Welfare Worker Loan Forgiveness Incentive Program

I.D. No. ESC-31-19-00001-EP
Filing No. 649
Filing Date: 2019-07-12
Effective Date: 2019-07-12

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

Proposed Action: Addition of section 2201.22 to Title 8 NYCRR.

Statutory authority: Education Law, sections 653, 655 and 679-I

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

Specific reasons underlying the finding of necessity: This statement is being submitted pursuant to subdivision (6) of section 202 of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Notice of Emergency Adoption and Proposed Rule Making seeking to add a new section 2201.22 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This regulation implements a statutory student financial aid program providing for awards to be made to students who receive their undergraduate or graduate degree from a college or university located in New York State. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible applicants and award payments to eligible recipients. The statute provides for student loan relief to such college graduates who continue to live in New York State upon graduation, agree to work as child welfare workers at not-for-profit agencies in New York State licensed by the New York State Office of Children and Family Services, on a full-time basis, for five years, and apply for this program within two years after graduating from college. Eligible applicants will receive up to $10,000 per year for five years in loan forgiveness payments. Since individuals must apply within two years of college graduation, it is critical

that the terms of this program as provided in the regulation be effective immediately in order for HESC to process applications so that timely payments can be made on behalf of program recipients. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

Subject: NYS Child Welfare Worker Loan Forgiveness Incentive Program.

Purpose: To implement the NYS Child Welfare Worker Loan Forgiveness Incentive Program.

Text of emergency/proposed rule: New section 2201.22 is added to Title 8 of the New York Code, Rules and Regulations to read as follows:

Section 2201.22 New York State Child Welfare Worker Loan Forgiveness Incentive Program.

(a) Definitions. For purposes of this section and Education Law, section 679-i, the following definitions shall apply:

(1) "Award" shall mean a New York State Child Welfare Worker Loan Forgiveness Incentive Program award pursuant to section 679-i of the New York State Education Law.

(2) "Child welfare worker" shall mean an individual who provides direct-care services to children and families at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services.

(3) "Corporation" shall mean the New York State Higher Education Services Corporation.

(4) "Direct care services" shall mean the provision of programs and services to children and families that requires some degree of interaction between the child/family and the child welfare worker. Such direct care services include, but are not limited to, assessments, home visits, or direct implementation of care plans.

(5) "Economic need" shall mean applicants whose household adjusted gross income is at or below 250 percent of the federal poverty level for the most recent calendar year available.

(6) "Full time" shall mean employment as a child welfare worker providing direct-care services to children and families at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services for an average of 35 hours per week, or more, continuously over a calendar year, except for an allowable interruption of employment.

(7) "Interruption of employment" shall mean an allowable temporary leave for a definitive length of time due to circumstances approved by the corporation, including, but not limited to, parental leave, medical leave, death of a family member, or military duty that exceeds forty-two calendar days, excluding legal holidays, regardless of whether such absence or leave is paid or unpaid.

(8) "Household adjusted gross income" shall mean the federal Adjusted Gross Income (AGI) for individuals or married couples filing jointly, or the aggregate AGI of married couples filing separately, reduced by a cost of living allowance, which shall be equal to the applicant's eligible New York State standard deductions plus their eligible New York State dependent exemptions for personal income tax purposes.

(9) "Outstanding student loan debt" shall mean the total cumulative student loan balance required to be paid by the applicant at the time of selection for an award under this program, including the outstanding principal and any accrued interest covering the cost of attendance to obtain an undergraduate or graduate degree from a college or university located in New York State. Such outstanding student loan debt may be reduced as provided in subparagraph (iii) of paragraph (4) of subdivision (c) of this section.

(10) "Program" shall mean the New York State Child Welfare Worker Loan Forgiveness Incentive Program.

(b) Eligibility. Applicants and recipients must:

(1) satisfy the requirements provided in section 679-i(2) of the Education Law;

(2) be in a non-default status on a student loan made under any statutory New York State or federal education loan program or repayment of any award made pursuant to Article 14 of the Education Law; and

(3) be in compliance with the terms of any service condition imposed by an award made pursuant to article 14 of the Education Law.

(c) Administration.

(1) An applicant for an award shall:

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

(ii) electronically transmit an application for program eligibility to the corporation on or before the date prescribed by the corporation.

(2) A recipient of an award shall:

(i) execute a service contract prescribed by the corporation;

(ii) confirm each year, for five years, employment as a child welfare worker providing direct-care services to children and families at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services by submitting a certification from his or her employer attesting to the recipient's employment setting, job title, job duties, employment period, full time employment status, and any other information necessary for the corporation to determine eligibility. Said submissions shall be on forms or in a manner prescribed by the corporation;

(iii) apply for payment annually on forms prescribed by the corporation; and

(iv) receive no more than ten thousand dollars per year for not more than five years in duration, and not to exceed the total amount of such recipient's outstanding student loan debt as defined in paragraph (9) of subdivision (a) of this section.

(3) If a recipient has been employed as a child welfare worker at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services for less than one year upon his or her initial selection for an award, the final award payment shall be prorated based on the ratio of months in the year that the recipient worked in such capacity when initially selected and disbursed in two proportionate installments. The first disbursement shall be made as part of the regular annual payment and the second disbursement shall be made at the time such recipient completes his or her full year of employment as a child welfare worker at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services.

(4) The outstanding student loan debt shall:

(i) include New York State student loans, federal government student loans, and private student loans for the purpose of financing undergraduate or graduate studies made by commercial entities subject to governmental examination.

(ii) exclude federal parent PLUS loans; loans cancelled under any program; private loans given by family or personal acquaintances; student loan debt paid by credit card; loans paid in full, or in part, before, on, or after the first successful application for program eligibility under this program; loans for which documentation is not available; loans without a promissory note; or any other loan debt that cannot be verified by the corporation.

(iii) be reduced by any reductions to student loan debt that an applicant has received or shall receive including voluntary payments made which reduces the balance owed.

(d) Award selection.

(1) For the first year of this program's operation, awards shall be made in the following order of priority:

(i) applicants who are completing the second, third, fourth or fifth year of full-time employment as a child welfare worker at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services;

(ii) applicants who can demonstrate economic need.

(2) For the second year of this program's operation and thereafter, awards shall be made in the following order of priority:

(i) applicants who received payment of an award in a prior year and remain eligible;

(ii) applicants who are completing the second, third, fourth or fifth year of full-time employment as a child welfare worker at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services;

(iii) applicants who can demonstrate economic need but did not receive an award during the first year of this program's operation.

(3) All awards are contingent upon annual appropriations.

(e) Revocation. Upon prior notice to a recipient, an award may be revoked by the corporation if the corporation determines that the recipient has failed to comply with the requirements to maintain their award, as evidenced by:

(1) a failure to apply for payment or reimbursement;

(2) a failure to respond to requests to contact or communication with the corporation;

(3) a failure to respond to a request for information; or

(4) any other information known to the corporation reasonably evidencing an indication of failure to comply with program requirements by a program participant.

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 October 9, 2019.

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

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:

The New York State Higher Education Services Corporation's ("HESC") statutory authority to promulgate regulations and administer the New York State Child Welfare Worker Loan Forgiveness Incentive Program ("Program") is codified within Article 14 of the Education Law. In particular, Section 3 of Part MMM of Chapter 59 of the Laws of 2017 created the Program by adding a new section 679-i to the Education Law. Pursuant to subdivision 5 of section 679-i of the Education Law, HESC is required to promulgate rules and regulations for the administration of this Program.

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

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

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

Legislative objectives:

This Program was created to enhance the ability of child welfare workers in New York State to meet the needs of the children and youth in care as well as provide them with the skills needed to operate in today's changing health landscape by alleviating the student loan debt burden for recent college graduates pursuing careers in child welfare.

Needs and benefits:

New York State law provides various loan forgiveness programs to encourage individuals to pursue careers in a needed area or profession. Providing student loan relief to college graduates pursuing careers in child welfare serves to help address the growing demand in this sector for a skilled workforce.

The landscape of the child welfare system in New York State has changed dramatically. According to the Council of Family and Child Caring Agencies (COFCCA), the closure of state-operated mental health and juvenile justice facilities and recent focus on community-based and prevention services have helped to preserve thousands of families and has kept hundreds of children and youth out of the State's care. However, the result has been that children and youth who are residentially placed or who require services from a not-for-profit child welfare agency have higher and more complex needs. Additionally, these children and their families living in poverty desperately need access to programs and services. With child welfare agencies now providing services to an extremely vulnerable population of children and families, there is a greater need for a higher skilled workforce than in the past.

COFCCA reports that jobs in the child welfare sector are among the lowest paying jobs across the State. Due to the low wages, this sector has a difficult time recruiting and retaining employees. The current annual turnover rate for this sector is approximately 33 percent. While there are career track opportunities and potential for advancement, it is extremely difficult for entry level staff and/or direct care workers to enhance their education while working. Child welfare agencies need qualified individuals who have the education, training, and experience to provide the care needed.

Costs:

a. There are no application fees, processing fees, or other costs to the applicants of this Program.

b. The estimated cost to the agency for the implementation of, or continuing compliance with this rule is $489,975.

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

d. Costs to the State shall not exceed available New York State budget appropriations for the Program. The 2017-18 State Budget contained an appropriation for this Program in the sum of $50,000.

Local government mandates:

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

Paperwork:

This proposal will require applicants to file an electronic web application to determine eligibility and an electronic application for each year they wish to receive an award payment for up to five years.

Duplication:

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

Alternatives:

Given the statutory language as set forth in section 679-i(5) of the Education Law, a "no action" alternative was not an option.

Federal standards:

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

Compliance schedule:

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

Regulatory Flexibility Analysis

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Notice of Emergency Adoption and Proposed Rule Making seeking to add a new section 2201.22 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have a negative impact on small businesses or local governments. HESC finds that this rule will not impose any compliance requirement or adverse economic impact on small businesses or local governments. Rather, it has potential positive impacts by providing loan forgiveness benefits to recent New York State college graduates who agree to work as child welfare workers at not-for-profit agencies in New York State licensed by the New York State Office of Children and Family Services, on a full-time basis, for five years. Providing such financial assistance will encourage individuals to pursue careers in child welfare throughout New York State, which will provide an economic benefit to the State's small businesses and local governments as well.

Rural Area Flexibility Analysis

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Notice of Emergency Adoption and Proposed Rule Making seeking to add new section 2201.22 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

HESC finds that this rule will not impose any reporting, record keeping or other compliance requirements on public or private entities in rural areas. Rather, it has potential positive impacts by providing loan forgiveness benefits to recent New York State college graduates who agree to work as child welfare workers at not-for-profit agencies in New York State licensed by the New York State Office of Children and Family Services, on a full-time basis, for five years. Providing such financial assistance will encourage individuals to pursue careers in child welfare benefitting rural communities throughout New York State.

Job Impact Statement

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Notice of Emergency Adoption and Proposed Rule Making seeking to add a new section 2201.22 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have a negative impact on jobs or employment opportunities. Rather, it has potential positive impacts by providing loan forgiveness benefits to recent New York State college graduates who agree to work as child welfare workers at not-for-profit agencies in New York State licensed by the New York State Office of Children and Family Services, on a full-time basis, for five years. Providing these benefits will encourage individuals to pursue careers in child welfare throughout New York State.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

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

I.D. No. ESC-31-19-00002-EP

Filing No. 650

Filing Date: 2019-07-12

Effective Date: 2019-07-12

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

Proposed Action: Addition of section 2201.13 to Title 8 NYCRR.

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

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

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

This regulation implements a statutory student financial aid program providing for awards to be made to students attending New York State public institutions of higher education beginning with the fall 2014 term and students attending private degree-granting institutions of higher education located in New York State beginning with the fall 2018 term. The statute provides for tuition benefits to college-going students who, beginning in August, pursue an undergraduate program of study in science, technology, engineering, or mathematics at a New York State institution of higher education. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible scholarship applicants and award payments to eligible recipients. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

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

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

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

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

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

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

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

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

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

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

(6) "Private degree granting institution of higher education" shall mean any institution of higher education recognized and approved by the Regents of the State University of New York which provides a course of study leading to the granting of a post-secondary degree or diploma except public institutions of higher education as defined in this subdivision.

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

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

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

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

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

(b) Eligibility. In addition to the requirements of Education Law, section 669-e, recipients must satisfy the general eligibility requirements provided in Education Law, section 661. An applicant must apply and be selected for this program for the fall term immediately following his or her high school graduation.

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

(1) official documentation or other certification showing that the applicant is in the top 10 percent of his or her graduating high school class; and

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

(d) Recipient selection. If there are more applicants attending private degree granting institutions of higher education than available funds, the following provisions shall apply:

(1) First priority shall be given to eligible applicants who have received payment of an award pursuant to this section in a prior year, including payment for attendance at a public institution of higher education, and are currently in attendance at a private degree granting institution of higher education. If there are more applicants than available funds, recipients shall be chosen by lottery.

(2) Second priority shall be given to eligible applicants who are matriculated in an approved undergraduate program in science, technology, engineering or mathematics for the first time. If there are more applicants than available funds, recipients shall be chosen by lottery.

(e) Administration.

(1) Applicants for an award shall:

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

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

(2) Recipients of an award shall:

(i) execute a service contract prescribed by the corporation;

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

(iii) be enrolled in an approved undergraduate degree program in science, technology, engineering, or mathematics;

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

(v) confirm employment in an approved occupation each year on forms or in a manner prescribed by the corporation.

(f) Amounts.

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

(2) Disbursements shall be made each term to institutions, on behalf

of recipients, within a reasonable time upon successful completion of the term subject to the verification and certification by the institution of the recipient's GPA and other eligibility requirements.

(3) Awards shall be applied to any remaining tuition after the application of all other educational grants and scholarships limited to tuition, as authorized by section 669-e of the education law.

(g) Failure to comply.

(1) All award monies received shall be converted to a 10-year student loan plus interest for recipients who fail to meet the statutory, regulatory, contractual, administrative or other requirement of this program.

(2) The interest rate for the life of the loan shall be fixed and equal to that published annually by the U.S. Department of Education for undergraduate unsubsidized Stafford loans at the time the recipient signed the service contract with the corporation.

(3) Interest shall begin to accrue on the day each award payment is disbursed to the institution.

(4) Interest shall be capitalized on the day the award recipient violates any term of the service contract or the date the corporation deems the recipient was no longer able or willing to perform the terms of the service contract. Interest on this amount shall be calculated using simple interest.

(5) Where a recipient has demonstrated extreme hardship as a result of a total and permanent disability, labor market conditions, or other such circumstances, or is working in an approved occupation, the corporation may, in its discretion, postpone converting the award to a student loan, temporarily suspend repayment of the amount owed, prorate the amount owed commensurate with service completed, discharge the amount owed, or such other appropriate action. Where a recipient has demonstrated in-school status, the corporation shall temporarily suspend repayment of the amount owed for the period of in-school status.

This notice is intended: to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire October 9, 2019.

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

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:

The New York State Higher Education Services Corporation's ("HESC") statutory authority to promulgate regulations and administer the New York State Science, Technology, Engineering and Mathematics Incentive Program ("Program") is codified within Article 14 of the Education Law. Part G of Chapter 56 of the Laws of 2014 created the Program by adding a new section 669-e to the Education Law, which was subsequently amended by Part BB of Chapter 56 of the Laws of 2018. Subdivision 5 of section 669-e of the Education Law authorizes HESC to promulgate emergency regulations to administer this Program.

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

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

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

Legislative objectives:

The Education Law was amended to add a new section 669-e to create the "New York State Science, Technology, Engineering and Mathematics Incentive Program" (Program). This Program is aimed at increasing the number of individuals working in the fields of science, technology, engineering and mathematics (STEM) in New York State to meet the increasingly critical need for those skills in the State's economy.

Needs and benefits:

According to a February 2012 report by President Obama's Council of Advisors on Science and Technology, there is a need to add to the American workforce over the next decade approximately one million more science, technology, engineering and mathematics (STEM) professionals than the United States will produce at current rates for the country to stay competitive. To meet this goal, the United States will need to increase the number of students who receive undergraduate STEM degrees by about 34% annually over current rates. The report also stated that fewer than 40% of students who enter college intending to major in a STEM field complete a STEM degree. Further, a recent Wall Street Journal article reported that New York state suffers from a shortage of graduates in STEM fields to fill the influx of high-tech jobs that occurred five years ago. At a plant in Malta, about half the jobs were filled by people brought in from outside New York and 11 percent were foreigners. According to the article, Bayer Corp. is due to release a report showing that half of the recruiters from large U.S. companies surveyed couldn't find enough job candidates with four-year STEM degrees in a timely manner; some said that had led to more recruitment of foreigners. About two-thirds of the recruiters surveyed said that their companies were creating more STEM positions than other types of jobs. There are also many jobs requiring a two-year degree. To deal with this shortage, companies are using more internships, grants and scholarships.

The Program is aimed at increasing the number New York graduates with two and four year degrees in STEM who will be working in STEM fields across New York state. Eligible recipients may receive annual awards for not more than four academic years of undergraduate full-time study (or five years if enrolled in a five-year program) while matriculated in an approved program leading to a career in STEM.

Students receiving a New York State Science, Technology, Engineering and Mathematics Incentive Program award must sign a service agreement and agree to work in New York state for five years in a STEM field and reside in the State during those five years. Recipients who do not fulfill their service obligation will have the value of their awards converted to a student loan and be responsible for interest.

Costs:

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

b. The maximum cost of the program to the State is $8 million in the first year based upon budget estimates. At private degree granting institutions of higher education $1 million was appropriated for the 2018-19 academic year in the State Budget.

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

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

Local government mandates:

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

Paperwork:

This proposal will require applicants to file an electronic application for each year they wish to receive an award up to and including five years of eligibility. Recipients are required to sign a contract for services in exchange for an award. Recipients must submit annual status reports until a final disposition is reached in accordance with the written contract.

Duplication:

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

Alternatives:

The proposed regulation is the result of HESC's outreach efforts to financial aid professionals regarding this Program. Several alternatives were considered in the drafting of this regulation. For example, several alternatives were considered in defining terms/phrases used in the regulation as well as the academic progress requirement. Given the statutory language as set forth in section 669-e of the Education Law, a "no action" alternative was not an option.

Federal standards:

This proposal does not exceed any minimum standards of the Federal Government, and efforts were made to align it with similar federal subject areas as evidenced by the adoption of the federal unsubsidized Stafford loan rate if the award is converted into a student loan.

Compliance schedule:

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

Regulatory Flexibility Analysis

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's ("HESC") Notice of Emergency Adoption and Proposed Rule Making, seeking to add a new

section 2201.13 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

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

Rural Area Flexibility Analysis

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Notice of Emergency Adoption and Proposed Rule Making, seeking to add a new section 2201.13 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

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

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

Job Impact Statement

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Notice of Emergency Adoption and Proposed Rule Making seeking to add a new section 2201.13 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

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

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

NYS Child Welfare Worker Incentive Scholarship Program

I.D. No. ESC-31-19-00003-EP
Filing No. 651
Filing Date: 2019-07-12
Effective Date: 2019-07-12

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

Proposed Action: Addition of section 2201.23 to Title 8 NYCRR.

Statutory authority: Education Law, sections 653, 655 and 679-h

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

Specific reasons underlying the finding of necessity: This statement is being submitted pursuant to subdivision (6) of section 202 of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Notice of Emergency Adoption and Proposed Rule Making seeking to add a new section 2201.23 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

Emergency adoption is necessary to avoid an adverse impact on the processing of scholarship awards to eligible applicants and award payments to eligible recipients. This regulation implements a statutory student financial aid program that provides cost of attendance awards to be made to students pursuing their undergraduate or graduate degree from a college or university located in New York State beginning with the 2017-18 academic year. Decisions on applications for this program are typically made at the beginning of the academic year, which generally starts in August. Therefore, it is critical that the terms of this program as provided in the regulation be effective immediately in order for HESC to process applications so that recipients can be selected, and payments can be made on behalf of program recipients expeditiously. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

Subject: NYS Child Welfare Worker Incentive Scholarship Program.

Purpose: To implement the NYS Child Welfare Worker Incentive Scholarship Program.

Text of emergency/proposed rule: New section 2201.23 is added to Title 8 of the New York Code, Rules and Regulations to read as follows:

Section 2201.23 New York State Child Welfare Worker Incentive Scholarship Program.

(a) Definitions. For purposes of this section and Education Law, section 679-h, the following definitions shall apply:

(1) "Approved program of study" shall mean those child welfare-related undergraduate and graduate degree programs designated by the corporation on an annual basis and published on the corporation's website conducted by an institution situated in the State, which has been approved and operating in this State for at least one year, and has been approved for participation in federal student financial aid programs authorized by Title IV of the Higher Education Act of 1965, as amended.

(2) "Award" shall mean a New York State Child Welfare Worker Incentive Scholarship Program award pursuant to section 679-h of the New York State Education Law.

(3) "Child welfare worker" shall mean an individual who provides direct-care services to children and families at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services.

(4) "Corporation" shall mean the New York State Higher Education Services Corporation.

(5) "Direct care services" shall mean the provision of programs and services to children and families that require some degree of interaction between the child/family and the child welfare worker. Such direct care services include, but are not limited to, assessments, home visits, or direct implementation care plans.

(6) "Full time basis" as required by Education Law, sections 679-h(2)(c) and 679-h(3)(a) shall mean employment as a child welfare worker, as defined in this section, for an average of 35 hours per week, or more, continuously over a calendar year, except for an allowable interruption of employment upon completion of an award recipient's degree program.

(7) "Interruption of employment" shall mean an allowable temporary leave for a definitive length of time due to circumstances approved by the corporation, including, but not limited to, parental leave, medical leave, death of a family member, or military duty that exceeds forty-two calendar days, excluding legal holidays, regardless of whether such absence or leave is paid or unpaid.

(8) "Interruption of study" shall mean an allowable temporary leave for a definitive length of time due to circumstances approved by the corporation, including, but not limited to parental leave, medical leave, death of a family member, or military duty.

(9) "Non-direct care services" shall mean the provision of administrative and operational services in the child welfare sector.

(10) "Program" shall mean the New York State Child Welfare Worker Incentive Scholarship Program.

(11) "Qualified experience" as required by Education Law, section 679-h(2)(a) shall mean the provision of direct-care services or non-direct care services as defined in this section. Such qualified experience may be obtained through employment, training, or education.

(b) Eligibility. Applicants and recipients must:

(1) satisfy the requirements provided in section 679-h(2) of the Education Law;

(2) satisfy the requirements provided in section 661(4)(f) of the Education Law;

(3) be matriculated in an undergraduate or graduate degree program, on a full-time or part-time basis, at an institution of higher education located within New York State in an approved program of study. A recipient is not required to be employed at a voluntary not-for-profit child welfare agency in New York State licensed by the New York State Office of Children and Family Services for the duration of his or her enrollment in an approved program of study.

(4) maintain good academic standing as set forth in section 665(6) of the Education Law, except that recipients enrolled in a graduate program

of study must maintain a cumulative grade point average of 2.0 or higher as of the date of certification by the institution.

(5) make satisfactory progress towards completing his or her degree program within a reasonable timeframe, as determined by the corporation.

(6) be in a non-default status on a student loan made under any statutory New York State or federal education loan program or repayment of any award made pursuant to article 14 of the Education Law; and

(7) be in compliance with the terms of any service condition imposed by an award made pursuant to article 14 of the Education Law.

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

(1) First priority shall be given to applicants who have received payment of an award for the academic year immediately preceding the academic year for which payment is sought including those who were subsequently granted an interruption in study by the corporation for the academic year immediately preceding the academic year for which payment is sought. If there are more applicants than available funds, recipients shall be chosen by lottery.

(2) Second priority shall be given to new applicants, within the remaining funds available for the program, if any. If there are more applicants than available funds, recipients shall be chosen by lottery.

(d) Administration.

(1) Applicants for an award shall apply for program eligibility at such times, on forms and in a manner prescribed by the corporation. The corporation may require applicants to provide additional documentation evidencing eligibility.

(2) Recipients of an award shall:

(i) execute a service contract prescribed by the corporation;

(ii) request payment at such times, on forms and in a manner specified by the corporation;

(iii) receive such awards for no more than: (A) two academic years for an associate's degree; (B) four academic years for a bachelor's degree or five academic years if the bachelor's degree program normally requires five years; or (C) two academic years for a graduate degree. Notwithstanding, such duration may be extended for an allow interruption of study;

(iv) facilitate the submission of information from their employer attesting to the recipient's job title, job duties, employment period, full time employment status, and any other information necessary for the corporation to determine compliance with the program's employment requirements on forms and in a manner prescribed by the corporation; and

(v) provide any other information necessary for the corporation to determine compliance with the program's requirements.

(e) Amounts.

(1) The amount of the award shall be determined in accordance with section 679-h(4) of the Education Law.

(2) Disbursements shall be made each term to institutions, on behalf of recipients, within a reasonable time upon certification by the institution of the recipient's eligibility for payment.

(3) Awards shall be reduced by the value of other educational grants and scholarships, as authorized by section 679-h(4) of the Education Law.

(f) Failure to comply.

(1) All award monies received shall be converted to a 10-year student loan plus interest for recipients who fail to meet the statutory, regulatory, contractual, administrative or other requirements of this program.

(2) The interest rate for the life of the loan shall be fixed and equal to that published annually by the U.S. Department of Education for undergraduate unsubsidized Stafford loans at the time the recipient signed the service contract with the corporation.

(3) Interest shall begin to accrue on the day each award payment was disbursed to the institution.

(4) Interest shall be capitalized on the day the award recipient violates any term of the service contract or the date the corporation deems the recipient was no longer able or willing to perform the terms of the service contract. Interest on this capitalized amount shall continue to accrue and be calculated using simple interest until the amount is paid in full.

(5) Where a recipient has demonstrated extreme hardship as a result of a disability, labor market conditions, or other such circumstances, the corporation may, in its discretion, postpone converting the award to a student loan, temporarily suspend repayment of the amount owed, prorate the amount owed commensurate with service completed, discharge the amount owed, or take such other appropriate action.

This notice is intended: to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire October 9, 2019.

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

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:

The New York State Higher Education Services Corporation's ("HESC") statutory authority to promulgate regulations and administer the New York State Child Welfare Worker Incentive Scholarship Program ("Program") is codified within Article 14 of the Education Law. In particular, Section 2 of Part MMM of Chapter 59 of the Laws of 2017 created the Program by adding a new section 679-h to the Education Law. Pursuant to subdivision 9 of section 679-h of the Education Law, HESC is required to promulgate rules and regulations for the administration of this Program.

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

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

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

Legislative objectives:

This Program was created to enhance opportunities for committed child welfare workers in New York State by providing cost of attendance scholarship awards to support continued professional and skills development.

Needs and benefits:

New York State law provides various scholarship programs to attract and retain individuals in a needed area or profession. Providing the opportunity for affordable higher education through cost of attendance scholarship awards to current child welfare workers serves to help address the need to retain and promote those committed to serving communities in the not-for-profit sector.

According to the Council of Family and Child Caring Agencies (COFCCA), the landscape of the child welfare system in New York State has changed dramatically. With the State's focus on community based prevention services and efforts to preserve families, child welfare agencies are now providing services to the more vulnerable populations of children and families. As a result, there is a greater need for skilled child care workers.

COFCCA reports that jobs in the child welfare sector are among the lowest paying jobs across the State. As a result, this sector has a difficult time recruiting and retaining employees. The current annual turnover rate for this sector is approximately 33 percent. While there are career track opportunities and potential for advancement, the high cost of college makes it difficult for workers to advance their education. Child welfare agencies have a growing need for qualified individuals who have the education, training, and experience to fill the needs of this sector.

Costs:

a. There are no application fees, processing fees, or other costs to the applicants of this Program.

b. The estimated cost to the agency for the implementation of, or continuing compliance with this rule is $436,875.

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

d. Costs to the State shall not exceed available New York State budget appropriations for the Program. The 2017-18 State Budget contained an appropriation for this Program in the sum of $50,000.

Local government mandates:

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

Paperwork:

This proposal will require applicants to file an electronic web application, together with supporting documentation, for eligibility. Each year

recipients will file an electronic request for payment together with supporting documentation for up to five years of eligibility. Recipients are required to sign a contract for services in exchange for an award. Recipients must submit annual status reports until a final disposition is reached in accordance with the written contract.

Duplication:

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

Alternatives:

Given the statutory language as set forth in section 679-h(9) of the Education Law, a "no action" alternative was not an option.

Federal standards:

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

Compliance schedule:

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

Regulatory Flexibility Analysis

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Notice of Emergency Adoption and Proposed Rule Making seeking to add a new section 2201.23 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have a negative impact on small businesses or local governments. HESC finds that this rule will not impose any compliance requirement or adverse economic impact on small businesses or local governments. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides cost of attendance awards to current child welfare workers pursuing undergraduate or graduate degrees at New York State colleges that will enhance their ability to work in voluntary not-for-profit child welfare agencies in New York State. Upon completion of their degree program, recipients are required to work as child welfare workers in voluntary not-for-profit child welfare agencies in New York State for five years and maintain residency in the State for such period of employment. Providing these benefits will encourage individuals to continue employment in the child welfare sector throughout New York State, which will provide an economic benefit to the State's small businesses and local governments as well.

Rural Area Flexibility Analysis

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Notice of Emergency Adoption and Proposed Rule Making seeking to add new section 2201.23 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

HESC finds that this rule will not impose any reporting, record keeping or other compliance requirements on public or private entities in rural areas. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides cost of attendance awards to current child welfare workers pursuing undergraduate or graduate degrees at New York State colleges that will enhance their ability to work in voluntary not-for-profit child welfare agencies in New York State. Upon completion of their degree program, recipients are required to work as child welfare workers in voluntary not-for-profit child welfare agencies in New York State for five years and maintain residency in the State for such period of employment. Providing these benefits will encourage individuals to continue employment in the child welfare sector benefitting rural communities throughout New York State.

Job Impact Statement

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Notice of Emergency Adoption and Proposed Rule Making seeking to add new section 2201.23 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have a negative impact on jobs or employment opportunities. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides cost of attendance awards to current child welfare workers pursuing undergraduate or graduate degrees at New York State colleges that will enhance their ability to work in voluntary not-for-profit child welfare agencies in New York State. Upon completion of their degree program, recipients are required to work as child welfare workers in voluntary not-for-profit child welfare agencies in New York State for five years and maintain residency in the State for such period of employment. Providing these benefits will encourage individuals to continue employment in the child welfare sector throughout New York State.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Excelsior Scholarship

I.D. No. ESC-31-19-00004-EP
Filing No. 652
Filing Date: 2019-07-12
Effective Date: 2019-07-12

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

Proposed Action: Addition of section 2201.18 to Title 8 NYCRR.

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

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

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

This regulation implements a statutory student financial aid program providing for awards to be made to students beginning with the fall 2017 term. The statute provides for full tuition benefits to college-going students pursuing their undergraduate studies at a New York State public institution of higher education. Decisions on applications for this Program are made prior to the beginning of the term, generally in August. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible scholarship applicants and award payments to eligible recipients. Therefore, it is critical that the terms of the Program as provided in the regulation be effective immediately in order for HESC to process scholarship applications in a timely manner. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the Program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

Subject: Excelsior Scholarship.

Purpose: To implement the Excelsior Scholarship.

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

Section 2201.18 Excelsior Scholarship.

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

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

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

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

(4) "Interruption in undergraduate study" shall mean either: (i) a temporary period of leave or (ii) enrollment in or completion of less than the required number of credits for a definitive length of time both due to circumstances as determined by the corporation, including, but not limited to, death of a family member, medical leave, military service, service in the Peace Corps or parental leave.

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

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

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

(8) "Student's start date" shall mean the date the student first enrolled as a matriculated student.

(9) "Successful completion" shall mean a student has earned at least 30 combined credits in each consecutive year following the student's start date, or its equivalent, applicable to his or her program or programs of

study except as provided in subdivision (b) of this section and Education Law, section 669-h(1)(c).

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

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

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

(3) For purposes of Education Law, section 669-h(1)(b), an applicant must have completed at least 30 combined credits each year following his or her start date, or its equivalent, applicable to his or her program(s) of study which were accepted by his or her current institution at the time of application for this award, except for any permissible interruption of study as determined by the corporation.

(4) For students who are disabled as defined by the Americans with Disabilities Act of 1990, 42 USC 12101, the full-time attendance requirement is eliminated, subject to the parameters of paragraph 4 of subdivision e of this section. Rather such students are required to have completed the number of credits in which they were enrolled (attempted) each term, except for any allowable interruption in undergraduate study as determined by the corporation.

(c) Income. An applicant or recipient whose current income or prior year adjusted gross income qualifies for an award due to the disability, divorce or separation of a parent, spouse or the applicant/recipient or the death of a parent or spouse as authorized in Education Law, section 669-h(1), shall provide documentation required by the corporation to determine his or her eligibility for an award or award payment. The corporation may consider such documentary evidence it deems sufficient to determine disability, divorce, separation or death.

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

(1) Applicants for an award shall:

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

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

(2) Recipients of an award shall:

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

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

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

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

(e) Amounts.

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

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

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

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

(f) Contractual obligation.

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

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

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

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

This notice is intended: to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire October 9, 2019.

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

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:

The New York State Higher Education Services Corporation's (HESC) statutory authority to promulgate regulations and administer the Excelsior Scholarship (Program) is codified within Article 14 of the Education Law. Part HHH of Chapter 59 of the Laws of 2017 created the Program by adding a new section 669-h to the Education Law, which was amended by Part T of Chapter 56 of the Laws of 2018. Subdivision 6 of section 669-h of the Education Law authorizes HESC to promulgate emergency regulations to administer this Program.

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

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

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

Legislative objectives:

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

Needs and benefits:

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

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

The Program was amended to authorize HESC to use an applicant's current income to establish eligibility if the applicant, a parent or a spouse becomes disabled, divorced or separated or in the event of the death of a parent or spouse.

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

Costs:

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

b. The maximum cost of the program to the State is $87 million in the first year and $118.418 million in the second year, based upon budget estimates.

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

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

Local government mandates:

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

Paperwork:

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

Duplication:

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

Alternatives:

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

Federal standards:

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

Compliance schedule:

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

Regulatory Flexibility Analysis

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

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

Rural Area Flexibility Analysis

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

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

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

Job Impact Statement

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Notice of Emergency Adoption and Proposed Rule Making seeking to add a new section 2201.18 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

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

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Enhanced Tuition Awards Program

I.D. No. ESC-31-19-00005-EP
Filing No. 653
Filing Date: 2019-07-12
Effective Date: 2019-07-12

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

Proposed Action: Addition of section 2201.19 to Title 8 NYCRR.

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

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

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

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

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

Subject: Enhanced Tuition Awards program.

Purpose: To implement the Enhanced Tuition Awards program.

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

Section 2201.19 Enhanced Tuition Awards.

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

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

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

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

(4) "Interruption in undergraduate study" shall mean either: (i) a temporary period of leave or (ii) enrollment in or completion of less than the required number of credits for a definitive length of time both due to circumstances as determined by the corporation, including, but not limited to, death of a family member, medical leave, military service, service in the Peace Corps or parental leave.

(5) "Private degree granting institutions of higher education" shall mean any institution of higher education recognized and approved by the Regents of the State University of New York which provides a course of study leading to the granting of a post-secondary degree or diploma except public institutions as defined in this subdivision.

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

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

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

(9) Student's start date shall mean the date the student first enrolled as a matriculated student.

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

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

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

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

(3) For purposes of Education Law, section 667-d(1)(d)(i), an applicant must have completed at least 30 combined credits each year following his or her start date, or its equivalent, applicable to his or her program(s) of study which were accepted by his or her current institution at the time of application for this award, except for any permissible interruption of study as determined by the corporation.

(4) For students who are disabled as defined by the Americans with Disabilities Act of 1990, 42 USC 12101, the full-time attendance requirement is eliminated, subject to the parameters of paragraph 3 of subdivision f of this section. Rather such students are required to have completed the number of credits in which they were enrolled (attempted) each term, except for any allowable interruption in undergraduate study as determined by the corporation.

(c) Income. An applicant or recipient whose current income or prior year adjusted gross income qualifies for an award due to the disability, divorce or separation of a parent, spouse or applicant/recipient or the death of a parent or spouse as authorized in Education Law, section 667-d(3), shall provide documentation required by the corporation to determine his or her eligibility for an award or award payment. The corporation may consider such documentary evidence it deems sufficient to determine disability, divorce, separation or death.

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

(1) In the program's first year:

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

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

(2) After the program's first year:

(i) First priority shall be given to eligible applicants who have received payment of an award pursuant to this section in a prior year and are currently in attendance at a private degree granting institution of higher education located in New York State. If there are more applicants than available funds, recipients shall be chosen by lottery.

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

(iii) Third priority shall be given to eligible applicants who are matriculated in an approved program leading to an undergraduate degree at a private degree granting institution of higher education located within New York State for the first time. If there are more applicants than available funds, recipients shall be chosen by lottery.

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

(1) Applicants for an award shall:

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

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

(2) Recipients of an award shall:

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

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

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

(3) Institutions.

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

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

(f) Amounts.

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

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

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

(g) Contractual obligation.

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

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

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

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

This notice is intended: to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire October 9, 2019.

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

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:

The New York State Higher Education Services Corporation's (HESC) statutory authority to promulgate regulations and administer Enhanced Tuition Awards (Program) is codified within Article 14 of the Education Law. Part III of Chapter 59 of the Laws of 2017 created the Program by adding a new section 667-d to the Education Law, which was amended by Part W of Chapter 56 of the Laws of 2018. Subdivision 9 of section 667-d of the Education Law authorizes HESC to promulgate emergency regulations to administer this Program.

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

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

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

Legislative objectives:

The Education Law was amended to add a new section 667-d to create the Enhanced Tuition Awards program (Program). This Program is aimed at reducing tuition costs and accelerating completion rates for students who attend a private college in New York State.

Needs and benefits:

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

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

The Program was amended to: (1) authorize HESC to use an applicant's current income to establish eligibility if the applicant, a parent or spouse becomes disabled, divorced or separated or in the event of the death of a parent or spouse; (2) include students attending for-profit degree granting colleges; (3) exempt colleges from providing the matching award if certain criteria is met; and (4) authorize colleges to include the matching award as part of the recipient's institutional aid package.

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

Costs:

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

b. Private colleges that opt to participate in the Program are required to credit each recipient's remaining tuition expenses in an amount equal to the recipient's award ("matching award") unless the college qualifies for an exemption from providing the matching award. Such credit may be part of the recipient's institutional aid package. The maximum amount of the matching award to a recipient is $3,000.

c. The maximum cost of the program to the State is $19 million in the first year and $22.863 million in the second year based upon budget estimates.

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

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

Local government mandates:

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

Paperwork:

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

Duplication:

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

Alternatives:

The proposed regulation is the result of HESC's outreach efforts to financial aid professionals regarding this Program. Several alternatives were considered in the drafting of this regulation, such as the application

of the credit requirement. Given the statutory language as set forth in section 667-d of the Education Law, a "no action" alternative was not an option.

Federal standards:

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

Compliance schedule:

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

Regulatory Flexibility Analysis

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Notice of Emergency Adoption and Proposed Rule Making, seeking to add a new section 2201.19 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

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

Rural Area Flexibility Analysis

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

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

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

Job Impact Statement

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

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

Department of Labor

NOTICE OF EXPIRATION

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

Hours Worked, 24-Hour Shifts

I.D. No.	Proposed	Expiration Date
LAB-17-18-00005-P	April 25, 2018	July 11, 2019

Department of Law

NOTICE OF ADOPTION

Arbitration Program Regulations for Defective Farm Equipment

I.D. No. LAW-41-18-00021-A
Filing No. 645
Filing Date: 2019-07-10
Effective Date: 2019-07-31

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

Action taken: Addition of Part 303 to Title 13 NYCRR.

Statutory authority: General Business Law, section 697-a

Subject: Arbitration program regulations for defective farm equipment.

Purpose: To set forth the procedures for the operation of an alternative arbitration mechanism for defective farm equipment disputes.

Substance of final rule: The full text of the rule can be viewed at: https://ag.ny.gov/consumer-frauds/lemon-law

These regulations are promulgated pursuant to General Business Law ("GBL"), Article 33-B, section 697-a, added by chapter 662 of the Laws of 2005 as amended by Chapter 706 of the Laws of 2006. They set forth the procedures for the operation of an alternative arbitration mechanism as required by GBL section 697-a(c). These regulations are designed to promote the independent, speedy, efficient and fair disposition of disputes concerning defective farm equipment.

The Attorney General shall appoint an Administrator or Administrators to a definite term not to exceed two years. The Attorney General shall consider the following criteria in the selection of an Administrator: capability, objectivity, non-affiliation with a supplier's arbitration program, reliability, experience, financial stability, extent of geographic coverage, and fee structure.

To apply for arbitration, a consumer shall obtain, complete and submit the appropriate form to the Attorney General on a form prescribed and made available by the Attorney General. The consumer shall indicate on the form his/her choice of remedy (i.e., either refund or comparable replacement equipment), in the event the arbitrator rules in favor of the consumer. If the form is accepted by the Attorney General, he or she shall refer it to the Administrator for processing. The Attorney General shall prescribe a filing fee and an arbitration fee to be paid by the consumer and the supplier, respectively. Such notice shall also advise the consumer to pay the prescribed filing fee directly to the Administrator. The date the Administrator receives the prescribed filing fee shall be considered the "filing date."

Each supplier of farm equipment sold to a New York consumer shall notify the Attorney General in writing, within 10 days after the effective date of these regulations, of the name, address and telephone number of the person designated to receive notices under the GBL Article 33-B Program. Such information shall be presumed correct unless updated by the supplier.

Within 5 days of the filing date, the Administrator shall send the supplier's designee a notice that a Request for Arbitration has been filed by the consumer and that the supplier must remit the prescribed arbitration fee to the Administrator within 10 days from the date of mailing by the Administrator. The date the prescribed arbitration fee is received by the Administrator is considered the "commencement date." Within 5 days of the commencement date, the Administrator shall send the supplier's designee a copy of the consumer's completed Request for Arbitration form along with a notice that it may respond in writing. Such response shall be send in triplicate, within 15 days of the commencement date, to the Administrator, who shall promptly forward one copy to the consumer.

After the commencement date, the Administrator shall assign an arbitrator to hear and decide the case. Notice of assignment shall be mailed to the arbitrator and the parties along with a copy of these regulations and GBL Article 33-B. The arbitrator assigned shall not have any bias, any financial or personal interest in the outcome of the hearing, or any current connection to the sale, distribution or manufacture of farm equipment. Arbitrators shall undergo training established by the Administrator and the Attorney General.

The arbitration shall be conducted as an oral hearing unless the consumer has requested, on the "Request for Arbitration" form, a hearing on documents only and both parties agree to a documents only hearing; provided, however, that the parties may mutually agree in writing to change the mode of hearing.

The consumer may respond in writing to the supplier's submission within 25 days of the commencement date. Such response shall be sent in triplicate to the Administrator, who shall promptly forward a copy to the supplier.

An oral hearing, where appropriate, shall be scheduled no later than 35 days from the commencement date, unless a later date is agreed to by both parties. The Administrator shall notify both parties of the date, time and place of the hearing at least 8 days prior to its scheduled date. Hearings shall be scheduled to accommodate, where possible, time-of-day needs of the consumer and the supplier, including evening and weekend hours. Hearings shall also be scheduled to accommodate geographic needs of the consumer. Regular hearing sites shall be established at locations designated by the Administrator.

In unusual circumstances, a party may present its case by telephone, provided that adequate advance notice is given to the Administrator and to the other party. In such cases, the arbitrator and both parties shall be included and the party requesting the telephonic hearing shall pay all costs associated therewith.

Either party may make a request to reschedule the hearing. Upon a finding of good cause, the arbitrator may reschedule the hearing. In unusual circumstances, the arbitrator may reschedule the hearing at any time prior to its commencement.

A party, by application in writing to the Administrator, may request the arbitrator to direct the other party to produce any documents or information. The arbitrator shall, upon receiving such request, or on his or her own initiative, direct the production of documents or information which he or she believes will reasonably assist a party in presenting his or her case or assist the arbitrator in deciding the case. The arbitrator's direction for the production of documents and information shall allow a reasonable time for the gathering and production of such documents and information. Upon failure of a party to comply with the arbitrator's direction to produce documents and/or information, the arbitrator may draw a negative inference concerning any issue involving such documents or information.

At the request of either party or on his or her own initiative, the arbitrator, when she or he believes it appropriate, may subpoena any witnesses to appear or documents to be presented at the hearing.

Any party may be represented by counsel or assisted by any third party.

Any party wishing an interpreter shall make the necessary arrangements and assume the costs for such service.

The conduct of the hearing shall afford each party a full and equal opportunity to present his/her case. The arbitrator shall administer an oath or affirmation to each individual who testifies. Formal rules of evidence shall not apply; the parties may introduce any relevant evidence. The arbitrator may request additional evidence after closing the hearing. All such evidence shall be submitted to the Administrator for transmission to the arbitrator and the parties.

If the hearing is on documents only, all documents shall be submitted to the Administrator no later than 30 days from the commencement date. The arbitrator shall render a timely decision based on all documents submitted.

Upon the failure of a party to appear at an oral hearing, the arbitrator shall nevertheless conduct the hearing and render a timely decision based on the evidence presented and documents contained in the file. If neither party appears at the hearing, the arbitrator shall return the case to the Administrator who shall close it and so notify the parties.

A consumer may withdraw his/her request for arbitration at any time prior to decision.

The arbitrator shall render a decision within 40 days from the commencement date which shall be in writing on a form prescribed by the Administrator and approved by the Attorney General. In his/her decision, the arbitrator shall determine whether the consumer qualifies for relief pursuant to GBL section 697-a. If the arbitrator finds that the consumer qualifies, (s)he shall award the specific remedies prescribed by the statute. The decision shall specify the monetary award where applicable. The decision shall, where applicable, require that any action required by the supplier be completed within 30 days from the date the Administrator notifies the supplier of the decision. The Administrator shall review the decision for technical completeness and accuracy and advise the arbitrator of any suggested technical corrections. After review, the Administrator shall, within 45 days of the commencement date, mail a copy of the final decision to both parties, the arbitrator and the Attorney General.

The arbitrator's decision is binding on both parties and is final, subject only to judicial review pursuant to CPLR, Article 75. The decision shall include a statement to this effect.

The Administrator shall keep all records pertaining to each arbitration for a period of at least two years and shall make the records of a particular arbitration available for inspection upon written request by a party to that arbitration, and shall make records of all arbitrations available to the Attorney General upon written request.

All communications between the parties and the arbitrator, other than at oral hearings, shall be directed to the Administrator.

Final rule as compared with last published rule: Nonsubstantive changes were made in sections 303.4(c) and 303.13(f).

Text of rule and any required statements and analyses may be obtained from: Stewart Dearing, Department of Law, 28 Liberty Street, New York, New York 10005, (212) 416-8300, email: Stewart.Dearing@ag.ny.gov

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

Changes made to the last published rule do not necessitate revision to the previously published RIS, RFA and RAFA.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2022, 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.

Niagara Frontier Transportation Authority

NOTICE OF ADOPTION

Procurement Guidelines of the Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc.

I.D. No. NFT-18-19-00004-A

Filing No. 654

Filing Date: 2019-07-12

Effective Date: 2019-07-31

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

Action taken: Amendment of Procurement Guidelines of the Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc. to reflect changes in law, signing authority, and clarifying changes.

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: Amendment of Procurement Guidelines of the Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System.

Text or summary was published in the May 1, 2019 issue of the Register, I.D. No. NFT-18-19-00004-P.

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

Text of rule and any required statements and analyses may be obtained from: Michelle Maniccia, Esq., Niagara Frontier Transportation Authority, 181 Ellicott Street, Buffalo, New York 14203, (716) 855-7300, email: michelle_maniccia@nfta.com

Assessment of Public Comment

The agency received no public comment.

Office for People with Developmental Disabilities

NOTICE OF ADOPTION

Site Based Prevocational Services

I.D. No. PDD-20-19-00007-A

Filing No. 661

Filing Date: 2019-07-16

Effective Date: 2019-07-31

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

Action taken: Amendment of section 635-10.5 of Title 14 NYCRR.

Statutory authority: Mental Hygiene Law, sections 13.07, 13.09(b), 13.15(a) and 16.00

Subject: Site Based Prevocational Services.

Purpose: To make technical corrections.

Text or summary was published in the May 15, 2019 issue of the Register, I.D. No. PDD-20-19-00007-P.

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

Text of rule and any required statements and analyses may be obtained from: Mary Beth Babcock, Office of Counsel, Office for People With Developmental Disabilities, 44 Holland Ave, 3rd Floor, Albany, NY 12229, (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.

Assessment of Public Comment

The agency received no public comment.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Procedures for the Control of Tuberculosis

I.D. No. PDD-31-19-00006-P

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

Proposed Action: Amendment of section 633.14 of Title 14 NYCRR.

Statutory authority: Mental Hygiene Law, sections 13.07, 13.09(b), 13.15(a) and 16.00

Subject: Procedures for the Control of Tuberculosis.

Purpose: To modify the tuberculosis testing requirements for service recipients only receiving clinical services within an art. 16 clinic.

Text of proposed rule: • Existing subdivision 633.14(a) is amended as follows:

(a) Applicability. This section applies to developmental centers and facilities certified by OPWDD, including family care. *It does not apply to service recipients of Clinic Treatment Facilities as defined in Part 679 of this title.*

• Existing paragraph 633.14(b)(8) is amended as follows:

(8) Service provider. A developmental center or operator of a facility certified by OPWDD, *other than Clinic Treatment Facilities described in Part 679 of this title.* In the case of a family care home, the sponsoring agency shall be responsible for complying with requirements applicable to the service provider.

• Existing paragraph 633.14(b)(9) is amended as follows:

(9) Service recipient. Any person receiving services from a developmental center or facility certified by OPWDD, *except for those receiving services through a Clinic Treatment Facility described in Part 679 of this title.*

Text of proposed rule and any required statements and analyses may be obtained from: Mary Beth Babcock, Office of Counsel, Office for People With Developmental Disabilities, 44 Holland Avenue, 3rd Floor, Albany, NY 12229, (518) 474-7700, email: rau.unit@opwdd.ny.gov

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

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

Additional matter required by statute: Pursuant to the requirements of the State Environmental Quality Review Act, OPWDD. as lead agency, has determined that the action described herein will have no effect on the environment and an E.I.S. is not needed.

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

Regulatory Impact Statement

1. Statutory Authority:

a. OPWDD has the statutory responsibility to provide and encourage the provision of appropriate programs, supports, and services in the areas of care, treatment, habilitation, rehabilitation, and other education and training of persons with developmental disabilities, as stated in the New York State (NYS) Mental Hygiene Law Section 13.07.

b. OPWDD has the authority to adopt rules and regulations necessary and proper to implement any matter under its jurisdiction as stated in the NYS Mental Hygiene Law Section 13.09(b).

c. OPWDD has the authority to plan, promote, establish, develop, coordinate, evaluate, and conduct programs and services for prevention, diagnosis, examination, care treatment, rehabilitation, training, and research for the benefit of individuals with developmental disabilities and has the authority to take all actions necessary, desirable, or proper to implement the purposes of the Mental Hygiene Law and to carry out the purposes and objectives of OPWDD within available funding, as stated in the NYS Mental Hygiene Law Section 13.15(a).

d. OPWDD has the statutory authority to adopt regulations concerned with the operation of programs and the provision of services, as stated in the NYS Mental Hygiene Law Section 16.00.

2. Legislative Objectives: The regulations further legislative objectives embodied in sections 13.07, 13.09(b), 13.15(a) and 16.00 of the Mental Hygiene Law. The regulations authorize certain exemptions from the tuberculosis testing requirements for service recipients that are only receiving clinical services within an Article 16 clinic. This will prevent delays in care provided to service recipients within Article 16 clinics. Furthermore, facilities encompassed under New York State Public Health Law Article 28, Mental Hygiene Law Article 31, and Mental Hygiene Law Article 32 have similar exemptions from tuberculosis testing requirements.

3. Needs and Benefits: These regulations amend Title 14 NYCRR Section 633.14 to allow service recipients that only receive clinical services in Article 16 clinics to be exempted from the tuberculosis testing requirements. Without this exemption service recipients experience delays in receiving supports and services.

4. Costs:

a. Costs to the Agency and to the State and its local governments:

There is no anticipated impact on Medicaid expenditures as a result of the regulations. The regulations merely exempt service recipients only receiving services within Article 16 clinics from the tuberculosis testing requirements.

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. The regulations may result in cost savings because less individuals are required to be tested for tuberculosis.

b. Costs to private regulated parties: There are no anticipated costs to regulated providers to comply with the regulations. The amendments merely exempt service recipients only receiving services within Article 16 clinics from the tuberculosis testing requirements.

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 regulations.

7. Duplication: The regulations do not duplicate any existing State or Federal requirements on this topic.

8. Alternatives: OPWDD did not consider any other alternatives to the regulations. The regulations are necessary to allow service recipients faster access to Article 16 clinical services.

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

10. Compliance Schedule: OPWDD is planning to adopt the amendments as soon as possible within the timeframes mandated by the State Administrative Procedure Act. The 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 requirements at the time of their effective date.

Regulatory Flexibility Analysis

A regulatory flexibility analysis for small businesses and local governments is not submitted because the proposed regulation will not impose any adverse economic impact or reporting, record keeping or other compliance requirements on small businesses. There are no professional services, capital, or other compliance costs imposed on small businesses as a result of these amendments.

The proposed regulation exempts service recipients receiving services within Article 16 clinics from the tuberculosis testing requirements. The regulation proposed will not result in costs or new compliance requirements for regulated parties due to the fact that these exemptions remove a prior legal requirement. Thus, the regulation will not have any adverse effects on providers of small business and local governments.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis for this amendment 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 amends Title 14 NYCRR Section 633.14 and is intended to exempt service recipients who receive only clinical services within an Article 16 clinic from the requirement they be tested for tuberculosis prior to receiving services. The regulation will not result in an adverse impact on rural communities because all Article 16 clinics are treated similarly under the proposed text. Additionally, the scope of the regulation is limited to only Article 16 clinics. Thus, the regulation will not have a substantial impact on jobs or employment opportunities in New York State. The proposed regulation will not result in costs for regulated parties. These amendments eliminate a compliance requirement, thus, no new compliance is required by providers. 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 amendment of Title 14 NYCRR Section 633.14 is intended to exempt service recipients that only receive clinical services within Article 16 clinics from the tuberculosis testing requirement. No new compliance measures would be required for providers since this regulation eliminates a compliance measure. Additionally, the scope of the regulation is limited to only Article 16 clinics. Thus, the regulation will not have a substantial impact on jobs or employment opportunities in New York State.

Public Service Commission

NOTICE OF WITHDRAWAL

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

The following rule makings have been withdrawn from consideration:

I.D. No.	Publication Date of Proposal
PSC-22-19-00011-P	May 29, 2019
PSC-22-19-00014-P	May 29, 2019

NOTICE OF ADOPTION

Joint Proposal Regarding Refund Disposition

I.D. No. PSC-42-18-00014-A
Filing Date: 2019-07-12
Effective Date: 2019-07-12

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

Action taken: On 7/11/19, the PSC adopted an order adopting the terms of a joint proposal executed by the Village of Solvay (Solvay) and Department of Public Service Staff (Staff) regarding a disposition of a refund to Solvay from the New York Power Authority (NYPA).

Statutory authority: Public Service Law, section 113(2)

Subject: Joint proposal regarding refund disposition.

Purpose: To adopt the terms of a joint proposal regarding a disposition of a refund.

Substance of final rule: The Commission, on July 11, 2019, adopted an order adopting the terms of a joint proposal executed by the Village of Solvay (Solvay) and Department of Public Service Staff regarding a disposition of a refund to Solvay from the New York Power Authority, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-E-0606SA1)

NOTICE OF ADOPTION

Request for Maintenance Support

I.D. No. PSC-01-19-00007-A
Filing Date: 2019-07-12
Effective Date: 2019-07-12

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

Action taken: On 7/11/19, the PSC adopted an order authorizing the New York State Energy Research and Development Authority (NYSERDA) to enter into a three-year maintenance resource contract with Northbrook Lyons Falls, LLC (Lyons Falls).

Statutory authority: Public Service Law, sections 4(1), 5(1), (2), 66(2); Energy Law, section 6-104(5)(b)

Subject: Request for maintenance support.

Purpose: To authorize NYSERDA to enter into a three-year maintenance resource contract with Lyons Falls.

Substance of final rule: The Commission, on July 11, 2019, adopted an order authorizing the New York State Energy Research and Development Authority (NYSERDA) to enter into a three-year maintenance resource contract with Northbrook Lyons Falls, LLC (Lyons Falls) to provide financial support to maintain operations of three run-of-the-river hydroelectric power plants (Facility). Lyons Falls is offered a three-year Tier 2 maintenance resource contract under the Renewable Energy Standard, with a maintenance award for the purchase of Renewable Energy Credits priced up to $7.80/MWh on up to 42,590 MWh of energy generated annually at its facility. The three-year term shall begin on or after August 1, 2019, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(17-E-0603SA6)

NOTICE OF ADOPTION

Electric Emergency Response Plans

I.D. No. PSC-02-19-00009-A
Filing Date: 2019-07-11
Effective Date: 2019-07-11

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

Action taken: On 7/11/19, the PSC adopted an order approving the amended 2018 Electric Emergency Response Plans, filed by New York's six major electric utilities.

Statutory authority: Public Service Law, sections 5(1)(b), 66(21)(a) and (b)

Subject: Electric Emergency Response Plans.

Purpose: To approve the amended 2018 Electric Emergency Response Plans.

Substance of final rule: The Commission, on July 11, 2019, adopted an order approving the amended 2018 Electric Emergency Response Plans, filed the month of July 2019 by Consolidated Edison Company of New York, Inc. (Con Edison), Central Hudson Gas & Electric Corporation (Central Hudson), Niagara Mohawk Power Corporation d/b/a National Grid (National Grid), Orange & Rockland Utilities, Inc. (O&R), and New York State Electric & Gas Corporation (NYSEG) and Rochester Gas and Electric Corporation (RG&E). Con Edison, Central Hudson, National Grid, O&R, NYSEG and RG&E are ordered to implement and comply with the amended emergency response plans filed the month of July 2019. NYSEG is also directed to consult with Staff and amend its implementation plan for securing outside damage assessors on or before September 15, 2019, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-E-0717SA1)

NOTICE OF ADOPTION

Petition for Rehearing

I.D. No. PSC-13-19-00014-A

Filing Date: 2019-07-12

Effective Date: 2019-07-12

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

Action taken: On 7/11/19, the PSC adopted an order granting, in part, Tesla, Inc.'s (Tesla) petition for rehearing of the Commission's Order Establishing Framework for Direct Current Fast Charging Infrastructure Program.

Statutory authority: Public Service Law, sections 5, 65 and 66

Subject: Petition for rehearing.

Purpose: To grant, in part, Tesla's petition for rehearing.

Substance of final rule: The Commission, on July 11, 2019, adopted an order granting, in part, Tesla, Inc.'s petition for rehearing of the Commission's Order Establishing Framework for Direct Current Fast Charging (DCFC) Infrastructure Program. Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, Niagara Mohawk Power Corporation d/b/a National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation are directed to modify their DCFC per-plug incentive programs, such that an eligible plug is defined as any plug type capable of charging at 50 kilowatts for a 60 percent incentive payment and 75 kilowatts or greater for a full incentive payment, if co-located with a commonly accepted non-proprietary standardized plug-type of the same or greater capacity, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-E-0138SA2)

NOTICE OF ADOPTION

Tariff Amendments

I.D. No. PSC-14-19-00008-A

Filing Date: 2019-07-11

Effective Date: 2019-07-11

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

Action taken: On 7/11/19, the PSC adopted an order approving The Brooklyn Union Gas Company d/b/a National Grid's (KEDNY) tariff amendments to P.S.C. No. 12— Gas, regarding a new provision relating to residential meter reading.

Statutory authority: Public Service Law, sections 39(4), 65 and 66

Subject: Tariff amendments.

Purpose: To approve KEDNY's tariff amendments regarding a new provision relating to residential meter reading.

Substance of final rule: The Commission, on July 11, 2019, adopted an order approving The Brooklyn Union Gas Company d/b/a National Grid's (KEDNY) tariff amendments to P.S.C. No. 12—Gas, regarding a new provision relating to residential meter reading, effective July 15, 2019, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-M-0679SA18)

NOTICE OF ADOPTION

Tariff Cancellation

I.D. No. PSC-15-19-00009-A

Filing Date: 2019-07-15

Effective Date: 2019-07-15

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

Action taken: On 7/11/19, the PSC adopted an order approving the Society for the Preservation of Long Island Antiquities' (the Society) petition for a tariff cancellation to P.S.C. No. 2 — Water.

Statutory authority: Public Service Law, section 89-c

Subject: Tariff cancellation.

Purpose: To approve the Society's petition for a tariff cancellation.

Substance of final rule: The Commission, on July 11, 2019, adopted an order approving the Society for the Preservation of Long Island Antiquities' (the Society) petition for a tariff cancellation to P.S.C. No. 2 – Water. The Society may file a cancellation supplement, cancelling its tariff schedule, P.S.C. No. 2 – Water, effective on not less than one day's notice, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(19-W-0179SA1)

NOTICE OF ADOPTION

Request for Limited Waivers

I.D. No. PSC-16-19-00001-A

Filing Date: 2019-07-15

Effective Date: 2019-07-15

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

Action taken: On 7/11/19, the PSC adopted an order approving Frontier Communications of New York, Inc.'s (Frontier) petition for limited waivers associated with its proposed cable television franchise agreement with the Village of Chester, Orange County.

Statutory authority: Public Service Law, sections 215, 216 and 221

Subject: Request for limited waivers.

Purpose: To approve Frontier's petition for limited waivers.

Substance of final rule: The Commission, on July 11, 2019, adopted an order approving Frontier Communications of New York, Inc.'s petition for limited waivers of certain of the Commission's rules in Parts 890 and 895 associated with it proposed cable television franchise agreement with the Village of Chester, Orange County, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(19-V-0192SA1)

NOTICE OF ADOPTION

Request for Limited Waivers

I.D. No. PSC-16-19-00006-A

Filing Date: 2019-07-15

Effective Date: 2019-07-15

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

Action taken: On 7/11/19, the PSC adopted an order approving Frontier Communications of New York, Inc.'s (Frontier) petition for limited waivers associated with its proposed cable television franchise agreement with the Village of Monroe, Orange County.

Statutory authority: Public Service Law, sections 215, 216 and 221

Subject: Request for limited waivers.

Purpose: To approve Frontier's petition for limited waivers.

Substance of final rule: The Commission, on July 11, 2019, adopted an order approving Frontier Communications of New York, Inc.'s petition for limited waivers of certain of the Commission's rules in Parts 890 and 895 associated with it proposed cable television franchise agreement with the Village of Monroe, Orange County, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(19-V-0175SA1)

NOTICE OF ADOPTION

Tariff Amendments

I.D. No. PSC-17-19-00011-A

Filing Date: 2019-07-15

Effective Date: 2019-07-15

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

Action taken: On 7/11/19, the PSC adopted an order approving Village of Frankfort's (Village) tariff amendments to P.S.C. No. 2—Electricity, implementing a Purchased Power Adjustment (PPA) for the Village's municipal electric utility, Frankfort Power & Light.

Statutory authority: Public Service Law, sections 39(4), 65 and 66

Subject: Tariff amendments.

Purpose: To approve the Village's tariff amendments implementing a PPA for Frankfort Power & Light.

Substance of final rule: The Commission, on July 11, 2019, adopted an order approving the Village of Frankfort's (Village) tariff amendments to P.S.C. No. 2 – Electricity, implementing a Purchased Power Adjustment (PPA) clause applicable to customers taking service in the Frankfort Industrial Park for the Village's municipal electric utility, Frankfort Power & Light, effective on August 1, 2019, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(09-E-0299SA3)

NOTICE OF ADOPTION

Consumer Awareness Program

I.D. No. PSC-17-19-00012-A

Filing Date: 2019-07-11

Effective Date: 2019-07-11

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

Action taken: On 7/11/19, the PSC adopted an order approving the implementation of the Westchester County Consumer Awareness Program filed by the New York State Energy Research and Development Authority (NYSERDA) on May 24, 2019.

Statutory authority: Public Service Law, sections 5, 65, 66 and 74-a

Subject: Consumer awareness program.

Purpose: To approve the implementation of the Westchester County Consumer Awareness Program filed by NYSERDA.

Substance of final rule: The Commission, on July 11, 2019, adopted an order approving the implementation of the Westchester County Consumer Awareness Program, as described in the May 24, 2019 filing by the New York State Energy Research and Development Authority, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment

An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(19-M-0265SA1)

NOTICE OF ADOPTION

Tariff Amendments

I.D. No. PSC-17-19-00013-A

Filing Date: 2019-07-15

Effective Date: 2019-07-15

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

Action taken: On 7/11/19, the PSC adopted an order approving National Fuel Gas Distribution Corporation's (NFG) tariff amendments to P.S.C. No. 9 — Gas, to adjust month end inventory level requirements applicable to Energy Service Companies (ESCOs).

Statutory authority: Public Service Law, sections 65 and 66

Subject: Tariff amendments.

Purpose: To approve NFG's tariff amendments adjusting month end inventory level requirements applicable to ESCOs.

Substance of final rule: The Commission, on July 11, 2019, adopted an order approving National Fuel Gas Distribution Corporation's tariff amendments to P.S.C. No. 9 — Gas, to permanently adjust inventory storage level requirements applicable to Energy Service Companies (ESCOs) serving customers under Service Classification (SC) No. 19 — Supplier Transportation, Balancing and Aggregation, effective August 1, 2019, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment
An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.
(19-G-0207SA1)

NOTICE OF ADOPTION

2019 Settlement Agreement

I.D. No. PSC-19-19-00011-A
Filing Date: 2019-07-11
Effective Date: 2019-07-11

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

Action taken: On 7/11/19, the PSC adopted an order adopting the 2019 Settlement Agreement by and between Charter Communications, Inc. (Charter) and the Department of Public Service Staff (DPS Staff).

Statutory authority: Public Service Law, sections 99, 100 and 222

Subject: 2019 Settlement Agreement.

Purpose: To adopt the 2019 Settlement Agreement by and between Charter and DPS Staff.

Substance of final rule: The Commission, on July 11, 2019, adopted an order adopting the 2019 Settlement Agreement by and between Charter Communications, Inc. (Charter) and the Department of Public Service Staff (DPS Staff) in full and all parties thereto shall abide by its terms. The Commission's July 27, 2018 Order Denying Petitions for Rehearing and Reconsideration and Revoking Approval is determined to be no longer in effect and compliance therewith is no longer required. The Approval Order's conditions remain in effect except to the extent that the Network Expansion Condition is modified by the adoption of the 2019 Settlement Agreement in this Order. The Commission's June 14, 2018 Order Denying Charter Communications, Inc.'s Response to Order to Show Cause and Denying Good Cause Justifications; July 27, 2018 Order Confirming Missed June 2018 Compliance Obligations and Denying Good Cause Justification; and June 14, 2018 Order on Compliance (with regard to the Network Expansion Condition only) are superseded and rendered moot by the 2019 Settlement Agreement. Counsel to the Commission is directed to seek a stay of the Enforcement Proceeding (State of N.Y. Pub. Serv. Comm'n v. Charter Commc'ns, Inc., Index No. 4819–18) in tandem with Charter's actions to stay its Article 78 Proceeding (Charter Commc'ns, Inc. v. N.Y. Pub. Serv. Comm'n, Index No. 907147-18) consistent with the terms of the 2019 Settlement Agreement, subject to the terms and conditions set forth in the order.

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

Text of rule may be obtained from: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov An IRS employer ID no. or social security no. is required from firms or persons to be billed 25 cents per page. Please use tracking number found on last line of notice in requests.

Assessment of Public Comment
An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.
(15-M-0388SA3)

PROPOSED RULE MAKING HEARING(S) SCHEDULED

Proposed Major Rate Increase in KEDNY's Gas Delivery Revenues by $236.8 Million (13.6% Increase in Total Revenues)

I.D. No. PSC-31-19-00015-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 a proposal filed by The Brooklyn Union Gas Company d/b/a National Grid NY (KEDNY) to make changes in the rates, charges, rules and regulations as contained in Tariff Schedule P.S.C. No. 12—Gas.

Statutory authority: Public Service Law, sections 5, 65 and 66

Subject: Proposed major rate increase in KEDNY's gas delivery revenues by $236.8 million (13.6% increase in total revenues).

Purpose: To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Public hearing(s) will be held at: 10:00 a.m., Oct. 2, 2019 at Department of Public Service, Three Empire State Plaza, Albany, NY. (Evidentiary Hearing)*

*On occasion, there are requests to reschedule or postpone hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 19-G-0309.

Interpreter Service: Interpreter services will be made available to hearing impaired persons, at no charge, upon written request submitted within reasonable time prior to the scheduled public hearing. The written request must be addressed to the agency representative designated in the paragraph below.

Accessibility: All public hearings have been scheduled at places reasonably accessible to persons with a mobility impairment.

Substance of proposed rule: The Commission is considering a proposal, filed on April 30, 2019 by The Brooklyn Union Gas Company d/b/a/ National Grid NY (KEDNY) to increase its gas delivery revenues for the rate year ending March 31, 2021, as contained in P.S.C. No. 12 – Gas.

KEDNY is requesting an increase of approximately $236.8 million (a 19.3% increase, or a 13.6% increase in total revenues) in gas delivery revenues. KEDNY anticipates total average monthly bills to increase by approximately $16.66 million (17.78% on the delivery portion of the bill or 11.99% on the total bill) for an average residential heating customer using 100 therms per month. The major cost drivers of this rate filing include increasing property taxes, environmental remediation costs, and other operating costs. The initial suspension period for the proposed filing runs through September 28, 2019.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: Five days after the last scheduled public hearing.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement
Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.
(19-G-0309SP1)

PROPOSED RULE MAKING HEARING(S) SCHEDULED

Proposed Major Rate Increase in KEDLI's Gas Delivery Revenues of Approximately $49.4 Million (or 4.1% in Total Revenues)

I.D. No. PSC-31-19-00016-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 proposal filed by KeySpan Gas East Corporation d/b/a National Grid (KEDLI) to make changes in the rates, charges, rules and regulations as contained in Tariff Schedule P.S.C. No. 1—Gas.

Statutory authority: Public Service Law, sections 5, 65 and 66

Subject: Proposed major rate increase in KEDLI's gas delivery revenues of approximately $49.4 million (or 4.1% in total revenues).

Purpose: To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Public hearing(s) will be held at: 10:00 a.m., Oct. 2, 2019 at Department of Public Service, Three Empire State Plaza, Albany, NY. (Evidentiary Hearing)*

*On occasion, there are requests to reschedule or postpone hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 19-G-0310.

Interpreter Service: Interpreter services will be made available to hearing

impaired persons, at no charge, upon written request submitted within reasonable time prior to the scheduled public hearing. The written request must be addressed to the agency representative designated in the paragraph below.

Accessibility: All public hearings have been scheduled at places reasonably accessible to persons with a mobility impairment.

Substance of proposed rule: The Commission is considering a proposal, filed on April 30, 2019 by KeySpan Gas East Corporation d/b/a National Grid (KEDLI), to increase its gas delivery revenues for the rate year ending March 31, 2021 as contained in P.S.C. No. 1 – Gas.

KEDLI is requesting an increase of approximately $49.4 million (a 6% increase in delivery revenues or a 4.1% increase in total revenues). KEDLI anticipates total average monthly bills to increase by approximately $7.14 million (6.92% on the delivery portion of the bill or 5.15% on the total bill) for the average residential heating customer using 100 therms per month. The major cost drivers of this rate filing include increasing property taxes, environmental remediation costs, and other operating costs. The initial suspension period for the proposed filing runs through September 28, 2019.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify in whole or in part, the action proposed and may also resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: Five days after the last scheduled public hearing.

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

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(19-G-0310SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Electric Metering Equipment

I.D. No. PSC-31-19-00011-P

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

Proposed Action: The Commission is considering a petition filed by Quadlogic Controls Corporation to use the Quadlogic Controls QBrick Multi-Channel Smart Revenue Grade Electric Power Meter in residential electric submetering applications.

Statutory authority: Public Service Law, section 67(1)

Subject: Electric metering equipment.

Purpose: To ensure that consumer bills are based on accurate measurements of electric usage.

Substance of proposed rule: The Public Service Commission is considering a petition filed by Quadlogic Controls Corporation on June 20, 2019, to use the QBrick multi-channel smart revenue grade electrical power meter in residential submetering applications.

The Commission's regulations require new types of electric meters, transformers, and auxiliary devices used to measure electric service furnished to customers to be tested, and also approved by the Commission before they may be used for the purposes of customer billing.

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: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

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

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(19-E-0465SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Purchase of Renewable Energy from Distributed Generators and Energy Storage Systems 15 Kilowatts or Less

I.D. No. PSC-31-19-00012-P

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

Proposed Action: The Commission is considering a proposal filed by The Village of Sherburne to amend P.S.C. No. 1—Electricity, to establish rules and regulations governing the purchase of renewable energy from distributed generators and energy storage systems.

Statutory authority: Public Service Law, sections 65 and 66

Subject: Purchase of renewable energy from distributed generators and energy storage systems 15 kilowatts or less.

Purpose: To establish provisions to ensure safe and reliable service for all customers.

Substance of proposed rule: The Public Service Commission (Commission) is considering a proposal filed by the Village of Sherburne (Sherburne) on June 3, 2019, to amend its electric tariff schedule, P.S.C. No. 1, to establish rules and regulations governing the purchase of renewable energy from distributed generators.

Sherburne is proposing to include an Addendum – Standardized Interconnection Requirements and Application Process for New Distributed Generators and Energy Storage Systems 15 kW or Less Connected in Parallel with Utility Distributed Systems (SIR) in their tariff revisions, which provides the framework for processing applications from distributed generators or energy storage systems. The proposed amendments and SIR have an effective of December 1, 2019.

Sherburne proposes eligibility for residential or non-residential customers who receive service under Service Classification (SC) No. 1 - Residential, SC No. 2 – General Service – Non-demand Metered, SC No. 3 – General Service – Demand Metered, or SC No. 4 – Large General Service, and own or operate solar, wind, and/or energy storage electric generating equipment with a rated capacity of no more than 15 kW located and used at their premise, in compliance with the SIR. The program will be available on a first-come, first-service basis, until the total rated generating capacity is equivalent to 150 kW (or 1 percent of Sherburne's average system load). Customers will be responsible for 100 percent of any necessary interconnection costs. Sherburne proposes to provide one bidirectional energy flow revenue meter for billing; the meter charge will be included in the applicable monthly service charge. Customers will pay the rates and charges of the applicable SC for energy delivered to the customer by Sherburne. Customers will be credited monthly for energy (kWh) that is received by Sherburne.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

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

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(19-E-0421SP1)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Implementation of Statewide Energy Benchmarking

I.D. No. PSC-31-19-00013-P

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

Proposed Action: The Commission is considering a proposal filed by National Fuel Gas Distribution Corporation to modify its gas tariff schedule, P.S.C. No. 9, in relation to Statewide Energy Benchmarking.

Statutory authority: Public Service Law, sections 65 and 66

Subject: Implementation of Statewide Energy Benchmarking.

Purpose: To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Substance of proposed rule: The Commission is considering a proposal filed by National Fuel Gas Distribution Corporation (NFG or the Company) on July 3, 2019, to amend its gas tariff schedule, P.S.C. No. 9.

NFG filed proposed tariff modifications in response to the Commission's Order Adopting Accelerated Energy Efficiency Targets, issued December 13, 2018 in this proceeding. The proposed modifications will allow the Company to provide aggregated whole building gas meter data for any given building or tax lot to the owner for use in implementing statewide energy benchmarking through the Energy Star Portfolio Manager (Portfolio). This information can be transmitted directly to the owner or, by request, can be transmitted directly to the Portfolio on their behalf. The Company proposes that to the extent benchmarking offerings are marketed to customers and for costs associated with the development capabilities for the automated upload of aggregated data to the Portfolio, it will recover the costs through the Clean Energy Fund Surcharge Rate component of the Conservation Incentive Program Cost Recovery Mechanism. The proposed amendment has an effective date of November 1, 2019.

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: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 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.

(18-M-0084SP5)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Consideration of NYAW's Interim Implementation Plan

I.D. No. PSC-31-19-00014-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 New York American Water Company, Inc.'s (NYAW) Interim Implementation Plan, which is intended to improve the company's billing practices, customer communications and conservation efforts.

Statutory authority: Public Service Law, sections 89-b and 89-c

Subject: Consideration of NYAW's Interim Implementation Plan.

Purpose: To ensure NYAW improves its service to ratepayers.

Substance of proposed rule: The Commission is considering New York American Water Company, Inc.'s (NYAW or the Company) Interim Implementation Plan (Plan), filed on June 28, 2019, which is intended to improve the company's billing practices, customer communications, and conservation efforts.

After the Commission approved NYAW's current rate plan on May 18, 2017, the Company reported that it had incorrectly filed information related to its property taxes, resulting in several years of higher than necessary tax payments. In addition to the property tax issue, in the summer of 2018 nearly 2,000 customer bill complaints were filed with the Company. Most of these complaints were related to the inclining block rate structure approved in the rate plan and the lack of notice to ratepayers about this important change.

These issues were addressed in an Albany County Supreme Court proceeding that resulted in a September 11, 2018 consent order and judgment that required, among other things, NYAW to hire a consulting firm to review and monitor the Company's operations pertaining to (1) tax issues and rate case submissions and (2) the high level of customer complaints, the company's response thereto, and the company's customer communication and education plan concerning rates. On October 18, 2018, the Commission authorized the company to hire of PA Consulting to serve as the monitor.

With respect to the second item, PA Consulting provided its final report to Department of Public Service Staff on June 26, 2019, finding that the customer complaints were largely the result of the Company's failure to communicate the implications of the inclining block structure to ratepayers. In its report, PA Consulting made 23 recommendations related to NYAW's billing system, customer communications, cause of complaints, complaint resolution activities, management processes, and strategies to reduce complaints.

NYAW filed, on the same day as PA Consulting's report, its Plan to address the report's findings. The Company will, through the Plan, work to read customers' meters within a 26- to 32-day window, implement a prorated bill practice for readings outside that window, improve the tracking and response to customer complaints, and improve public communication on important issues.

The Commission accepted PA's report at its July 11, 2019 session and is now soliciting public comment on the Plan, after which the Company will be required to file a final implementation plan that will address issues raised in the comments or identified by the Department or Commission.

The full text of the 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: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 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.

(16-W-0259SP11)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Implementation of E-DPAs

I.D. No. PSC-31-19-00017-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 proposal filed by Orange and Rockland Utilities, Inc. (O&R) to implement a voluntary electronic deferred payment agreement (e-DPA) program.

Statutory authority: Public Service Law, sections 37 and 66(12)

Subject: Implementation of e-DPAs.

Purpose: To consider a proposal to implement e-DPAs.

Substance of proposed rule: The Commission is considering a proposal filed by Orange and Rockland Utilities, Inc. (O&R) on June 14, 2019, to implement a voluntary electronic deferred payment agreement (e-DPA) program.

On March 14, 2019, the Commission issued the Order Adopting Terms of Joint Proposal and Establishing Electric and Gas Rate Plans in this case, which, among other things, approved O&R's proposal to establish an e-DPA program. Under the proposal, customers who enter into a DPA with the Company – either online, on the telephone, or in person, will have the opportunity to review and sign their DPA electronically. The e-DPA program will provide customers an additional option to the current method of sending written DPAs through standard mail.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website http://www.dps.ny.gov/f96dir.htm. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 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.

(18-E-0067SP2)

Workers' Compensation Board

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Medical Treatment Guidelines

I.D. No. WCB-31-19-00018-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 324.2 of Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, sections 13, 13-a, 117 and 141

Subject: Medical Treatment Guidelines.

Purpose: Add guidelines for treatment of hip and groin, foot and ankle, elbow and occupational interstitial lung disease.

Text of proposed rule: Section 324.2 of Title 12 NYCRR is hereby amended to read as follows:

(a) Medical Treatment Guidelines. Regardless of the date of accident or date of disablement, treatment of on the job injuries, illnesses, or occupational diseases to a worker's lumbar, thoracic, or cervical spine, shoulder or knee, or for carpal tunnel syndrome, [or] non-acute pain*, hip or groin, foot or ankle, elbow, or occupational interstitial lung disease* shall be consistent with the Medical Treatment Guidelines set forth in paragraphs (1) through [(6)] *(10)* of this subdivision. The operative Medical Treatment Guidelines shall be the Medical Treatment Guidelines in place on the date on which medical services are rendered. All Treating Medical Providers shall treat all existing and new workers' compensation injuries, illnesses, or occupational diseases, except as provided in section 324.3 of this Part, in accordance with the following:

(1) for the lumbar and thoracic spine, the New York Mid and Low Back Injury Medical Treatment Guidelines, Third Edition, September 15, 2014, effective November 1, 2014, which is herein incorporated by reference;

(2) for the cervical spine, the New York Neck Injury Medical Treatment Guidelines, Third Edition, September 15, 2014, effective November 1, 2014, which is incorporated herein by reference;

(3) for the knee, with the New York Knee Injury Medical Treatment Guidelines, Third Edition, September 15, 2014, effective November 1, 2014, which is incorporated herein by reference;

(4) for the shoulder, the New York Shoulder Injury Medical Treatment Guidelines, Third Edition, September 15, 2014, effective November 1, 2014, which is incorporated herein by reference; and

(5) for carpal tunnel syndrome, the New York Carpal Tunnel Syndrome Medical Treatment Guidelines, Second Edition, September 15, 2014, effective November 1, 2014, which is incorporated herein by reference; and,

(6) for non-acute pain, the New York Non-Acute Pain Medical Treatment Guidelines, First Edition, September 15, 2014, effective November 1, 2014, which is incorporated herein by reference.

(7) for the hip and groin, the New York Hip/Groin Medical Treatment Guideline, First Edition, July 31, 2019, effective January 31, 2020, which is incorporated herein by reference; and

(8) for the foot and ankle, the New York Foot/Ankle Medical Treatment Guideline, First Edition, July 31, 2019, effective January 31, 2020, which is incorporated herein by reference; and

(9) for the elbow, the New York Elbow Medical Treatment Guideline, first edition, July 31, 2019, effective January 31, 2020, herein incorporated by reference; and

(10) for occupational interstitial lung disease, the New York Occupational Interstitial Lung Disease Medical Treatment Guideline, first edition, July 31, 2019, effective January 31, 2020, herein incorporated by reference.

(b) Obtaining the medical treatment guidelines. The New York Mid and Low Back Injury Medical Treatment Guidelines, New York Neck Injury Medical Treatment Guidelines, New York Knee Injury Medical Treatment Guidelines, New York Shoulder Injury Medical Treatment Guidelines, New York Carpal Tunnel Syndrome Medical Treatment Guidelines, and New York Non-Acute Pain Medical Treatment Guidelines, *New York Hip and Groin Medical Treatment Guidelines, New York Foot and Ankle Medical Treatment Guidelines, New York Elbow Medical Treatment Guidelines, and New York Occupational Interstitial Lung Disease Medical Treatment Guidelines* incorporated by reference herein may be examined at the office of the Department of State, 99 Washington Avenue, Albany, New York, 12231, the Legislative Library, the libraries of the New York State Supreme Court, and the district offices of the Board. Copies may be downloaded from the Board's website or obtained from the Board by submitting a request in writing, with the appropriate fee, identifying the specific guideline requested and the choice of format to Publications, New York State Workers' Compensation Board, 328 State Street, Schenectady, New York 12305-2318. Information about the Medical Treatment Guidelines can be requested by email at GENERAL__INFORMATION@wcb.ny.gov, or by telephone at 1-800-781-2362. The Medical Treatment Guidelines are available on paper or compact disc. A fee of $10 will be charged for each guideline requested in paper format, and a fee of $5 will be charged for a compact disc containing all guidelines requested. Payment of the fee shall be made by check or money order payable to "Chair WCB."

(c) Limitations. The Medical Treatment Guidelines in subdivision (a) of this section and this Part are not intended to, and were not prepared with the expectation of, establishing a standard for determining professional liability.

(d) Pre-authorized procedures list.

(1) All medical care consistent with the Medical Treatment Guidelines costing more than $1,000 is included on the pre-authorized procedures list, except for the medical care set forth in paragraph (2) of this subdivision. Medical care costing more than $1,000 included on the pre-authorized procedures list are pre-authorized so Treating Medical Providers are not required to request prior authorization.

(2) The following medical care consistent with the Medical Treatment Guidelines costing more than $1,000 is not included on the pre-authorized procedures list set forth in paragraph (1) of this subdivision so that prior authorization is required:

(i) Lumbar fusion as set forth in E.4 of the New York Mid and Low Back Injury Medical Treatment Guidelines;

(ii) Artificial disc replacement as set forth in E.5 of the New York Mid and Low Back Injury Medical Treatment Guidelines, and in E.3 of the New York Neck Injury Medical Treatment Guidelines;

(iii) Vertebroplasty as set forth in E.6.a.i. of the New York Mid and Low Back Injury Medical Treatment Guidelines;

(iv) Kyphoplasty as set forth in E.6.a.i. of the New York Mid and Low Back Injury Medical Treatment Guidelines;

(v) Electrical bone stimulation as set forth in the New York Mid and Low Back Injury Medical Treatment Guidelines and the New York Neck Injury Medical Treatment Guidelines;

(vi) Osteochondral autograft as set forth in D.1.f and Table 4 of the New York Knee Injury Medical Treatment Guidelines;

(vii) Autologus chondrocyte implantation as set forth in D.1.f., Table 5, and D.1.g. of the New York Knee Injury Medical Treatment Guidelines;

(viii) Meniscal allograft transplantation as set forth in D.6.f., Table 8, and D.7. of the New York Knee Injury Medical Treatment Guidelines;

(ix) Knee arthroplasty (total or partial knee joint replacement) as

set forth in F.2. and Table 11 of the New York Knee Injury Medical Treatment Guidelines;

(x) Spinal Cord Pain Stimulators as set forth in G.1 of the Non-Acute Pain Medical Treatment Guidelines; and,

(xi) Intrathecal Drug Delivery (Pain Pumps) as set forth in G.2 of the Non-Acute Pain Medical Treatment Guidelines.

(3) Notwithstanding that a surgical procedure is consistent with the guidelines, a second or subsequent performance of such surgical procedure shall require prior approval if it is repeated because of the failure or incomplete success of the same surgical procedure performed earlier, and if the Medical Treatment Guidelines do not specifically address multiple procedures.

(e) Variances from the Medical Treatment Guidelines are permissible only as provided in section 324.3 of this Part.

(f) Maximum medical improvement shall not preclude the provision of medically necessary care for claimants. Such care shall be medically necessary to maintain function at the maximum medical improvement level or to improve function following an exacerbation of the claimant's condition. Post-maximum medical improvement medical services shall conform to the relevant Medical Treatment Guidelines, except as provided in section 324.3 of this Part.

Text of proposed rule and any required statements and analyses may be obtained from: Heather MacMaster, Workers' Compensation Board, 328 State Street, Office of General Counsel, Schenectady, New York 12305-2318, (518) 486-9564, email: regulations@wcb.ny.gov

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

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

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

Regulatory Impact Statement

1. Statutory Authority:

The Chair of the Workers' Compensation Board (Chair) is authorized to amend Part 324 of Title 12 NYCRR. Workers' Compensation Law (WCL) § 117 (1) authorizes the Chair to make reasonable regulations consistent with the provisions of the WCL. WCL § 141 authorizes the Chair to enforce all provisions of the chapter and make administrative regulations and orders providing in part for the receipt, indexing, and examining of all notices, claims and reports.

WCL §§ 13 and 13-a establishes employer liability for the provision of medical treatment and care for an injured employee and authorizes the Chair to prepare and establish a schedule for the state of charges and fees for medical treatment and care. Concomitant with an employer's liability to provide medical treatment and care for an injured employee and the Chair's authority to establish a medical fee schedule is the need for guidelines setting forth standards of appropriate treatment and care for injured or ill employees.

2. Legislative Objectives:

The purpose of the 12 NYCRR Part 324 (the Medical Treatment Guidelines, Guidelines or MTG) was to create medical guidelines for the treatment of injured workers using the most effective evidence-based modern diagnostic and treatment techniques. The MTG are standards of medical treatment that serve several important functions within the workers' compensation system. The Guidelines seek to: 1) set a single standard of medical care for injured workers; 2) expedite quality care for injured workers; 3) improve the medical outcomes for injured workers; 4) speed return to work by injured workers; 5) reduce disputes between payers and medical providers over treatment issues; 6) increase timely payments to medical providers; and 7) reduce overall system costs.

3. Needs and Benefits:

In keeping with the goals of the MTGs, the four additional Guidelines proposed here address the Hip and Groin, Foot and Ankle, Elbow, and Occupational Interstitial Lung Disease. The Guidelines will provide greater clarity and guidance for providers as well as injured workers to reflect the most effective and modern treatment techniques.

4. Costs:

The Guidelines will be available on the Board's website and anyone will be able to download and print them free of charge. If an individual or entity requests a hardcopy of one or more of the guidelines, the cost will be $10.00 per guideline. This charge is to cover the Board's cost in making the copies. The charge for one or more of the Guidelines on a compact disc is $5.00.

It should be noted that all parties will be able to use the new Guidelines without having to pay a licensing fee.

5. Local Government Mandates:

The rule only imposes a mandate on local governments that are self-insured or that own and/or operate a hospital. The mandates on local governments are the same as those imposed on private self-insured employers, insurance carriers, the State Insurance Fund, third party administrators, medical professionals, private hospitals. Self-insured local governments and those that own and/or operate a hospital will need to comply with the requirements in the rule the same as a private self-insured employer or insurance carrier or private hospital. It is expected that the rule will generate reduced medical costs and therefore lower workers' compensation costs for all employers, including local governments.

6. Paperwork:

The proposed amendments to the regulations should not affect paperwork associated with medical treatment. There will be no change to the method and manner of the forms used as a result of this proposal.

7. Duplication:

The proposed regulation does not duplicate or conflict with any state or federal requirements.

8. Alternatives:

One alternative was to not add these new Guidelines and keep the MTGs as is. However, the Board recognizes that these body parts lacked clarity and guidance, and the new Guidelines provide that for these body parts.

9. Federal Standards:

There are no federal standards applicable to this proposed regulation.

10. Compliance Schedule:

Participants will be able to comply with the proposed regulation when they take effect. The participants will also have time to incorporate the new Guidelines into their policies, procedures and practices.

Regulatory Flexibility Analysis

1. Effect of rule:

Small businesses and local governments whose only involvement with the workers' compensation system is that they are employers and are required to have coverage will not be affected by this rule. Small businesses cannot be individually self-insured but must purchase workers' compensation coverage from the State Insurance Fund or a private insurance carrier authorized to write workers' compensation insurance in New York or join a group self-insured trust. It is the entity providing coverage for the small employer that must comply with all of the provisions of this rulemaking, not the covered employer. The impact on the State Insurance Fund and all private insurance carriers is not covered in this document as they are not small businesses. Group self-insured trusts and third party administrators hired by private insurance carriers may be small businesses, and these businesses may be slightly impacted by this regulation. All health practitioners authorized by the Chair to treat have to comply with the Medical Treatment Guidelines. Finally, local governments that own and/or operate a hospital may be affected by this rule.

The political subdivisions that are self-insured for workers' compensation coverage in New York State will have to comply with the provisions of this proposal. Those local governments who are not self-insured and do not own and/or operate a hospital will not be affected by this rule.

2. Compliance requirements:

The proposed rule does not impose new compliance requirements on the small businesses and local governments described above.

Adoption of the new Guidelines will require all medical providers to adhere to those Guidelines and request a variance, should the requested treatment deviate from the treatment recommended in the Guidelines. The process for requesting a variance and the forms used to request a variance are already in use.

3. Professional services:

Small businesses and local governments affected by the rule will not need any new professional services to comply with this rule.

4. Compliance costs:

The proposed amendments are intended to reduce administrative costs to all parties by adding clarity and guidance in the treatment of injured workers. As with the earlier adopted Guidelines, the Board will offer support for this implementation through training. The Guidelines will be available on the Board's website and anyone will be able to download and print them free of charge. If an individual or entity requests a hard copy of one or more of the guidelines, the cost will be $10.00 per guideline. This charge is to cover the Board's cost in making the copies. The charge for one or more of the Guidelines on a compact disc is $5.00.

5. Economic and technological feasibility:

It is economically and technologically feasible for small businesses and local governments to comply with the proposed amendments. The proposed amendments do not add any technological requirements or economic challenges from the current Guidelines.

6. Minimizing adverse impact:

As stated above, the implementation of the proposed amendments is expected to save money for all participants in the workers' compensation system by prescribing Guidelines for the treatment of the Hip/Groin, Foot/Ankle, Elbow, and Occupational Interstitial Lung Disease.

7. Small business and local government participation:

The Board has solicited comments for the proposed new MTGs on its website from all participants in the workers' compensation system, including small businesses and local governments. The proposed amendment is

expected to reduce costs and consume fewer resources for all participants in the workers' compensation system including small businesses and local governments.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

The amendment of section 324.2 of Part 324 of 12 NYCRR will apply to all insurance carriers, the State Insurance Fund self-insured employers, self-insured local governments, local governments that own and/or operate hospitals, attorneys, medical providers, group self-insured trusts, third party administrators and claimants across the state. These individuals and entities exist in all rural areas of the state.

2. Reporting, recordkeeping and other compliance requirements:

Adoption of the four new Medical Treatment Guidelines (Guidelines) (Hip and Groin, Foot and Ankle, Elbow, and Occupational Interstitial Lung Disease) will require all medical providers to adhere to those Guidelines and request a variance, should the requested treatment deviate from the treatment recommended in the Guidelines. The process for requesting a variance and the forms used to request a variance are already in use. It is not anticipated that the proposed amendments will require any additional staffing or resources by rural employers.

3. Costs:

The proposed amendment is intended to reduce administrative costs to all parties including rural participants, reduce delays in resolution of disputes, and add clarity and guidance in the treatment of injured workers. As with the original Guidelines adopted in 2010 and the 2013 and 2014 amendments, the Board will offer support for this implementation. The Guidelines will be available on the Board's website and anyone will be able to download and print them free of charge. If an individual or entity requests a hard copy of one or more of the guidelines, the cost will be $10.00 per guideline. This charge is to cover the Board's cost in making the copies. The charge for one or more of the Guidelines on a compact disc is $5.00.

4. Minimizing adverse impact:

As stated above, the implementation of these four new MTG is expected to reduce costs and consume fewer resources for all participants in the workers' compensation system including rural participants. The additions will provide greater clarity and guidance.

5. Rural area participation:

The proposal will be available for public comment on the Board's website and in the State Register, and the Board will duly consider all public comments received.

Job Impact Statement

The proposed rule will not have an adverse impact on jobs. The proposed rule amends Section 324.2 of Part 324 of 12 NYCRR, known as the Medical Treatment Guidelines (Guidelines), to add four new Guidelines: Hip and Groin, Foot and Ankle, Elbow, and Occupational Interstitial Lung Disease.

The rule does not eliminate any existing process, procedure, or program, and will not result in an adverse impact on jobs.

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Environmental Conservation, Department of		
ENV-24-19-00002-P	Hazardous waste management regulations (FedReg5)	Department of Environmental Conservation, 625 Broadway, Rm. 129, Albany, NY—August 19, 2019, 1:00 p.m.
ENV-29-19-00016-P	Reasonably Available Control Technology (RACT) for major facilities of oxides of nitrogen (NOx)	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—September 16, 2019, 11:00 a.m.
ENV-29-19-00017-P	Federal and State standards for acceptable air quality	Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—September 16, 2019, 11:00 a.m.
Public Service Commission		
PSC-23-19-00005-P	Proposed major increase in SWNY's annual base revenues of approximately $31.5 million (or 19.8% in total revenues)	Department of Public Service, Agency Bldg. 3, 3rd Fl. Hearing Rm., Albany, NY—August 7, 2019, 10:30 a.m. and continuing daily as needed. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 19-W-0168.
PSC-31-19-00015-P	Proposed major rate increase in KEDNY's gas delivery revenues by $236.8 million (13.6% increase in total revenues)	Department of Public Service, Three Empire State Plaza, Albany, NY—October 2, 2019 and continuing daily as needed, 10:00 a.m. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 19-G-0309.
PSC-31-19-00016-P	Proposed major rate increase in KEDNY's gas delivery revenues by $49.4 million (4.1% increase in total revenues)	Department of Public Service, Three Empire State Plaza, Albany, NY—October 2, 2019 and continuing daily as needed, 10:00 a.m. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 19-G-0310.
State, Department of		
DOS-27-19-00014-P	New York State Uniform Fire Prevention and Buildiing Code (the Uniform Code)	Department of State, 99 Washington Ave., Conference Rm. 505, Albany, NY—September 5, 2019, 10:00 a.m. Department of State, 123 William St., Conference Rm. 231, New York, NY—September 5, 2019, 10:00 a.m. Perry B. Duryea Jr. State Office Bldg., 250 Veterans Memorial Hwy., Rms. 2 and 3, Hauppauge, NY—September 5, 2019, 10:00 a.m. Utica State Office Bldg., 207 Genesee St., 1st Fl., Conference Rm. A, Utica, NY—September 5, 2019, 10:00 a.m. Amherst Town Hall, 5583 Main St., Council Chambers, 2nd Fl., Williamsville, NY—September 5, 2019, 10:00 a.m.
DOS-27-19-00015-P	State Energy Conservation Construction	

	Code (the "Energy Code")	Department of State, 99 Washington Ave., Conference Rm. 505, Albany, NY—September 5, 2019, 10:00 a.m. Department of State, 123 William St., Conference Rm. 231, New York, NY—September 5, 2019, 10:00 a.m. Perry B. Duryea Jr. State Office Bldg., 250 Veterans Memorial Hwy., Rms. 2 and 3, Hauppauge, NY—September 5, 2019, 10:00 a.m. Utica State Office Bldg., 207 Genesee St., 1st Fl., Conference Rm. A, Utica, NY—September 5, 2019, 10:00 a.m. Amherst Town Hall, 5583 Main St., Council Chambers, 2nd Fl., Williamsville, NY—September 5, 2019, 10:00 a.m.
DOS-29-19-00015-EP	New York State Uniform Fire Prevention and Building Code (the Uniform Code)	Department of State, 99 Washington Ave., Rm. 505, Albany, NY—September 16, 2019, 10:00 a.m.

ACTION PENDING INDEX

The action pending index is a list of all proposed rules which are currently being considered for adoption. A proposed rule is added to the index when the notice of proposed rule making is first published in the *Register*. A proposed rule is removed from the index when any of the following occur: (1) the proposal is adopted as a permanent rule; (2) the proposal is rejected and withdrawn from consideration; or (3) the proposal's notice expires.

Most notices expire in approximately 12 months if the agency does not adopt or reject the proposal within that time. The expiration date is printed in the second column of the action pending index. Some notices, however, never expire. Those notices are identified by the word "exempt" in the second column. Actions pending for one year or more are preceded by an asterisk(*).

For additional information concerning any of the proposals listed in the action pending index, use the identification number to locate the text of the original notice of proposed rule making. The identification number contains a code which identifies the agency, the issue of the *Register* in which the notice was printed, the year in which the notice was printed and the notice's serial number. The following diagram shows how to read identification number codes.

Agency code	Issue number	Year published	Serial number	Action Code
AAM	**01**	**12**	**00001**	**P**

Action codes: P — proposed rule making; EP — emergency and proposed rule making (expiration date refers to proposed rule); RP — revised rule making

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
AGING, OFFICE FOR THE			
AGE-44-18-00005-P	10/31/19	Nutrition Program	The purpose of this rule is to update the regulations governing the Nutrition Program
AGRICULTURE AND MARKETS, DEPARTMENT OF			
AAM-17-19-00001-P	04/23/20	Farm wineries, breweries, and distilleries; hops processors; and cideries	To update references to regulations and to exempt small hops processors from food processing licensing requirements
AAM-21-19-00002-EP	05/21/20	Control of the European Cherry Fruit Fly	To help control the spread of the European Cherry Fruit Fly (ECFF), which renders cherries unmarketable if they are infested.
AAM-30-19-00004-P	07/23/20	Fuels for use in automobiles and motor-driven devices and equipment.	To conform regulations with federal requirements; to provide standards for, and relieve confusion in the sale of new fuels.
AUDIT AND CONTROL, DEPARTMENT OF			
AAC-29-19-00021-P	07/16/20	Limitations on Public Safety Overtime	To clarify that public safety overtime is subject to the limitations contained in the RSSL
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-51-18-00010-P	12/19/19	Residential and non-residential services to victims of domestic violence	To conform the existing regulations to comply with state and federal laws regarding services to victims of domestic violence
CFS-19-19-00006-EP	05/07/20	Procedures for addressing children absent without consent from foster care, conditional releases and searches	To put into place procedures for children absent without consent from foster care, conditional releases and searches
CFS-19-19-00009-EP	exempt	Child Care Market Rates	To adjust child care market rates in accordance with the results of the most recent cost of care market survey

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-20-19-00001-EP	05/14/20	To eliminate requirement that victims of domestic violence apply for public assistance to pay for cost of shelter and services	To eliminate requirement that victims of domestic violence apply for public assistance to pay for cost of shelter and services
CIVIL SERVICE, DEPARTMENT OF			
CVS-33-18-00007-P	08/15/19	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-06-19-00001-P	02/06/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-13-19-00003-P	03/26/20	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-14-19-00003-P	04/02/20	Supplemental military leave benefits	To extend the availability of supplemental military leave benefits for certain New York State employees until December 31, 2019
CVS-15-19-00001-P	04/09/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-15-19-00002-P	04/09/20	Jurisdictional Classification	To delete a position from and classify a position in the non-competitive class
CVS-15-19-00003-P	04/09/20	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-15-19-00004-P	04/09/20	Jurisdictional Classification	To delete positions from and classify positions in the exempt class and to delete a position from the non-competitive class
CVS-15-19-00005-P	04/09/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-15-19-00006-P	04/09/20	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-18-19-00007-P	04/30/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-19-00008-P	04/30/20	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-25-19-00001-P	06/18/20	Jurisdictional Classification	To delete positions from and classify positions in the exempt and non-competitive classes.
CVS-25-19-00002-P	06/18/20	Jurisdictional Classification	To classify positions in the exempt class.
CVS-25-19-00003-P	06/18/20	Jurisdictional Classification	To classify a position in the exempt class.
CVS-25-19-00004-P	06/18/20	Jurisdictional Classification	To delete positions from the non-competitive class.
CVS-25-19-00005-P	06/18/20	Jurisdictional Classification	To delete positions from and classify a position in the non-competitive class.
CVS-25-19-00006-P	06/18/20	Jurisdictional Classification	To classify positions in the non-competitive class.
CVS-25-19-00007-P	06/18/20	Jurisdictional Classification	To delete positions from and classify a position in the non-competitive class.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-25-19-00008-P	06/18/20	Jurisdictional Classification	To classify positions in the non-competitive class.
CVS-25-19-00009-P	06/18/20	Jurisdictional Classification	To delete positions from and classify positions in the exempt and non-competitive classes.
CVS-25-19-00010-P	06/18/20	Jurisdictional Classification	To classify positions in the non-competitive class.
CVS-29-19-00001-P	07/16/20	Jurisdictional Classification	To delete positions from and classify a position in the non-competitive class
CVS-29-19-00002-P	07/16/20	Jurisdictional Classification	To classify a position in the exempt class and to delete positions from and classify a position in the non-competitive class
CVS-29-19-00003-P	07/16/20	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-29-19-00004-P	07/16/20	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-29-19-00005-P	07/16/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-29-19-00006-P	07/16/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-29-19-00007-P	07/16/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-29-19-00008-P	07/16/20	Jurisdictional Classification	To delete a position from and classify positions in the non-competitive class
CVS-29-19-00009-P	07/16/20	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-29-19-00010-P	07/16/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-29-19-00011-P	07/16/20	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-29-19-00012-P	07/16/20	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-29-19-00013-P	07/16/20	Jurisdictional Classification	To classify positions in the exempt class and to delete positions from the non-competitive class
CVS-29-19-00014-P	07/16/20	Jurisdictional Classification	To delete a position in the non-competitive class
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
CCS-05-19-00006-P	01/30/20	Standard Conditions of Release Parole Revocation Dispositions	Establish standard conditions of release and provide a workable structure for applying appropriate parole revocation penalties
CCS-21-19-00014-P	05/21/20	Adolescent Offender Facilities	To reclassify two existing correctional facilities to adolescent offender facilities.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
CCS-28-19-00003-EP	07/09/20	Reclassification of Correctional Facilities	The classification of Collins and Queensboro Correctional Facilities as Work Release facilities
CRIMINAL JUSTICE SERVICES, DIVISION OF			
CJS-20-19-00003-P	05/14/20	Certified Instructors and Course Directors	Establish/maintain effective procedures governing certified instructors and course directors who deliver MPTC-approved courses
CJS-21-19-00004-P	05/21/20	Changes the accrediting authority to the ANSI-ASQ National Accreditation Board.	To change the accrediting authority to the ANSI-ASQ National Accreditation Board.
CJS-30-19-00010-EP	07/23/20	Use of Force	Set forth use of force reporting and recordkeeping procedures
ECONOMIC DEVELOPMENT, DEPARTMENT OF			
EDV-30-19-00003-EP	07/23/20	START-UP NY Program	Establish procedures for the implementation and execution of START-UP NY program
EDUCATION DEPARTMENT			
EDU-40-18-00010-RP	10/03/19	Professional development plans and other related requirements for school districts and BOCES	To improve the quality of teaching and learning for teachers and leaders for professional growth
EDU-52-18-00005-P	12/26/19	Annual professional performance reviews.	To extend the transition period for an additional year (until 2019-2020).
EDU-05-19-00008-RP	01/30/20	Protecting Personally Identifiable Information	To implement the provisions of Education Law section 2-d
EDU-13-19-00009-ERP	03/26/20	The Execution by Registered Professional Nurses of Non-Patient Specific Orders to Administer Immunizations	To conform the regulation to current immunization standards
EDU-17-19-00008-P	04/23/20	To require study in language acquisition and literacy development of English language learners in certain teacher preparation	To ensure that newly certified teachers enter the workforce fully prepared to serve our ELL population
EDU-21-19-00007-EP	05/21/20	The Certification of Manufacturers and Wholesalers for Export Purposes	To clarify who may issue free sale certificates to New York State registered manufacturers or wholesalers
EDU-21-19-00008-P	05/21/20	Continuing Teacher and Leader Education (CTLE) for Educators in nonpublic schools.	To make technical amendments to the CTLE regulations for educators employed in nonpublic schools.
EDU-21-19-00009-P	05/21/20	Creation of safety nets for the science Content Specialty Tests (CSTs)	Allow candidates to be held harmless during a one-year transition period from the predecessor CSTs to the revised CST's
EDU-21-19-00010-P	05/21/20	Conditional initial certificate requirements.	Provides that candidates may be eligible for an Initial certificate even after their conditional initial certificate expires.
EDU-21-19-00011-P	05/21/20	Educational Broadcast Councils and Radio Stations	Reduce costs incurred by each Council and Radio Station for redundant annual certified audits & to streamline reporting process

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-21-19-00012-P	05/21/20	Requirements for Transitional D Programs that Lead to School District Leader Certification	Certificate enables the candidates to work in a school dist. /BOCES as a school dist. leader while they complete their requireme
EDU-25-19-00014-EP	06/18/20	Eligibility Requirements for the Endorsement Pathway for Certification as an Educator in the Classroom Teaching Service	To provide candidates with more flexibility to be eligible for the endorsement pathway
EDU-25-19-00015-EP	06/18/20	Statement of continued eligibility for certain teachers of students with disabilities	Extends the deadline to apply for a statement of continued eligibility for certain teachers of students with disabilities
EDU-26-19-00001-P	06/25/20	Reports of child abuse in an educational setting	To implement the provisions of Chapter 363 of the Laws of 2018 relating to reports of child abuse in an educational setting
EDU-27-19-00010-P	07/02/20	Substantially Equivalent Instruction for Nonpublic School Students	Provide guidance to local school authorities to assist them in fulfilling their responsibilities under the Compulsory Ed Law
EDU-31-19-00009-EP	07/30/20	Instructional Time for State Aid purposes	To provide school districts with additional flexibility when establishing their school calendars
EDU-31-19-00010-EP	07/30/20	School and district safety plans	To implement certain provisions of section 32 of part YYY of chapter 59 of the Laws of 2019
ELECTIONS, STATE BOARD OF			
SBE-22-19-00001-EP	05/28/20	Audit Status for Early Voting	Establishes Process for Auditing Early Voting Machines and Systems
SBE-22-19-00002-EP	05/28/20	Related to the Minimum Required Voting Machines and Privacy Booths needed for Early Voting Polling Sites	Establishes the Minimum Required Voting Machines and Privacy Booths needed for Early Voting Polling Sites
SBE-22-19-00003-EP	05/28/20	Process for Early Voting	Establishing Process for Early Voting
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-09-19-00015-P	05/13/20	Set nitrogen oxide (NOx) emission rate limits for simple cycle and regenerative combustion turbines	Reduction of nitrogen oxide (NOx) emissions from simple cycle and regenerative combustion turbines
ENV-10-19-00003-P	05/13/20	Regulate volatile organic compounds (VOCs) in architectural and industrial maintenance (AIM) coatings	To set new and lower VOC limits for certain coating categories. Update categories and methods
ENV-12-19-00002-P	05/23/20	Air emissions regulation of cleaning solutions containing volatile organic compounds.	Update existing regulation with latest emission control requirements and add requirements recently issued by EPA.
ENV-12-19-00003-P	05/23/20	Revised Part 208 will incorporate the new federal emission guideline for MSW landfills pursuant to 40 CFR Part 60, Subpart Cf.	Part 208 controls landfill gas emissions by requiring a gas collection and control system.
ENV-18-19-00006-EP	04/30/20	Regulations governing commercial fishing and harvest of scup.	To revise regulations concerning the commercial harvest of scup in New York State waters.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-24-19-00002-P	08/18/20	Hazardous Waste Management Regulations (FedReg5)	To amend regulations pertaining to hazardous waste management
ENV-27-19-00001-P	07/02/20	Feeding of wild deer and moose, use of 4-PosterTM devices.	To prohibit feeding of wild deer and moose, to define conditions for use of 4-PosterTM devices.
ENV-27-19-00003-P	07/02/20	Black Bear hunting.	Expand bear hunting opportunities in Wildlife Management Unit 4W to reduce bear abundance.
ENV-28-19-00001-P	07/09/20	Omnibus changes to 6 NYCRR	Bring regulations current with statutory changes and to improve application efficiency as part of the Governor's Lean initiative
ENV-28-19-00002-EP	07/09/20	Regulations governing recreational fishing of scup	To revise regulations concerning the recreational harvest of scup in New York State
ENV-29-19-00016-P	09/15/20	Reasonably Available Control Technology (RACT) for Major Facilities of Oxides of Nitrogen (NOx)	Regulation of NOx emissions from major facilities of NOx. The regulation sets NOx limits for boilers, turbines, and engines
ENV-29-19-00017-P	09/15/20	Federal and State standards for acceptable air quality	To revise outdated State and Federal air quality standards
ENV-31-19-00008-EP	07/30/20	Sanitary Condition of Shellfish Lands	To reclassify underwater shellfish lands to protect public health
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 Liabilty Mutual Insurance Company	To convert a mutual property and casualty insurance company to a stock property and casualty insurance company
DFS-30-18-00007-P	07/25/19	Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards for Full and Fair Disclosure	To clarify requirements regarding coverage and disclosure of information for contraceptives
DFS-36-18-00003-RP	12/04/19	Professional Bail Agents; Managing General Agents; et al	To provide greater protection to consumers, and raise the standards of integrity in the bail business.
DFS-46-18-00014-P	11/14/19	Regulations Implementing the Comprehensive Motor Vehicle Insurance Reparations Act-Claims for Personal Injury Protection Benefit	To give insurer option to void assignment of benefits when insurer issues denial for EIP's failure to attend IME or EUO
DFS-08-19-00003-P	02/20/20	Charges for Professional Health Services	To delay the effective date of the Workers' Compensation fee schedule increases for no-fault reimbursement
DFS-18-19-00005-P	04/30/20	Servicing Mortgage Loans: Business Conduct Rules	Sets standards governing the servicing of residential home mortgage loans.
DFS-20-19-00002-P	05/14/20	Electronic Filings and Submissions	To require certain filings or submissions to be made electronically

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
FINANCIAL SERVICES, DEPARTMENT OF			
DFS-20-19-00004-P	05/14/20	Valuation of Individual and Group Accident and Health Insurance Reserves	To adopt the 2016 Cancer Claim Cost Valuation Tables
DFS-20-19-00005-P	05/14/20	SECURITY AT AUTOMATED TELLER FACILITIES	To update the regulation to ensure the removal of obsolete language from the reporting requirements under Part 301
DFS-21-19-00005-P	05/21/20	Continuing Care Retirement Communities	Amend rules related to permitted investments, financial transactions, reporting requirements and add new optional contract type.
DFS-28-19-00007-P	07/09/20	Accelerated Payment of the Death Benefit Under a Life Insurance Policy	Implement statutory amendments in: Laws of 2017 ch. 300, Laws of 2014 ch. 465, Laws of 2014 ch. 448, and Laws of 2010 ch. 563
DFS-31-19-00007-P	07/30/20	Student Loan Servicers	To provide for the supervision of the student loan servicing industry
GAMING COMMISSION, NEW YORK STATE			
SGC-39-18-00003-P	09/26/19	Heads Up Hold 'Em poker.	To set forth the practices and procedures for the operation of Heads Up Hold 'Em poker as a casino table game.
SGC-17-19-00009-P	04/23/20	Pick-six jackpot wager for Thoroughbred racing	To improve Thoroughbred pari-mutuel wagering and generate reasonable revenue for the support of government
HEALTH, DEPARTMENT OF			
*HLT-14-94-00006-P	exempt	Payment methodology for HIV/AIDS outpatient services	To expand the current payment to incorporate pricing for services
HLT-42-18-00008-P	10/17/19	Office-Based Surgery Practice Reports	Requires accredited Office-Based Surgery practices to submit adverse event & practice information which includes procedural data
HLT-51-18-00016-P	12/19/19	Nursing Home Weekly Bed Census Survey	To require nursing homes to electronically submit weekly bed census data to the DOH through the Health Commerce System
HLT-51-18-00018-P	12/19/19	New requirements for Annual Registration of Licensed Home Care Services Agencies	To amend the regulations for licensed home care services agencies for the annual registration requirements of the agency
HLT-05-19-00005-P	01/30/20	Midwifery Birth Center Services	To set the standards for all birth centers to follow the structure of Article 28 requirements
HLT-09-19-00004-P	02/27/20	Cardiac Catheterization Laboratory Centers	To amend existing Certificate of Need requirements for the approval and operation of Cardiac Catheterization Laboratory Centers.
HLT-17-19-00002-EP	04/23/20	Medical Use of Marihuana	To clarify requirements for laboratories seeking approval to test medical marihuana products in New York State
HLT-18-19-00016-P	04/30/20	Blood Lead Level	To improve the current understanding of lead poisoning risks to children and pregnant women

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-20-19-00006-P	05/14/20	Schroon Lake Water District	The regulation is no longer needed since Horseshoe Pond no longer serves as the public drinking water source
HLT-22-19-00015-P	05/28/20	Residents' Rights	Require nursing homes provide info. about home and community based services & comm. transition progs. to residents upon admission
HLT-25-19-00013-P	06/18/20	Registered Nurses in the Emergency Department	To remove a barrier to new graduate nurse recruitment in the emergency department
HLT-29-19-00020-P	07/16/20	Patients' Bill of Rights	To protect D&TC patients against unknowingly receiving care from out-of-network providers, resulting in surprise medical bills
HLT-30-19-00006-P	07/23/20	Maximum Contaminant Levels (MCLs)	Incorporating MCLs for perfluorooctanoic acid (PFOA), perfluorooctanesulfonic acid (PFOS) and 1,4-dioxane.
HIGHER EDUCATION SERVICES CORPORATION			
ESC-22-19-00004-EP	05/28/20	The New York State Teacher Loan Forgiveness Program	To implement The New York State Teacher Loan Forgiveness Program
ESC-22-19-00005-EP	05/28/20	New York State Masters-in-Education Teacher Incentive Scholarship Program	To implement the New York State Masters-in-Education Teacher Incentive Scholarship Program
ESC-22-19-00006-EP	05/28/20	New York State Get on Your Feet Loan Forgiveness Program	To implement the New York State Get on Your Feet Loan Forgiveness Program
ESC-22-19-00007-EP	05/28/20	NYS Part-time Scholarship (PTS) Award Program	To implement the NYS Part-time Scholarship (PTS) Award Program
ESC-22-19-00008-EP	05/28/20	The New York State Achievement and Investment in Merit Scholarship (NY-AIMS)	To implement The New York State Achievement and Investment in Merit Scholarship (NY-AIMS)
ESC-25-19-00012-EP	06/18/20	Eligibility criteria for student financial aid award programs under article 14 of the Education Law	To implement the eligibility criteria for student financial aid award programs under article 14 of the Education Law
ESC-31-19-00001-EP	07/30/20	NYS Child Welfare Worker Loan Forgiveness Incentive Program	To implement the NYS Child Welfare Worker Loan Forgiveness Incentive Program
ESC-31-19-00002-EP	07/30/20	New York State Science, Technology, Engineering and Mathematics Incentive Program	To implement the New York State Science, Technology, Engineering and Mathematics Incentive Program
ESC-31-19-00003-EP	07/30/20	NYS Child Welfare Worker Incentive Scholarship Program	To implement the NYS Child Welfare Worker Incentive Scholarship Program
ESC-31-19-00004-EP	07/30/20	Excelsior Scholarship	To implement the Excelsior Scholarship
ESC-31-19-00005-EP	07/30/20	Enhanced Tuition Awards program	To implement the Enhanced Tuition Awards program

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HOUSING AND COMMUNITY RENEWAL, DIVISION OF			
HCR-21-19-00019-P	07/21/20	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation o flow-income housing tax credits.
HOUSING FINANCE AGENCY			
HFA-21-19-00020-P	07/21/20	Low-Income Housing Qualified Allocation Plan	To amend definitions, threshold criteria and application scoring for the allocation of low-income housing tax credits
HUMAN RIGHTS, DIVISION OF			
HRT-27-19-00002-P	07/02/20	Gender Identity or Expression Discrimination	To conform the Division's regulations with Executive Law as amended by Chapter 8 of the Laws of New York 2019.
LABOR, DEPARTMENT OF			
*LAB-17-18-00005-P	07/11/19	Hours Worked, 24-Hour Shifts	To clarify that hours worked may exclude meal periods and sleep times for employees who work shifts of 24 hours or more
LIQUOR AUTHORITY, STATE			
LQR-02-19-00006-P	05/28/20	Delinquent (C.O.D.) list procedures	To modernize outdated delinquent (C.O.D.) list procedures and provide for electronic notification for same
LONG ISLAND POWER AUTHORITY			
*LPA-08-01-00003-P	exempt	Pole attachments and related matters	To approve revisions to the authority's tariff
*LPA-41-02-00005-P	exempt	Tariff for electric service	To revise the tariff for electric service
*LPA-04-06-00007-P	exempt	Tariff for electric service	To adopt provisions of a ratepayer protection plan
*LPA-03-10-00004-P	exempt	Residential late payment charges	To extend the application of late payment charges to residential customers
*LPA-15-18-00013-P	exempt	Outdoor area lighting	To add an option and pricing for efficient LED lamps to the Authority's outdoor area lighting
LPA-33-18-00018-P	exempt	The net energy metering and related provisions of the Authority's Tariff for Electric Service.	To conform the Tariff to orders issued in the Value of Distributed Energy Resources proceeding of the New York DPS.
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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
METROPOLITAN TRANSPORTATION AGENCY			
MTA-23-19-00006-EP	06/04/20	Debarment of contractors	To comply with Public Authorities Law, section 1279-h, which requires the MTA to establish a debarment process for contractors
MOTOR VEHICLES, DEPARTMENT OF			
MTV-25-19-00011-P	06/18/20	Alcohol & Drug Rehabilitation Programs - Restricted Use License eligibility provision	Conforms regulation with statute
MTV-27-19-00011-P	07/02/20	Limited Use Vehicles - provides that number of characters in a VIN be in conformance with Federal standards.	conforms regulation with statute
MTV-27-19-00012-P	07/02/20	Private Service Bureaus-employment of persons who've been convicted of a crime in accordance with Article 23-A of Correction Law	conforms regulation with statute
MTV-27-19-00013-P	07/02/20	Driving Schools-relates to employment of persons convicted of a crime in accordance with Article 23-A of Correction Law.	conforms regulation with statute
NIAGARA FALLS WATER BOARD			
*NFW-04-13-00004-EP	exempt	Adoption of Rates, Fees and Charges	To pay for the increased costs necessary to operate, maintain and manage the system, and to achieve covenants with bondholders
*NFW-13-14-00006-EP	exempt	Adoption of Rates, Fees and Charges	To pay for increased costs necessary to operate, maintain and manage the system and to achieve covenants with the bondholders
NFW-01-19-00019-EP	exempt	Adoption of Rates, Fees, and Charges	To pay for increased costs necessary to operate, maintain, and manage the system, and to meet covenants with the bondholders
OGDENSBURG BRIDGE AND PORT AUTHORITY			
OBA-33-18-00019-P	exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit.
OBA-07-19-00019-P	exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-22-19-00010-P	05/28/20	Person Centered Planning: Care Management and Home and Community Based Services	To ensure consistency with person-centered planning regulations
PDD-23-19-00002-EP	06/04/20	Enrollment in Medicare Prescription Drug Plans and Fully Integrated Duals Advantage Plans for IDD	To allow individuals to be enrolled in a FIDA-IDD plan when individuals are unable to enroll themselves
PDD-31-19-00006-P	07/30/20	Procedures for the Control of Tuberculosis	To modify the tuberculosis testing requirements for service recipients only receiving clinical services within an Art 16 clinic

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
POWER AUTHORITY OF THE STATE OF NEW YORK			
*PAS-01-10-00010-P	exempt	Rates for the sale of power and energy	Update ECSB Programs customers' service tariffs to streamline them/include additional required information
PUBLIC SERVICE COMMISSION			
*PSC-09-99-00012-P	exempt	Transfer of books and records by Citizens Utilities Company	To relocate Ogden Telephone Company's books and records out-of-state
*PSC-15-99-00011-P	exempt	Electronic tariff by Woodcliff Park Corp.	To replace the company's current tariff with an electronic tariff
*PSC-12-00-00001-P	exempt	Winter bundled sales service election date by Central Hudson Gas & Electric Corporation	To revise the date
*PSC-44-01-00005-P	exempt	Annual reconciliation of gas costs by Corning Natural Gas Corporation	To authorize the company to include certain gas costs
*PSC-07-02-00032-P	exempt	Uniform business practices	To consider modification
*PSC-36-03-00010-P	exempt	Performance assurance plan by Verizon New York	To consider changes
*PSC-40-03-00015-P	exempt	Receipt of payment of bills by St. Lawrence Gas Company	To revise the process
*PSC-41-03-00010-P	exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-41-03-00011-P	exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-44-03-00009-P	exempt	Retail access data between jurisdictional utilities	To accommodate changes in retail access market structure or commission mandates
*PSC-02-04-00008-P	exempt	Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York	To rehear the Nov. 25, 2003 order
*PSC-06-04-00009-P	exempt	Transfer of ownership interest by SCS Energy LLC and AE Investors LLC	To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC
*PSC-10-04-00005-P	exempt	Temporary protective order	To consider adopting a protective order
*PSC-10-04-00008-P	exempt	Interconnection agreement between Verizon New York Inc. and VIC-RMTS-DC, L.L.C. d/b/a Verizon Avenue	To amend the agreement
*PSC-14-04-00008-P	exempt	Submetering of natural gas service to industrial and commercial customers by Hamburg Fairgrounds	To submeter gas service to commercial customers located at the Buffalo Speedway
*PSC-15-04-00022-P	exempt	Submetering of electricity by Glenn Gardens Associates, L.P.	To permit submetering at 175 W. 87th St., New York, NY
*PSC-21-04-00013-P	exempt	Verizon performance assurance plan by Metropolitan Telecommunications	To clarify the appropriate performance level
*PSC-22-04-00010-P	exempt	Approval of new types of electricity meters by Powell Power Electric Company	To permit the use of the PE-1250 electronic meter

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PUBLIC SERVICE COMMISSION			
*PSC-22-04-00013-P	exempt	Major gas rate increase by Consolidated Edison Company of New York, Inc.	To increase annual gas revenues
*PSC-22-04-00016-P	exempt	Master metering of water by South Liberty Corporation	To waive the requirement for installation of separate water meters
*PSC-25-04-00012-P	exempt	Interconnection agreement between Frontier Communications of Ausable Valley, Inc., et al. and Sprint Communications Company, L.P.	To amend the agreement
*PSC-27-04-00008-P	exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-27-04-00009-P	exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-28-04-00006-P	exempt	Approval of loans by Dunkirk & Fredonia Telephone Company and Cassadaga Telephone Corporation	To authorize participation in the parent corporation's line of credit
*PSC-31-04-00023-P	exempt	Distributed generation service by Consolidated Edison Company of New York, Inc.	To provide an application form
*PSC-34-04-00031-P	exempt	Flat rate residential service by Emerald Green Lake Louise Marie Water Company, Inc.	To set appropriate level of permanent rates
*PSC-35-04-00017-P	exempt	Application form for distributed generation by Orange and Rockland Utilities, Inc.	To establish a new supplementary application form for customers
*PSC-43-04-00016-P	exempt	Accounts recievable by Rochester Gas and Electric Corporation	To include in its tariff provisions for the purchase of ESCO accounts recievable
*PSC-46-04-00012-P	exempt	Service application form by Consolidated Edison Company of New York, Inc.	To revise the form and make housekeeping changes
*PSC-46-04-00013-P	exempt	Rules and guidelines governing installation of metering equipment	To establish uniform statewide business practices
*PSC-02-05-00006-P	exempt	Violation of the July 22, 2004 order by Dutchess Estates Water Company, Inc.	To consider imposing remedial actions against the company and its owners, officers and directors
*PSC-09-05-00009-P	exempt	Submetering of natural gas service by Hamlet on Olde Oyster Bay	To consider submetering of natural gas to a commercial customer
*PSC-14-05-00006-P	exempt	Request for deferred accounting authorization by Freeport Electric Inc.	To defer expenses beyond the end of the fiscal year
*PSC-18-05-00009-P	exempt	Marketer Assignment Program by Consolidated Edison Company of New York, Inc.	To implement the program
*PSC-20-05-00028-P	exempt	Delivery point aggregation fee by Allied Frozen Storage, Inc.	To review the calculation of the fee
*PSC-25-05-00011-P	exempt	Metering, balancing and cashout provisions by Central Hudson Gas & Electric Corporation	To establish provisions for gas customers taking service under Service Classification Nos. 8, 9 and 11

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-27-05-00018-P	exempt	Annual reconciliation of gas costs by New York State Electric & Gas Corporation	To consider the manner in which the gas cost incentive mechanism has been applied
*PSC-41-05-00013-P	exempt	Annual reconciliation of gas expenses and gas cost recoveries by local distribution companies and municipalities	To consider the filings
*PSC-45-05-00011-P	exempt	Treatment of lost and unaccounted gas costs by Corning Natural Gas Corporation	To defer certain costs
*PSC-46-05-00015-P	exempt	Sale of real and personal property by the Brooklyn Union Gas Company d/b/a KeySpan Energy Delivery New York and Steel Arrow, LLC	To consider the sale
*PSC-47-05-00009-P	exempt	Transferral of gas supplies by Corning Natural Gas Corporation	To approve the transfer
*PSC-50-05-00008-P	exempt	Long-term debt by Saratoga Glen Hollow Water Supply Corp.	To obtain long-term debt
*PSC-04-06-00024-P	exempt	Transfer of ownership interests by Mirant NY-Gen LLC and Orange and Rockland Utilities, Inc.	To approve of the transfer
*PSC-06-06-00015-P	exempt	Gas curtailment policies and procedures	To examine the manner and extent to which gas curtailment policies and procedures should be modified and/or established
*PSC-07-06-00009-P	exempt	Modification of the current Environmental Disclosure Program	To include an attributes accounting system
*PSC-22-06-00019-P	exempt	Hourly pricing by National Grid	To assess the impacts
*PSC-22-06-00020-P	exempt	Hourly pricing by New York State Electric & Gas Corporation	To assess the impacts
*PSC-22-06-00021-P	exempt	Hourly pricing by Rochester Gas & Electric Corporation	To assess the impacts
*PSC-22-06-00022-P	exempt	Hourly pricing by Consolidated Edison Company of New York, Inc.	To assess the impacts
*PSC-22-06-00023-P	exempt	Hourly pricing by Orange and Rockland Utilities, Inc.	To assess the impacts
*PSC-24-06-00005-EP	exempt	Supplemental home energy assistance benefits	To extend the deadline to Central Hudson's low-income customers
*PSC-25-06-00017-P	exempt	Purchased power adjustment by Massena Electric Department	To revise the method of calculating the purchased power adjustment and update the factor of adjustment
*PSC-34-06-00009-P	exempt	Inter-carrier telephone service quality standards and metrics by the Carrier Working Group	To incorporate appropriate modifications
*PSC-37-06-00015-P	exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures

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PUBLIC SERVICE COMMISSION			
*PSC-37-06-00017-P	exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-43-06-00014-P	exempt	Electric delivery services by Strategic Power Management, Inc.	To determine the proper mechanism for the rate-recovery of costs
*PSC-04-07-00012-P	exempt	Petition for rehearing by Orange and Rockland Utilities, Inc.	To clarify the order
*PSC-06-07-00015-P	exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for electric service
*PSC-06-07-00020-P	exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for gas service
*PSC-11-07-00010-P	exempt	Investigation of the electric power outages by the Consolidated Edison Company of New York, Inc.	To implement the recommendations in the staff's investigation
*PSC-11-07-00011-P	exempt	Storm-related power outages by Consolidated Edison Company of New York, Inc.	To modify the company's response to power outages, the timing for any such changes and other related matters
*PSC-17-07-00008-P	exempt	Interconnection agreement between Verizon New York Inc. and BridgeCom International, Inc.	To amend the agreement
*PSC-18-07-00010-P	exempt	Existing electric generating stations by Independent Power Producers of New York, Inc.	To repower and upgrade existing electric generating stations owned by Rochester Gas and Electric Corporation
*PSC-20-07-00016-P	exempt	Tariff revisions and making rates permanent by New York State Electric & Gas Corporation	To seek rehearing
*PSC-21-07-00007-P	exempt	Natural Gas Supply and Acquisition Plan by Corning Natural Gas Corporation	To revise the rates, charges, rules and regulations for gas service
*PSC-22-07-00015-P	exempt	Demand Side Management Program by Consolidated Edison Company of New York, Inc.	To recover incremental program costs and lost revenue
*PSC-23-07-00022-P	exempt	Supplier, transportation, balancing and aggregation service by National Fuel Gas Distribution Corporation	To explicitly state in the company's tariff that the threshold level of elective upstream transmission capacity is a maximum of 112,600 Dth/day of marketer-provided upstream capacity
*PSC-24-07-00012-P	exempt	Gas Efficiency Program by the City of New York	To consider rehearing a decision establishing a Gas Efficiency Program
*PSC-39-07-00017-P	exempt	Gas bill issuance charge by New York State Electric & Gas Corporation	To create a gas bill issuance charge unbundled from delivery rates
*PSC-41-07-00009-P	exempt	Submetering of electricity rehearing	To seek reversal
*PSC-42-07-00012-P	exempt	Energy efficiency program by Orange and Rockland Utilities, Inc.	To consider any energy efficiency program for Orange and Rockland Utilities, Inc.'s electric service
*PSC-42-07-00013-P	exempt	Revenue decoupling by Orange and Rockland Utilities, Inc.	To consider a revenue decoupling mechanism for Orange and Rockland Utilities, Inc.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-45-07-00005-P	exempt	Customer incentive programs by Orange and Rockland Utilities, Inc.	To establish a tariff provision
*PSC-02-08-00006-P	exempt	Additional central office codes in the 315 area code region	To consider options for making additional codes
*PSC-03-08-00006-P	exempt	Rehearing of the accounting determinations	To grant or deny a petition for rehearing of the accounting determinations
*PSC-04-08-00010-P	exempt	Granting of easement rights on utility property by Central Hudson Gas & Electric Corporation	To grant easement rights to Millennium Pipeline Company, L.L.C.
*PSC-04-08-00012-P	exempt	Marketing practices of energy service companies by the Consumer Protection Board and New York City Department of Consumer Affairs	To consider modifying the commission's regulation over marketing practices of energy service companies
*PSC-08-08-00016-P	exempt	Transfer of ownership by Entergy Nuclear Fitzpatrick LLC, et al.	To consider the transfer
*PSC-12-08-00019-P	exempt	Extend the provisions of the existing electric rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-12-08-00021-P	exempt	Extend the provisions of the existing gas rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-13-08-00011-P	exempt	Waiver of commission policy and NYSEG tariff by Turner Engineering, PC	To grant or deny Turner's petition
*PSC-13-08-00012-P	exempt	Voltage drops by New York State Electric & Gas Corporation	To grant or deny the petition
*PSC-23-08-00008-P	exempt	Petition requesting rehearing and clarification of the commission's April 25, 2008 order denying petition of public utility law project	To consider whether to grant or deny, in whole or in part, the May 7, 2008 Public Utility Law Project (PULP) petition for rehearing and clarification of the commission's April 25, 2008 order denying petition of Public Utility Law Project
*PSC-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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-36-08-00019-P	exempt	Land Transfer in the Borough of Manhattan, New York	To consider petition for transfer of real property to NYPH
*PSC-39-08-00010-P	exempt	RG&E's economic development plan and tariffs	Consideration of the approval of RG&E's economic development plan and tariffs
*PSC-40-08-00010-P	exempt	Loans from regulated company to its parent	To determine if the cash management program resulting in loans to the parent should be approved
*PSC-41-08-00009-P	exempt	Transfer of control of cable TV franchise	To determine if the transfer of control of Margaretville's cable TV subsidiary should be approved
*PSC-43-08-00014-P	exempt	Annual Reconcilliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-46-08-00008-P	exempt	Property transfer in the Village of Avon, New York	To consider a petition for the transfer of street lighting and attached equipment to the Village of Avon, New York
*PSC-46-08-00010-P	exempt	A transfer of indirect ownership interests in nuclear generation facilities	Consideration of approval of a transfer of indirect ownership interests in nuclear generation facilities
*PSC-46-08-00014-P	exempt	The attachment of cellular antennae to an electric transmission tower	To approve, reject or modify the request for permission to attach cellular antennae to an electric transmission tower
*PSC-48-08-00005-P	exempt	A National Grid high efficiency gas heating equipment rebate program	To expand eligibility to customers converting from oil to natural gas
*PSC-48-08-00008-P	exempt	Petition for the master metering and submetering of electricity	To consider the request of Bay City Metering, to master meter & submeter electricity at 345 E. 81st St., New York, New York
*PSC-48-08-00009-P	exempt	Petition for the submetering of electricity	To consider the request of PCV/ST to submeter electricity at Peter Cooper Village & Stuyvesant Town, New York, New York
*PSC-50-08-00018-P	exempt	Market Supply Charge	A study on the implementation of a revised Market Supply Charge
*PSC-51-08-00006-P	exempt	Commission's October 27, 2008 Order on Future of Retail Access Programs in Case 07-M-0458	To consider a Petition for rehearing of the Commission's October 27, 2008 Order in Case 07-M-0458
*PSC-51-08-00007-P	exempt	Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078	To consider Petitions for rehearing of the Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078
*PSC-53-08-00011-P	exempt	Use of deferred Rural Telephone Bank funds	To determine if the purchase of a softswitch by Hancock is an appropriate use of deferred Rural Telephone Bank funds
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-01-09-00015-P	exempt	FCC decision to redefine service area of Citizens/Frontier	Review and consider FCC proposed redefinition of Citizens/Frontier service area
*PSC-02-09-00010-P	exempt	Competitive classification of independent local exchange company, and regulatory relief appropriate thereto	To determine if Chazy & Westport Telephone Corporation more appropriately belongs in scenario 1 rather than scenario 2
*PSC-05-09-00008-P	exempt	Revenue allocation, rate design, performance metrics, and other non-revenue requirement issues	To consider any remaining non-revenue requirement issues related to the Company's May 9, 2008 tariff filing
*PSC-05-09-00009-P	exempt	Numerous decisions involving the steam system including cost allocation, energy efficiency and capital projects	To consider the long term impacts on steam rates and on public policy of various options concerning the steam system
*PSC-06-09-00007-P	exempt	Interconnection of the networks between Frontier Comm. and WVT Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier Comm. and WVT Comm.
*PSC-07-09-00015-P	exempt	Transfer certain utility assets located in the Town of Montgomery from plant held for future use to non-utility property	To consider the request to transfer certain utility assets located in the Town of Montgomery to non-utility assets
*PSC-07-09-00017-P	exempt	Request for authorization to defer the incremental costs incurred in the restoration work resulting from the ice storm	To allow the company to defer the incremental costs incurred in the restoration work resulting from the ice storm
*PSC-07-09-00018-P	exempt	Whether to permit the submetering of natural gas service to an industrial and commercial customer at Cooper Union, New York, NY	To consider the request of Cooper Union, to submeter natural gas at 41 Cooper Square, New York, New York
*PSC-12-09-00010-P	exempt	Charges for commodity	To charge customers for commodity costs
*PSC-12-09-00012-P	exempt	Charges for commodity	To charge customers for commodity costs
*PSC-13-09-00008-P	exempt	Options for making additional central office codes available in the 718/347 numbering plan area	To consider options for making additional central office codes available in the 718/347 numbering plan area
*PSC-14-09-00014-P	exempt	The regulation of revenue requirements for municipal utilities by the Public Service Commission	To determine whether the regulation of revenue requirements for municipal utilities should be modified
*PSC-16-09-00010-P	exempt	Petition for the submetering of electricity	To consider the request of AMPS on behalf of Park Imperial to submeter electricity at 230 W. 56th Street, in New York, New York
*PSC-16-09-00020-P	exempt	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity
*PSC-17-09-00010-P	exempt	Whether to permit the use of Elster REX2 solid state electric meter for use in residential and commerical accounts	To permit electric utilities in New York State to use the Elster REX2
*PSC-17-09-00011-P	exempt	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-17-09-00012-P	exempt	Petition for the submetering of gas at commercial property	To consider the request of Turner Construction, to submeter natural gas at 550 Short Ave., & 10 South St., Governors Island, NY
*PSC-17-09-00014-P	exempt	Benefit-cost framework for evaluating AMI programs prepared by the DPS Staff	To consider a benefit-cost framework for evaluating AMI programs prepared by the DPS Staff
*PSC-17-09-00015-P	exempt	The construction of a tower for wireless antennas on land owned by National Grid	To approve, reject or modify the petition to build a tower for wireless antennas in the Town of Onondaga
*PSC-18-09-00012-P	exempt	Petition for rehearing of Order approving the submetering of electricity	To consider the request of Frank Signore to rehear petition to submeter electricity at One City Place in White Plains, New York
*PSC-18-09-00013-P	exempt	Petition for the submetering of electricity	To consider the request of Living Opportunities of DePaul to submeter electricity at E. Main St. located in Batavia, New York
*PSC-18-09-00017-P	exempt	Approval of an arrangement for attachment of wireless antennas to the utility's transmission facilities in the City of Yonkers	To approve, reject or modify the petition for the existing wireless antenna attachment to the utility's transmission tower
*PSC-20-09-00016-P	exempt	The recovery of, and accounting for, costs associated with the Companies' advanced metering infrastructure (AMI) pilots etc	To consider a filing of the Companies as to the recovery of, and accounting for, costs associated with it's AMI pilots etc
*PSC-20-09-00017-P	exempt	The recovery of, and accounting for, costs associated with CHG&E's AMI pilot program	To consider a filing of CHG&E as to the recovery of, and accounting for, costs associated with it's AMI pilot program
*PSC-22-09-00011-P	exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-25-09-00005-P	exempt	Whether to grant, deny, or modify, in whole or in part, the petition	Whether to grant, deny, or modify, in whole or in part, the petition
*PSC-25-09-00006-P	exempt	Electric utility implementation plans for proposed web based SIR application process and project status database	To determine if the proposed web based SIR systems are adequate and meet requirements needed for implementation
*PSC-25-09-00007-P	exempt	Electric rates for Consolidated Edison Company of New York, Inc	Consider a Petition for Rehearing filed by Consolidated Edison Company of New York, Inc
*PSC-27-09-00011-P	exempt	Interconnection of the networks between Vernon and tw telecom of new york l.p. for local exchange service and exchange access.	To review the terms and conditions of the negotiated agreement between Vernon and tw telecom of new york l.p.
*PSC-27-09-00014-P	exempt	Billing and payment for energy efficiency measures through utility bill	To promote energy conservation
*PSC-27-09-00015-P	exempt	Interconnection of the networks between Oriskany and tw telecom of new york l.p. for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Oriskany and tw telecom of new york l.p
*PSC-29-09-00011-P	exempt	Consideration of utility compliance filings	Consideration of utility compliance filings

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-32-09-00009-P	exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-34-09-00016-P	exempt	Recommendations made in the Management Audit Final Report	To consider whether to take action or recommendations contained in the Management Audit Final Report
*PSC-34-09-00017-P	exempt	To consider the transfer of control of Plattsburgh Cablevision, Inc. d/b/a Charter Communications to CH Communications, LLC	To allow the Plattsburgh Cablevision, Inc. to distribute its equity interest in CH Communications, LLC
*PSC-36-09-00008-P	exempt	The increase in the non-bypassable charge implemented by RG&E on June 1, 2009	Considering exemptions from the increase in the non-bypassable charge implemented by RG&E on June 1, 2009
*PSC-37-09-00015-P	exempt	Sale of customer-generated steam to the Con Edison steam system	To establish a mechanism for sale of customer-generated steam to the Con Edison steam system
*PSC-37-09-00016-P	exempt	Applicability of electronic signatures to Deferred Payment Agreements	To determine whether electronic signatures can be accepted for Deferred Payment Agreements
*PSC-39-09-00015-P	exempt	Modifications to the $5 Bill Credit Program	Consideration of petition of National Grid to modify the Low Income $5 Bill Credit Program
*PSC-39-09-00018-P	exempt	The offset of deferral balances with Positive Benefit Adjustments	To consider a petition to offset deferral balances with Positive Benefit Adjustments
*PSC-40-09-00013-P	exempt	Uniform System of Accounts - request for deferral and amortization of costs	To consider a petition to defer and amortize costs
*PSC-51-09-00029-P	exempt	Rules and guidelines for the exchange of retail access data between jurisdictional utilities and eligible ESCOs	To revise the uniform Electronic Data Interchange Standards and business practices to incorporate a contest period
*PSC-51-09-00030-P	exempt	Waiver or modification of Capital Expenditure condition of merger	To allow the companies to expend less funds for capital improvement than required by the merger
*PSC-52-09-00006-P	exempt	ACE's petition for rehearing for an order regarding generator-specific energy deliverability study methodology	To consider whether to change the Order Prescribing Study Methodology
*PSC-52-09-00008-P	exempt	Approval for the New York Independent System Operator, Inc. to incur indebtedness and borrow up to $50,000,000	To finance the renovation and construction of the New York Independent System Operator, Inc.'s power control center facilities
*PSC-05-10-00008-P	exempt	Petition for the submetering of electricity	To consider the request of University Residences - Rochester, LLC to submeter electricity at 220 John Street, Henrietta, NY
*PSC-05-10-00015-P	exempt	Petition for the submetering of electricity	To consider the request of 243 West End Avenue Owners Corp. to submeter electricity at 243 West End Avenue, New York, NY
*PSC-06-10-00022-P	exempt	The Commission's Order of December 17, 2009 related to redevelopment of Consolidated Edison's Hudson Avenue generating facility	To reconsider the Commission's Order of December 17, 2009 related to redevelopment of the Hudson Avenue generating facility

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-07-10-00009-P	exempt	Petition to revise the Uniform Business Practices	To consider the RESA petition to allow rescission of a customer request to return to full utility service
*PSC-08-10-00007-P	exempt	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847
*PSC-08-10-00009-P	exempt	Consolidated Edison of New York, Inc. energy efficiency programs	To modify approved energy efficiency programs
*PSC-12-10-00015-P	exempt	Recommendations made by Staff intended to enhance the safety of Con Edison's gas operations	To require that Con Edison implement the Staff recommendations intended to enhance the safety of Con Edison's gas operations
*PSC-14-10-00010-P	exempt	Petition for the submetering of electricity	To consider the request of 61 Jane Street Owners Corporation to submeter Electricity at 61 Jane Street, Manhattan, NY
*PSC-16-10-00005-P	exempt	To consider adopting and expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-16-10-00007-P	exempt	Interconnection of the networks between TDS Telecom and PAETEC Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between TDS Telecom and PAETEC Communications
*PSC-16-10-00015-P	exempt	Interconnection of the networks between Frontier and Choice One Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier and Choice One Communications
*PSC-18-10-00009-P	exempt	Electric utility transmission right-of-way management practices	To consider electric utility transmission right-of-way management practices
*PSC-19-10-00022-P	exempt	Whether National Grid should be permitted to transfer a parcel of property located at 1 Eddy Street, Fort Edward, New York	To decide whether to approve National Grid's request to transfer a parcel of vacant property in Fort Edward, New York
*PSC-22-10-00006-P	exempt	Requirement that Noble demonstrate that its affiliated electric corporations operating in New York are providing safe service	Consider requiring that Noble demonstrate that its affiliated electric corporations in New York are providing safe service
*PSC-22-10-00008-P	exempt	Petition for the submetering of electricity	To consider the request of 48-52 Franklin Street to submeter electricity at 50 Franklin Street, New York, New York
*PSC-24-10-00009-P	exempt	Verizon New York Inc. tariff regulations relating to voice messaging service	To remove tariff regulations relating to retail voice messaging service from Verizon New York Inc.'s tariff
*PSC-25-10-00012-P	exempt	Reassignment of the 2-1-1 abbreviated dialing code	Consideration of petition to reassign the 2-1-1 abbreviated dialing code
*PSC-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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-34-10-00005-P	exempt	Approval of a contract for $250,000 in tank repairs that may be a financing	To decide whether to approve a contract between the parties that may be a financing of $250,000 for tank repairs
*PSC-34-10-00006-P	exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-36-10-00010-P	exempt	Central Hudson's procedures, terms and conditions for an economic development plan	Consideration of Central Hudson's procedures, terms and conditions for an economic development plan
*PSC-40-10-00014-P	exempt	Disposition of a state sales tax refund	To determine how much of a state sales tax refund should be retained by National Grid
*PSC-40-10-00021-P	exempt	Whether to permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall	To permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall
*PSC-41-10-00018-P	exempt	Amount of hourly interval data provided to Hourly Pricing customers who have not installed a phone line to read meter	Allow Central Hudson to provide less than a years worth of interval data and charge for manual meter reading for some customers
*PSC-41-10-00022-P	exempt	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY
*PSC-42-10-00011-P	exempt	Petition for the submetering of electricity	To consider the request of 4858 Group, LLC to submeter electricity at 456 Main Street, Buffalo, New York
*PSC-43-10-00016-P	exempt	Utility Access to Ducts, Conduit Facilities and Utility Poles	To review the complaint from Optical Communications Group
*PSC-44-10-00003-P	exempt	Third and fourth stage gas rate increase by Corning Natural Gas Corporation	To consider Corning Natural Gas Corporation's request for a third and fourth stage gas rate increase
*PSC-51-10-00018-P	exempt	Commission proceeding concerning three-phase electric service by all major electric utilities	Investigate the consistency of the tariff provisions for three-phase electric service for all major electric utilities
*PSC-11-11-00003-P	exempt	The proposed transfer of 55.42 acres of land and $1.4 million of revenues derived from the rendition of public service	The proposed transfer of 55.42 acres of land and $1.4 million of revenues derived from the rendition of public service
*PSC-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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-20-11-00013-P	exempt	Determining the reasonableness of Niagara Mohawk Power Corporation d/b/a National Grid 's make ready charges	To determine if the make ready charges of Niagara Mohawk Power Corporation d/b/a National Grid are reasonable
*PSC-22-11-00004-P	exempt	Whether to permit the use of the Sensus accWAVE for use in residential gas meter applications	To permit gas utilities in New York State to use the Sensus accWAVE diaphragm gas meter
*PSC-26-11-00007-P	exempt	Water rates and charges	To approve an increase in annual revenues by about $25,266 or 50%
*PSC-26-11-00009-P	exempt	Petition for the submetering of electricity at commercial property	To consider the request of by Hoosick River Hardwoods, LLC to submeter electricity at 28 Taylor Avenue, in Berlin, New York
*PSC-26-11-00012-P	exempt	Waiver of generation retirement notice requirements	Consideration of waiver of generation retirement notice requirements
*PSC-29-11-00011-P	exempt	Petition requesting the Commssion reconsider its May 19, 2011 Order and conduct a hearing, and petition to stay said Order.	To consider whether to grant or deny, in whole or in part, Windstream New York's Petition For Reconsideration and Rehearing.
*PSC-35-11-00011-P	exempt	Whether to permit Consolidated Edison a waiver to commission regulations Part 226.8	Permit Consolidated Edison to conduct a inspection program in lieu of testing the accuracy of Category C meters
*PSC-36-11-00006-P	exempt	To consider expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-38-11-00002-P	exempt	Operation and maintenance procedures pertaining to steam trap caps	Adopt modified steam operation and maintenance procedures
*PSC-38-11-00003-P	exempt	Waiver of certain provisions of the electric service tariffs of Con Edison	Consideration of waiver of certain provisions of the electric service tariffs of Con Edison
*PSC-40-11-00010-P	exempt	Participation of regulated local exchange carriers in the New York Data Exchange, Inc. (NYDE)	Whether to partially modify its order requiring regulated local exchange carriers' participation NYDE
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-01-12-00007-P	exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-01-12-00008-P	exempt	Transfer of real property and easements from NMPNS to NMP3	Consideration of the transfer of real property and easements from NMPNS to NMP3
*PSC-01-12-00009-P	exempt	Recovery of expenses related to the expansion of Con Edison's ESCO referral program, PowerMove	To determine how and to what extent expenses related to the Expansion of Con Edison's ESCO referral program should be recovered
*PSC-11-12-00002-P	exempt	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff
*PSC-11-12-00005-P	exempt	Transfer of land and water supply assets	Transfer the land and associated water supply assets of Groman Shores, LLC to Robert Groman
*PSC-13-12-00005-P	exempt	Authorization to transfer certain real property	To decide whether to approve the transfer of certain real property
*PSC-19-12-00023-P	exempt	Petition for approval pursuant to Section 70 for the sale of goods with an original cost of less than $100,000	To consider whether to grant, deny or modify, in whole or in part, the petition filed by Orange and Rockland Utilities, Inc.
*PSC-21-12-00006-P	exempt	Tariff filing requirements and refunds	To determine if certain agreements should be filed pursuant to the Public Service Law and if refunds are warranted
*PSC-21-12-00011-P	exempt	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47
*PSC-23-12-00007-P	exempt	The approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility	To consider the approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility
*PSC-23-12-00009-P	exempt	Over earnings sharing between rate payers and shareholders	To establish an Earnings Sharing Mechanism to be applied following the conclusion of Corning's rate plan
*PSC-27-12-00012-P	exempt	Implementation of recommendations made in a Management Audit Report	To consider implementation of recommendations made in a Management Audit Report
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-37-12-00009-P	exempt	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers
*PSC-42-12-00009-P	exempt	Regulation of Gipsy Trail Club, Inc.'s long-term financing agreements	To exempt Gipsy Trail Club, Inc. from Commission regulation of its financing agreements
*PSC-45-12-00008-P	exempt	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff
*PSC-45-12-00010-P	exempt	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District
*PSC-50-12-00003-P	exempt	Affiliate standards for Corning Natural Gas Corporation	To resolve issues raised by Corning Natural Gas Corporation in its petition for rehearing
*PSC-04-13-00006-P	exempt	Expansion of mandatory day ahead hourly pricing for customers of Orange and Rockland Utilities with demands above 100 kW	To consider the expansion of mandatory day ahead hourly pricing for customers with demands above 100 kW
*PSC-04-13-00007-P	exempt	Authorization to transfer certain real property.	To decide whether to approve the transfer of certain real property.
*PSC-06-13-00008-P	exempt	Verizon New York Inc.'s retail service quality	To investigate Verizon New York Inc.'s retail service quality
*PSC-08-13-00012-P	exempt	Filing requirements for certain Article VII electric facilities	To ensure that applications for certain electric transmission facilities contain pertinent information
*PSC-08-13-00014-P	exempt	Uniform System of Accounts - Request for Accounting Authorization	To allow the company to defer an item of expense or capital beyond the end of the year in which it was incurred
*PSC-12-13-00007-P	exempt	Protecting company water mains	To allow the company to require certain customers to make changes to the electrical grounding system at their homes
*PSC-13-13-00008-P	exempt	The potential waiver of 16 NYCRR 255.9221(d) completion of integrity assessments for certain gas transmission lines.	To determine whether a waiver of the timely completion of certain gas transmission line integrity assessments should be granted.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-21-13-00009-P	exempt	Reporting requirements for natural gas local distribution companies	To help ensure efficient and economic expansion of the natural gas system as appropriate
*PSC-22-13-00009-P	exempt	On remand from New York State court litigation, determine the recovery of certain deferred amounts owed NFG by ratepayers	On remand, to determine the recovery of certain deferral amounts owed NFG from ratepayers
*PSC-23-13-00005-P	exempt	Waiver of partial payment, directory database distribution, service quality reporting, and service termination regulations	Equalize regulatory treatment based on level of competition and practical considerations
*PSC-25-13-00008-P	exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-25-13-00009-P	exempt	Provision by utilities of natural gas main and service lines.	To help ensure efficient and economic expansion of the natural gas system as appropriate.
*PSC-25-13-00012-P	exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-27-13-00014-P	exempt	Columbia Gas Transmission Corporation Cost Refund	For approval for temporary waiver of tariff provisions regarding its Columbia Gas Transmission Corporation cost refund.
*PSC-28-13-00014-P	exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-28-13-00016-P	exempt	The request of NGT for lightened regulation as a gas corporation.	To consider whether to approve, reject, or modify the request of Niagara gas transport of Lockport, NY LLC.
*PSC-28-13-00017-P	exempt	The request by TE for waiver of regulations requiring that natural gas be odorized in certain gathering line segments	Consider the request by TE for waiver of regulations that gas be odorized in certain lines
*PSC-32-13-00009-P	exempt	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices
*PSC-32-13-00012-P	exempt	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-43-13-00015-P	exempt	Petition for submetering of electricity	To consider the request of 2701 Kingsbridge Terrace L.P. to submeter electricity at 2701 Kingsbridge Terrace, Bronx, N.Y.
*PSC-45-13-00021-P	exempt	Investigation into effect of bifurcation of gas and electric utility service on Long Island.	To consider a Petition for an investigation into effect of bifurcation of gas and electric utility service on Long Island.
*PSC-45-13-00022-P	exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4)	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00023-P	exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00024-P	exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4); waiver of filing deadlines.	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00025-P	exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-47-13-00009-P	exempt	Petition for submetering of electricity.	To consider the request of Hegeman Avenue Housing L.P. to submeter electricity at 39 Hegeman Avenue, Brooklyn, N.Y.
*PSC-47-13-00012-P	exempt	Conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.	Consideration of conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.
*PSC-49-13-00008-P	exempt	Authorization to transfer all of Crystal Water Supply Company, Inc. stocks to Essel Infra West Inc.	To allow Crystal Water Supply Company, Inc to transfer all of its issued and outstanding stocks to Essel Infra West Inc.
*PSC-51-13-00009-P	exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00010-P	exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00011-P	exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-07-14-00012-P	exempt	Water rates and charges	Implementation of Long-Term Water Supply Surcharge to recover costs associated with the Haverstraw Water Supply Project
*PSC-08-14-00015-P	exempt	Verizon New York Inc.'s service quality and Customer Trouble Report Rate (CTRR) levels at certain central office entities	To improve Verizon New York Inc.'s service quality andthe Customer Trouble Report Rate levels at certain central office entities
*PSC-10-14-00006-P	exempt	Actions to facilitate the availability of ESCO value-added offerings, ESCO eligibility and ESCO compliance	To facilitate ESCO value-added offerings and to make changes to ESCO eligibility and to ensure ESCO compliance
*PSC-11-14-00003-P	exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-16-14-00014-P	exempt	Whether to order NYSEG to provide gas service to customers when an expanded CPCN is approved and impose PSL 25-a penalties.	To order gas service to customers in the Town of Plattsburgh after approval of a town wide CPCN and to impose penalties.
*PSC-16-14-00015-P	exempt	Whether Central Hudson should be permitted to defer obligations of the Order issued on October 18, 2013 in Case 13-G-0336.	Consideration of the petition by Central Hudson to defer reporting obligations of the October 18, 2013 Order in Case 13-G-0336
*PSC-17-14-00003-P	exempt	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism
*PSC-17-14-00004-P	exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00007-P	exempt	To consider petitions for rehearing, reconsideration and/or clarification	To consider petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00008-P	exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-19-14-00014-P	exempt	Market Supply Charge	To make tariff revisions to the Market Supply Charge for capacity related costs
*PSC-19-14-00015-P	exempt	Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications	To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter
*PSC-22-14-00013-P	exempt	Petition to transfer and merge systems, franchises and assets.	To consider the Comcast and Time Warner Cable merger and transfer of systems, franchises and assets.
*PSC-23-14-00010-P	exempt	Whether to permit the use of the GE Dresser Series B3-HPC 11M-1480 rotary gas met for use in industrial gas meter applications	To permit gas utilities in New York State to use the GE Dresser Series B3-HPC 11M-1480 rotary gas meter
*PSC-23-14-00014-P	exempt	Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric	Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric
*PSC-24-14-00005-P	exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*PSC-26-14-00013-P	exempt	Waiver of RG&E's tariffed definition of emergency generator.	To consider waiver of RG&E's tariffed definition of emergency generator.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-26-14-00020-P	exempt	New electric utility backup service tariffs and standards for interconnection may be adopted.	To encourage development of microgrids that enhance the efficiency, safety, reliability and resiliency of the electric grid.
*PSC-26-14-00021-P	exempt	Consumer protections, standards and protocols pertaining to access to customer data may be established.	To balance the need for the information necessary to support a robust market with customer privacy concerns.
*PSC-28-14-00014-P	exempt	Petition to transfer systems, franchises and assets.	To consider the Comcast and Charter transfer of systems, franchise and assets.
*PSC-30-14-00023-P	exempt	Whether to permit the use of the Sensus iPERL Fire Flow Meter.	Pursuant to 16 NYCRR Part 500.3 , it is necessary to permit the use of the Sensus iPERL Fire Flow Meter.
*PSC-30-14-00026-P	exempt	Petition for a waiver to master meter electricity.	Considering the request of Renaissance Corporation of to master meter electricity at 100 Union Drive,Albany, NY.
*PSC-31-14-00004-P	exempt	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross
*PSC-32-14-00012-P	exempt	Whether to grant or deny, in whole or in part, the Connect New York Coalition's petition	To consider the Connect New York Coalition's petition seeking a formal investigation and hearings
*PSC-35-14-00004-P	exempt	Regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY	To consider regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY
*PSC-35-14-00005-P	exempt	Whether to permit the use of the Sensus iConA electric meter	Pursuant to 16 NYCRR Parts 92 and 93, Commission approval is necessary to permit the use of the Sensus iConA electric meter
*PSC-36-14-00009-P	exempt	Modification to the Commission's Electric Safety Standards.	To consider revisions to the Commission's Electric Safety Standards.
*PSC-38-14-00003-P	exempt	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-38-14-00012-P	exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-39-14-00020-P	exempt	Whether to permit the use of the Mueller Systems 400 Series and 500 Series of water meters	Pursuant to 16 NYCRR section 500.3, whether to permit the use of the Mueller Systems 400, and 500 Series of water meters
*PSC-40-14-00008-P	exempt	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.
*PSC-40-14-00009-P	exempt	Whether to permit the use of the Itron Open Way Centron Meter with Hardware 3.1 for AMR and AMI functionality.	Pursuant to 16 NYCRR Parts 93, is necessary to permit the use of the Itron Open Way Centron Meter with Hardware 3.1.
*PSC-40-14-00011-P	exempt	Late Payment Charge.	To modify Section 7.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-40-14-00013-P	exempt	Regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.	To consider regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.
*PSC-40-14-00014-P	exempt	Waiver of 16 NYCRR Sections 894.1 through 894.4(b)(2)	To allow the Town of Goshen, NY, to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-40-14-00015-P	exempt	Late Payment Charge.	To modify Section 6.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-42-14-00003-P	exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-42-14-00004-P	exempt	Winter Bundled Sales Service Option	To modify SC-11 to remove language relating to fixed storage charges in the determination of the Winter Bundled Sales charge
*PSC-48-14-00014-P	exempt	Considering the recommendations contained in Staff' s electric outage investigation report for MNRR, New Haven Line.	To consider the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.
*PSC-52-14-00019-P	exempt	Petition for a waiver to master meter electricity.	Considering the request of 614 South Crouse Avenue, LLC to master meter electricity at 614 South Crouse Avenue, Syracuse, NY..
*PSC-01-15-00014-P	exempt	State Universal Service Fund Disbursements	To consider Edwards Telephone Company's request for State Universal Service Fund disbursements
*PSC-08-15-00009-P	exempt	Approval of a surcharge.	To allow or disallow Emerald Green Lake Louise Marie Water Company, Inc. for a surcharge.
*PSC-08-15-00010-P	exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-10-15-00007-P	exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds
*PSC-10-15-00008-P	exempt	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes
*PSC-13-15-00024-P	exempt	Whether Leatherstocking should be permitted to recover a shortfall in earnings	To decide whether to approve Leatherstocking's request to recover a shortfall in earnings
*PSC-13-15-00026-P	exempt	Whether to permit the use of the Sensus Smart Point Gas AMR/AMI product	To permit the use of the Sensus Smart Point Gas AMR/AMI product
*PSC-13-15-00027-P	exempt	Whether to permit the use of the Measurlogic DTS 310 electric submeter	To permit the use of the Measurlogic DTS 310 submeter
*PSC-13-15-00028-P	exempt	Whether to permit the use of the SATEC EM920 electric meter	To permit necessary to permit the use of the SATEC EM920 electric meter
*PSC-13-15-00029-P	exempt	Whether to permit the use the Triacta Power Technologies 6103, 6112, 6303, and 6312 electric submeters	To permit the use of the Triacta submeters
*PSC-17-15-00007-P	exempt	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of $2.75 million	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of $2.75 million
*PSC-18-15-00005-P	exempt	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism
*PSC-19-15-00011-P	exempt	Gas Safety Performance Measures and associated negative revenue adjustments	To update the performance measures applicable to KeySpan Gas East Corporation d/b/a National Grid
*PSC-22-15-00015-P	exempt	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)
*PSC-23-15-00005-P	exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-23-15-00006-P	exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-33-15-00012-P	exempt	Remote net metering of a Community Solar Demonstration Project.	To consider approval of remote net metering of a Community Solar Demonstration Project.
*PSC-34-15-00021-P	exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs
*PSC-35-15-00014-P	exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
*PSC-37-15-00007-P	exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
*PSC-40-15-00014-P	exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93
*PSC-42-15-00006-P	exempt	Deferral of incremental expenses associated with NERC's new Bulk Electric System (BES) compliance requirements approved by FERC.	Consideration of Central Hudson's request to defer incremental expenses associated with new BES compliance requirements.
*PSC-44-15-00028-P	exempt	Deferral of incremental expenses associated with new compliance requirements	Consideration of Central Hudson's request to defer incremental expenses associated with new compliance requirements
*PSC-47-15-00013-P	exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
*PSC-48-15-00010-P	exempt	Lightened and incidental regulation of a 55 MW electric and steam generating facility.	Consider the lightened and incidental regulation of a 55 MW electric and steam generating facility.
*PSC-48-15-00011-P	exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
*PSC-50-15-00006-P	exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
*PSC-50-15-00009-P	exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
*PSC-51-15-00010-P	exempt	Modification of the EDP	To consider modifying the EDP
*PSC-01-16-00005-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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-06-16-00013-P	exempt	Continued deferral of approximately $16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately $16,000,000 in site investigation and remediation costs.
*PSC-06-16-00014-P	exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.
*PSC-14-16-00008-P	exempt	Resetting retail markets for ESCO mass market customers.	To ensure consumer protections with respect to residential and small non-residential ESCO customers.
*PSC-18-16-00013-P	exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00014-P	exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00015-P	exempt	Petitions for rehearing of the Order Resetting Retail Energy Markets and Establishing Further Process.	To ensure consumer protections for ESCO customers.
*PSC-18-16-00016-P	exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00018-P	exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-20-16-00008-P	exempt	Consideration of consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).	To consider consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).
*PSC-20-16-00010-P	exempt	Deferral and recovery of incremental expense.	To consider deferring costs of conducting leak survey and repairs for subsequent recovery.
*PSC-20-16-00011-P	exempt	Enetics LD-1120 Non-Intrusive Load Monitoring Device in the Statewide Residential Appliance Metering Study.	To consider the use of the Enetics LD-1120 Non-Intrusive Load Monitoring Device.
*PSC-24-16-00009-P	exempt	Petition to submeter gas service.	To consider the Petition of New York City Economic Development Corp. to submeter gas at Pier 17, 89 South Street, New York, NY.
*PSC-25-16-00009-P	exempt	To delay Companies' third-party assessments of customer personally identifiable information until 2018.	To extend the time period between the Companies' third-party assessments of customer personally identifiable information.
*PSC-25-16-00025-P	exempt	Acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.	To consider acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-32-16-00012-P	exempt	Benefit-Cost Analysis Handbooks.	To evaluate proposed methodologies of benefit-cost evaluation.
*PSC-33-16-00001-EP	exempt	Use of escrow funds for repairs.	To authorize the use of escrow account funds for repairs.
*PSC-33-16-00005-P	exempt	Exemption from certain charges for delivery of electricity to its Niagara Falls, New York facility.	Application of System Benefits Charges, Renewable Portfolio Standard charges and Clean Energy Fund surcharges.
*PSC-35-16-00015-P	exempt	NYSRC's revisions to its rules and measurements	To consider revisions to various rules and measurements of the NYSRC
*PSC-36-16-00004-P	exempt	Recovery of costs for installation of electric service.	To consider the recovery of costs for installation of electric service.
*PSC-40-16-00025-P	exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Smart One for its apparent non-compliance with Commission requirements.
*PSC-47-16-00009-P	exempt	Petition to use commercial electric meters	To consider the petition of Itron, Inc. to use the Itron CP2SO and CP2SOA in commercial electric meter applications
*PSC-47-16-00010-P	exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00013-P	exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00014-P	exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00016-P	exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-02-17-00010-P	exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for RG&E.
*PSC-02-17-00012-P	exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for NYSEG.
*PSC-14-17-00017-P	exempt	Petition for Full-Scale Deployment of AMI and to Establish an AMI Surcharge.	To consider the petition for Full-Scale Deployment of AMI and to Establish an AMI Surcharge.
*PSC-18-17-00024-P	exempt	A petition for rehearing or reconsideration of the Order Addressing Public Policy Transmission Need for AC Transmission Upgrades	To determine whether Public Policy Transmission Need/Public Policy Requirements continue to exist.
*PSC-18-17-00026-P	exempt	Revisions to the Dynamic Load Management surcharge.	To consider revisions to the Dynamic Load Management surcharge.
*PSC-19-17-00004-P	exempt	NYAW's request to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2016.	Consideration of NYAW's petition to defer and amortize, for future rate recognition, pension payour losses incurred in 2016.
*PSC-20-17-00008-P	exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid NY regarding the potential for adoption of compressed natural gas as a motor fuel.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-20-17-00010-P	exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-21-17-00013-P	exempt	The establishment and implementation of Earnings Adjustment Mechanisms.	To consider the establishment and implementation of Earnings Adjustment Mechanisms.
*PSC-21-17-00018-P	exempt	Proposed agreement for the provision of water service by Saratoga Water Services, Inc.	To consider a waiver and approval of terms of a service agreement.
*PSC-22-17-00004-P	exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives	To consider the proposed Interconnection Survey Process and Earnings Adjustment Mechanisms
*PSC-23-17-00022-P	exempt	Changes in regulation of ESCOs, including restrictions on or prohibitions of marketing or offering certain products or services.	To ensure consumer protection for ESCO customers.
*PSC-24-17-00006-P	exempt	Development of the Utility Energy Registry.	Improved data access.
*PSC-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-37-17-00006-P	exempt	Petition to submeter electricity.	To consider the petition of ACC OP (Park Point SU) LLC to submeter electricity at 417 Comstock Avenue, Syracuse, New York.
*PSC-39-17-00011-P	exempt	Whether to direct New York State Electric & Gas to complete electric facility upgrades at no charge to Hanehan.	To determine financial responsibility between NYSEG and Hanehan for the electric service upgrades to Hanehan.
*PSC-40-17-00006-P	exempt	The aggregation of electric service for the Empire State Plaza and the Sheridan Avenue Steam Plant	To consider a waiver of National Grid's tariff provision requiring all electric delivery points to be on the same premises
*PSC-42-17-00010-P	exempt	Petition for rehearing of negative revenue adjustment and contents of annual Performance Report.	To consider NFGD's petition for rehearing.
*PSC-48-17-00015-P	exempt	Low Income customer options for affordable water bills.	To consider the Low Income Bill Discount and/or Energy Efficiency Rebate Programs.
*PSC-50-17-00017-P	exempt	New Wave Energy Corp.'s petition for rehearing.	To consider the petition for rehearing filed by New Wave Energy Corp.
*PSC-50-17-00018-P	exempt	Application of the Public Service Law to DER suppliers.	To determine the appropriate regulatory framework for DER suppliers.
*PSC-50-17-00019-P	exempt	Transfer of utility property.	To consider the transfer of utility property.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-50-17-00021-P	exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
*PSC-50-17-00022-P	exempt	Data protection rules for DER suppliers.	To determine the appropriate regulatory framework for DER suppliers.
*PSC-51-17-00011-P	exempt	Petition for recovery of certain costs related to the implementation of a Non-Wires Alternative Project.	To consider Con Edison's petition for the recovery of costs for implementing the JFK Project.
*PSC-04-18-00005-P	exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Montante/ Morgan Gates Circle LLC to submeter electricity.
*PSC-05-18-00004-P	exempt	Lexington Power's ZEC compliance obligation.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-06-18-00012-P	exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
*PSC-06-18-00017-P	exempt	Merger of NYAW and Whitlock Farms Water Corp.	To consider the merger of NYAW and Whitlock Farms Water Company into a single corporate entity
*PSC-07-18-00015-P	exempt	The accuracy and reasonableness of National Grid's billing for certain interconnection upgrades.	To consider AEC's petition requesting resolution of their billing dispute with National Grid.
*PSC-11-18-00004-P	exempt	New York State Lifeline Program.	To consider TracFone's petition seeking approval to participate in Lifeline.
*PSC-13-18-00015-P	exempt	Eligibility of an ESCO to market to and enroll residential customers.	To consider whether Astral should be allowed to market to and enroll residential customers following a suspension.
*PSC-13-18-00023-P	exempt	Reconciliation of property taxes.	To consider NYAW's request to reconcile property taxes.
*PSC-14-18-00006-P	exempt	Petition for abandonment	To consider the abandonment of Willsboro Bay Water Company's water system
*PSC-15-18-00008-P	exempt	Amendments to the Uniform Business Practices.	Consideration of revised consumer protections and business practices of energy service companies.
*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 Aspirity for its non-compliance with Commission requirements.	To ensure the provision of safe and adequate energy service at just and reasonable rates.
*PSC-23-18-00014-P	exempt	Proposed major rate increase of approximately $11.7 million to cover its Franklin and St. Lawrence Counties expansion project.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-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-30-18-00004-P	exempt	Ownership of St. Lawrence Gas Company, Inc.	To consider whether a proposed transfer of ownership interests in St. Lawrence Gas Company, Inc. is in the public interest.
PSC-31-18-00011-P	exempt	Petition for the use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-34-18-00011-P	exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-34-18-00015-P	exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and energy efficiency protections are in place.
PSC-34-18-00016-P	exempt	Deferral of pre-staging and mobilization storm costs.	To ensure just and reasonable rates for ratepayers and utility recovery of unexpected, prudently incurred costs.
PSC-35-18-00003-P	exempt	Con Edison's 2018 DSIP and BCA Handbook Update.	To continue Con Edison's transition to a modern utility serving as a Distributed System Platform Provider.
PSC-35-18-00005-P	exempt	NYSEG and RG&E's 2018 DSIP and BCA Handbook Update.	To continue NYSEG and RG&E's transition to modern utilities acting as Distributed System Platform Providers.
PSC-35-18-00006-P	exempt	National Grid's 2018 DSIP and BCA Handbook Update.	To continue National Grid's transition to a modern utility serving as a Distributed System Platform Provider.
PSC-35-18-00008-P	exempt	Central Hudson's 2018 DSIP and BCA Handbook Update.	To continue Central Hudson's transition to a modern utility serving as a Distributed System Platform Provider.
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-36-18-00005-P	exempt	Permanent operator of gas wells and certain gas facilities.	To resolve ownership of overlapping gas facilities associated with wells transferred to two gas companies.
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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-40-18-00015-P	exempt	Proposed rate filing to increase annual revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
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-44-18-00012-P	exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
PSC-44-18-00013-P	exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
PSC-44-18-00016-P	exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
PSC-45-18-00004-P	exempt	Proposed transfer of two natural gas pipeline operating companies, and for lightened and incidental regulation	To consider transfer if there is no market power or ratepayer harm, incidental regulation, and continuing lightened regulation
PSC-45-18-00005-P	exempt	Notice of intent to submeter electricity and waiver of energy audit	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place
PSC-46-18-00005-P	exempt	Proposed rate filing to increase annual revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-47-18-00007-P	exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer 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-50-18-00003-P	exempt	Proposed transfer of interests in an electric generating facility and dedicated natural gas pipeline	To consider the transfer of generating facility and dedicated gas pipeline if there is no market power or ratepayer harm
PSC-52-18-00008-P	exempt	Minor rate filing.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-52-18-00011-P	exempt	LED Street Lighting.	To provide customers with more efficient, lower cost LED street lighting options.
PSC-52-18-00012-P	exempt	Minor rate filing.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-01-19-00014-P	exempt	To modify provisions for accepting new or additional gas service applications when there is inadequate supply or capacity.	To continue to provide safe and reliable service to existing customers.
PSC-01-19-00015-P	exempt	To modify provisions for accepting new or additional gas service applications when there is inadequate supply or capacity.	To continue to provide safe and reliable service to existing customers.
PSC-01-19-00016-P	exempt	To modify provisions for accepting new or additional gas service applications when there is inadequate supply or capacity.	To continue to provide safe and reliable service to existing customers.
PSC-02-19-00014-P	exempt	Petition for use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-03-19-00002-P	exempt	DPS Staff White Paper for who must be trained in 16 NYCRR Part 753 requirements and how the Commission will approve trainings.	To reduce damage to underground utility facilities by requiring certain training and approving training curricula.
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-05-19-00009-P	exempt	Transfer of street lighting facilities	To consider whether the transfer of certain street lighting facilities is in the public interest
PSC-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-07-19-00010-P	exempt	The rates and charges for non-roadway LED service offerings for outdoor lighting customers.	To determine whether to amend National Grid's P.S.C. No. 214 - Outdoor Lighting Tariff to provide new LED service offerings.
PSC-07-19-00016-P	exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
PSC-09-19-00007-P	exempt	Exemptions from standby rates.	To consider whether the standby rate exemptions proposed by the City of New York are reasonable and in the public interest.
PSC-09-19-00009-P	exempt	Amendments to the tariff of Con Edison pertaining to interruptible gas service customers.	To consider the appropriate tariff provisions for Con Edison interruptible gas service customers.
PSC-09-19-00010-P	exempt	Non-pipeline alternatives report recommendations.	To consider the terms and conditions applicable to gas service.
PSC-09-19-00013-P	exempt	Cyber Security requirements.	Establish a framework to ensure the protection of utility systems and customer data from cyber events.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-10-19-00006-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-11-19-00002-P	exempt	Notice of intent to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-11-19-00003-P	exempt	Transfer of street lighting facilities	To consider whether the transfer of certain street lighting facilities is in the public interest
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-12-19-00005-P	exempt	The request to issue long-term debt securities.	To assume debt for general corporate purposes, including working capital and other financial requirements
PSC-12-19-00006-P	exempt	Transfer of utility property.	To determine whether to approve the transfer of utility property.
PSC-13-19-00010-P	exempt	New Commission requirements for gas company operator qualification programs.	To make pipelines safer with improved training of workers who perform construction and repairs on natural gas facilities.
PSC-13-19-00011-P	exempt	Modifications to the Gas Cost Factor and Daily Delivery Service Programs.	To ensure safe and reliable service for customers at just and reasonable rates.
PSC-13-19-00012-P	exempt	Paperless billing credit.	To provide just and reasonable rates.
PSC-13-19-00020-P	exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-13-19-00021-P	exempt	Modifications to the Gas Supply Charge and Balancing Service Programs.	To ensure safe and reliable service for customers at just and reasonable rates.
PSC-15-19-00008-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-15-19-00010-P	exempt	Tariff provisions for Interruptible and Off-Peak Firm Service Customers.	To amend certain penalties for non-compliant Interruptible and Off-Peak Firm Customers.
PSC-16-19-00002-P	exempt	NYSEG and RG&E Implementation Plan and audit recommendations.	To consider NYSEG and RG&E's Implementation Plan.
PSC-16-19-00003-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-16-19-00004-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-16-19-00005-P	exempt	Proposed major electric delivery revenue requirement increase of approximately $485 million (or 4.6% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-16-19-00007-P	exempt	Recommencement of the levelization surcharge, changes to the System Improvement Charge, and a one-year stay-out.	To address the issues in NYAW's petition dated February 25, 2019.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-16-19-00008-P	exempt	Proposed major rate increase in Con Edison's gas delivery revenues of approximately $210 million (or 9.1% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-17-19-00010-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-17-19-00014-P	exempt	Minor rate filing.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-18-19-00010-P	04/30/20	Energy efficiency programs, budgets, and targets for investor-owned utilities.	To encourage the delivery and procurement of energy efficiency by investor-owned utilities.
PSC-18-19-00011-P	exempt	Policies, budgets and targets for support of heat pump deployment by investor-owned utilities.	To encourage the support for heat pump deployment by investor-owned utilities.
PSC-18-19-00012-P	04/30/20	Policies, budgets and targets for support of energy effiency programs for low- and moderate-income customers.	To encourage the support of energy effiency programs for low- and moderate-income customers by investor-owned utilities.
PSC-18-19-00013-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-18-19-00014-P	exempt	Revenue neutral revenue adjustment to the demand and energy charges under SC No. 3.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-18-19-00015-P	exempt	Minor rate filing.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-19-19-00012-P	exempt	Minor rate filing.	To ensure that the Village of Silver Spring provides safe and adequate service and that its rates are just and reasonable.
PSC-19-19-00013-P	exempt	Proposed merger of three water utilities into one corporation.	To determine if the proposed merger is in the public interest.
PSC-19-19-00014-P	exempt	Establishment of the regulatory regime applicable to an approximately 124 MW electric generating facility.	Consideration of a lightened regulatory regime for an approximately 124 MW electric generating facility.
PSC-19-19-00015-P	exempt	Establishment of the regulatory regime applicable to an energy storage facility of up to 316 MW.	Consideration of a lightened regulatory regime for an energy storage facility of up to 316 MW
PSC-19-19-00016-P	exempt	Establishment of the regulatory regime applicable to an approximately 242 MW electric generating facility.	Consideration of a lightened regulatory regime for an approximately 242 MW electric generating facility.
PSC-20-19-00008-P	exempt	Reporting on energy sources	To ensure accurate reporting and encourage clean energy purchases
PSC-20-19-00009-P	exempt	Petition to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-20-19-00010-P	exempt	Compensation policies for certain CHP projects	To consider appropriate rules for compensation of certain CHP resources

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-20-19-00011-P	exempt	Petition to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-20-19-00012-P	exempt	Waiver of 16 NYCRR Section 894.4(b)(2) pertaining to publishing notice of the RFP in national publications	To determine whether to waive any rules and regulations
PSC-20-19-00013-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-20-19-00014-P	exempt	Transfer of street lighting facilities	To consider the transfer of street lighting facilities to the City of Oneonta
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-21-19-00015-P	exempt	The Implementation Plan used to recover the costs of ZECs from Load Serving Entities.	To more accurately calculate Load Serving Entities' future ZEC obligation payments.
PSC-21-19-00016-P	exempt	Use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-21-19-00017-P	exempt	Residential meter reading.	To establish provisions for a special meter read for when service is discontinued to residential customers.
PSC-21-19-00018-P	exempt	Methodology used to set discount level for income-based discounts to residential electric and gas utility bills.	To ensure that income-based discounts are adjusted in a manner that moderates annual changes.
PSC-22-19-00012-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-22-19-00013-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-23-19-00003-P	exempt	Ownership interest in poles.	To consider the transfer of ownership interest in certain poles from NYSEG to Verizon.
PSC-23-19-00004-P	exempt	Individually negotiated contracts.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-23-19-00005-P	exempt	Proposed major rate increase in SWNY's annual base revenues of approximately $31.5 million (or 19.8% in total revenues).	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-24-19-00003-P	exempt	Three-year pilot for inspecting gas services at intervals longer than existing regulations require.	To use risk-based reasoning for gas service lines inspection intervals on a pilot basis.
PSC-24-19-00004-P	exempt	Municipal Gross Receipts Taxes.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-24-19-00005-P	exempt	Non-Firm Demand Response service classes.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

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PUBLIC SERVICE COMMISSION			
PSC-24-19-00006-P	exempt	Municipal Gross Receipts Taxes.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-24-19-00007-P	exempt	Municipal Gross Receipts Taxes.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-24-19-00008-P	exempt	Non-Firm Demand Response service classes.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-24-19-00009-P	exempt	Municipal Gross Receipts Taxes.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-25-19-00016-P	exempt	The request of New York Transco LLC to assume debt with a repayment period that exceeds 12 months.	To consider a petition to incur debt.
PSC-25-19-00017-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-26-19-00002-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-27-19-00006-P	exempt	Tariff provisions for SHR Demonstration Project customers.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-27-19-00007-P	exempt	Implementation of consolidated billing for distributed energy resources.	To facilitate development of and participation in Community Distributed Generation projects.
PSC-27-19-00008-P	exempt	Tariff provisions for SHR Demonstration Project customers.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-27-19-00009-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-28-19-00004-P	exempt	Revenue and Property Tax Reconciliation Mechanism.	To ensure recovery of proper expenses and the continued provision of safe and adequate service.
PSC-28-19-00005-P	exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-28-19-00006-P	exempt	Establishment of an escrow account.	To maintain a replenishable escrow account with a maximum balance of $5,000.
PSC-29-19-00018-P	exempt	Compensation for distributed energy resources.	To establish rules for NYPA customer participation in the Value of Distributed Energy Resources program.
PSC-29-19-00019-P	exempt	Transfer of street lighting facilities.	To determine whether to transfer street lighting facilities and the proper accounting for the transaction.
PSC-30-19-00007-P	exempt	Use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-30-19-00008-P	exempt	To institute a voluntary Tier 2(B) Physical Storage Program under the DDS Program.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-30-19-00009-P	exempt	An Index REC procurement mechanism for Tier 1 REC procurements.	To provide a hedge against market volatility, and lower costs to both renewable generators and customers.
PSC-31-19-00011-P	exempt	Electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-31-19-00012-P	exempt	Purchase of renewable energy from distributed generators and energy storage systems 15 kilowatts or less.	To establish provisions to ensure safe and reliable service for all customers.
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-31-19-00014-P	exempt	Consideration of NYAW's Interim Implementation Plan.	To ensure NYAW improves its service to ratepayers.
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-31-19-00017-P	exempt	Implementation of e-DPAs.	To consider a proposal to implement e-DPAs.
STATE, DEPARTMENT OF			
DOS-23-19-00001-P	06/04/20	Prospective licensee requirements	To conform current NYS standards to existing applicable federal requirements for licensure
DOS-27-19-00014-P	09/04/20	New York State Uniform Fire Prevention and Building Code (the Uniform Code)	To repeal the existing Uniform Code and adopt a new Uniform Code and to make conforming changes to 19 NYCRR Parts 1264 and 1265.
DOS-27-19-00015-P	09/04/20	The State Energy Conservation Construction Code (the "Energy Code").	To repeal the existing Energy Code and to adopt a new, updated Energy Code.
DOS-29-19-00015-EP	09/15/20	New York State Uniform Fire Prevention and Building Code (the Uniform Code)	Incorporating the 2019 Energy Storage System Supplement to add provisions to the New York State Uniform Fire Prevention and Building Code relating to the installation, use and maintenance of Energy Storage Systems.
STATE UNIVERSITY OF NEW YORK			
SUN-15-19-00007-P	04/09/20	Proposed amendments to Appointment of Employees and Leave of Absences for Employees in the Professional Service.	Allow a temporary cessation of service credit during birth/adoption/foster care placement of child and update leave accruals.
SUN-30-19-00001-P	07/23/20	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 institute an operating support "floor".

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
STATE UNIVERSITY OF NEW YORK			
SUN-30-19-00011-P	07/23/20	State University of New York Tuition and Fees Schedule	To amend the Tuition and Fees Schedule to increase tuition for students in all programs of the State University of New York
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-09-19-00005-EP	02/27/20	The Congestion Surcharge.	To implement the Congestion Surcharge and related registration, recordkeeping and reporting requirements.
TAF-21-19-00006-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 July 1, 2019 through September 30, 2019.
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-14-19-00002-P	04/02/20	Enforcement of support obligations and issuance of income withholding orders (IWOs)	To clarify the requirements for income withholding for persons served by the Title IV-D child support program (IV-D) to conform with changes to the federal IV-D IWO/Notice for Support form
TDA-14-19-00007-P	04/02/20	Abandonment of requests for fair hearings	To require the issuance of letters to appellants who fail to appear at scheduled fair hearings involving Medical Assistance, also known as Medicaid, advising them how to request the rescheduling of such fair hearings
TDA-19-19-00007-P	05/07/20	Adult-Care Facilities and Shelters for Adults	To update State regulations pertaining to general provisions, inspections and enforcement, and shelters for adults
TDA-19-19-00008-P	05/07/20	Shelters for Families	To update State regulations pertaining to shelters for families
TDA-19-19-00010-P	05/07/20	Elimination of finger imaging requirement for public assistance applicants and recipients	To update State regulations to align public assistance programs with other State benefit programs regarding identification verification requirements
VICTIM SERVICES, OFFICE OF			
OVS-24-19-00001-EP	06/11/20	Conduct contributing related to burial awards	Adopt rules necessary as the result of chapter 494 of the Laws of 2018, when considering the victim's own conduct
WORKERS' COMPENSATION BOARD			
WCB-22-19-00009-P	05/28/20	Group self-insured trusts that are inactive but not insolvent	Provide assistance with inactive but not insolvent group self-insured trusts to purchase ALPs to wind down liabilities
WCB-25-19-00018-P	06/18/20	Prior authorization for medical treatment and variances form the Medical Treatment Guidelines	Add new authorized medical provider types to rules regarding prior authorizations and variances
WCB-25-19-00019-P	06/18/20	Medical Provider Authorization	Describe the process for providers to become authorized by the Board and maintain authorization

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
WORKERS' COMPENSATION BOARD			
WCB-27-19-00005-P	07/02/20	Medical Fee Schedules	Add new providers to the fee schedule
WCB-31-19-00018-P	07/30/20	Medical Treatment Guidelines	Add guidelines for treatment of hip and groin, foot and ankle, elbow and occupational interstitial lung disease

RULE REVIEW

New York State Gaming Commission

Regulations Continued Without Modification

As required by section 207(4) of the State Administrative Procedure Act, the New York State Gaming Commission ("Commission") gives notice of the following:

As part of the Commission's 2019 review of regulations that were adopted during 1999, 2004, 2009 and 2014, the Commission has reviewed several amendments that were made to the rules of the Commission (including rulemaking of its legacy agencies, the Division of Lottery and the Racing and Wagering Board) in these calendar years. The following amendments were reviewed:

1999

Repeal of Take Five subscription program and revision of Lotto game. LTR-20-99-00008. Amendments to Parts 2804 and 2817 of 21 NYCRR. (Parts 2804 and 2817 have been renumbered Parts 5004 and 5017.)

Internet postings to assist compulsive gamblers. RWB-18-99-00001. Amendments to 9 NYCRR §§ 4003.54, 4101.40, 4204.14 and 5204.17. (9 NYCRR § 5204.17 has been renumbered § 4404.17.)

Removal of restrictions on games of chance conducted by veteran's organizations. RWB-23-98-00005. Amendment to 9 NYCRR § 5624.21. (9 NYCRR § 5624.21 has been renumbered § 4624.21.)

2004

No rules were adopted by the Division of Lottery

Stewards' placement discretion after racing foul. RWB-50-03-00001. Amendment of subdivision (b) of 9 NYCRR § 4035.2.

Comprehensive bingo amendments. RWB-25-04-00003. Amendments to 9 NYCRR §§ 5812.9, 5814.15, 5815.11, 5815.14, 5815.20, 5820.8, 5820.12 through 5820.20, 5820.27, 5820.30, 5820.34, 5820.39, 5820.42, 5820.47, 5820.49, 5820.51 through 58.20.54. 5820.56, 5821.18, 5822.5, 5822.10 and 5822.11. (Part 5800 has been renumbered Part 4800.)

Trifecta wagering with five-entry fields. RWB-33-04-00006. Amendment of subdivision (i) of 9 NYCRR § 4011.22.

Voluntary exclusion from pari-mutuel wagering venues. RWB-34-04-00003. Added new Parts 4044, 4123, 4237, and 5212 to 9 NYCRR. (Part 5212 has been renumbered Part 4412.)

2009

Revision of comprehensive rules for operation of video lottery gaming. LTR-53-08-00015. Amendments to 21 NYCRR §§ 2836-6, 2836-7, 2836-12, 2836-18, 2836-19, 2836-20, and 2836-34. (Parts 2836-6, 2836-7 and 2836-12, 2836-18, 2836-19 and 2836-20, and 2836-24 have been renumbered Parts 5105, 5110, 5116, 5117, and 5122.)

Use of bingo bonus ball. RWB-34-08-00003. Added subdivision (af) to § 5800.1 and § 5820.57 to 9 NYCRR. (9 NYCRR §§ 5800.1 and 5820.57 have been renumbered §§ 4800.1 and 4820.57.)

Allow audible alert on electronic bingo aids. RWB-52-08-00013. Amendment to subdivision (d) of 9 NYCRR § 5823.2 and added subdivision (e) to § 5823.2. (9 NYCRR § 5823.2 has been renumbered § 4823.2.)

Out-of-competition drug testing of race horses. RWB-43-09-00001. Added 9 NYCRR §§ 4043.12 and 4120.17. (Some of 9 NYCRR § 4043.12 has been renumbered § 4012.5.)

2014

Restrictions on using public assistance benefits for gaming. SGC-24-14-00001. Amendments to 9 NYCRR §§ 4009.3, 4122.3, 4500.9, 5113.1, 5113.5, 5113.7 and 5113.8 and added 9 NYCRR §§ 4404.18, 4822.25 and 5117.7.

Cash 4 Life lottery game added. SGC-14-14-00011. Added 9 NYCRR § 5007.15.

Monopoly ® Millionaires' Club lottery game added. SGC-32-14-00005. Added 9 NYCRR § 5007.16.

Corticosteroid joint injection disclosure. SGC-40-13-00002. Added new subdivision (c) to 9 NYCRR § 4038.5.

Extracorporeal shock wave therapy. SGC-47-13-000016. Added 9 NYCRR § 4043.14.

Tests required after Depo Medrol administration. SGC-49-13-00019. Added a new subdivision (k) to 9 NYCRR § 4043.2.

Regulatory thresholds for 24 drugs. SGC-49-13-00020. Added 9 NYCRR § 4043.3.

Limit corticosteroids that may be used systemically. SGC-49-13-00021. Amendment to paragraph (1) of subdivision (i) of 9 NYCRR § 4043.2.

Out-of-competition tests and prohibited substances. SGC-49-13-00005. Amendment to 9 NYCRR § 4120.17.

Restricted time period for flunixin. SGC-15-14-00022. Repeal of subdivision (d) and amendment of subdivision (e) of 9 NYCRR § 4043.2.

Limiting three corticosteroids to joint injections. SGC-37-14-00006. Amendment to paragraph (2) of subdivision (i) of 9 NYCRR § 4043.

A summary of the foregoing regulations was published in the Rule Review section of the April 3, 2019 issue of the State Register. The Commission did not receive any public comment regarding these regulations.

The Commission has determined that these regulations should be continued without modification because there have been no changes in public policy or regulatory circumstances that would warrant modification to these rules.

For further information contact: Kristen M. Buckley, Acting Secretary of the New York State Gaming Commission, One Broadway Center, Suite 500, Schenectady, NY 12301-7500.

SECURITIES OFFERINGS

STATE NOTICES

Published pursuant to provisions of General Business Law
[Art. 23-A, § 359-e(2)]

DEALERS; BROKERS

650 SIW QOF, LLC
240 Utah Ave. S, Suite 305, Seattle, WA 98134
State or country in which incorporated — Washington

AG Artemis Holdings, L.P.
10 E. 53rd St., 14th Fl., New York, NY 10022
Partnership — AG Artemis Holdings GP, LLC

Baltimore Partners, LLC
129 N. Patterson St., Valdosta, GA 31601
Partnership — RISE Properties, LLC

Click Materials Corp.
220-3800 Wesbrook Mall, Vancouver, BC V6S 2L9
State or country in which incorporated — Canada

Douglas Scott Securities, Inc.
1700 Alma Dr., Suite 110A, Plano, TX 75075
State or country in which incorporated — Texas

East Beach Opportunity Fund I, L.P.
95 Federal St., Suite D, San Francisco, CA 94107
State or country in which incorporated — Delaware

Emerald Coast Estates, LLC
129 S. Kings Rd., Unit 201, Los Angeles, CA 90048
State or country in which incorporated — Delaware

Foods United, Inc.
505 S. Flower St., #71146, Los Angeles, CA 90071
State or country in which incorporated — Delaware

FX Global Investments, LP
c/o Dragon Knight Investments, LLC, 6965 Piazza Grande Ave., Suite 414, Orlando, FL 32835
Partnership — Dragon Knight Investments, LLC

GSP Ice Fund, L.P.
853 Broadway, 20th Fl., New York, NY 10003
Partnership — GSP Ice Fund GP, L.P.

GSP Ice Fund A, L.P.
853 Broadway, 20th Fl., New York, NY 10003
Partnership — GSP Ice Fund GP, L.P.

Helix TCS, Inc.
10200 E. Girard Ave., Suite B420, Denver, CO 80231
State or country in which incorporated — Delaware

Hudson Housing Tax Credit LXXXIX LP
630 Fifth Ave., 28th Fl., New York, NY 10111
Partnership — Hudson GP LXXXIX LLC

Infrastructure/Buildings Solutions, Inc.
280 E. Broad St., Suite 200, Rochester, NY 14604
State or country in which incorporated — New York

Instrumental Labs, Inc.
137 W. 25th St., 11th Fl., New York, NY 10001
State or country in which incorporated — Delaware

Lake End Capital LLC
1985 Lake End Rd., Merrick, NY 11566
State or country in which incorporated — Delaware

NewQuest Asia Fund IV, L.P.
Walkers Corporate Limited, Cayman Corporate Centre, 27 Hospital Rd., George Town, Grand Cayman, Cayman Islands KY1-9008
Partnership — NewQuest Asia Fund IV GP, Ltd.

Race To Judgment LLC
1301 Frog Hollow Rd., Rydal, PA 19046
State or country in which incorporated — Delaware

Redburn Real Estate Opportunity Partners, LP
204 Lafayette St., Suite 2, Schenectady, NY 12305
Partnership — Redburn Real Estate Opportunity GP, LLC, general partner

Structural Capital Investments III, LP
3555 Alameda De Las Pulgas, Menlo Park, CA 94025
Partnership — Structural Capital GP III, LLC

Structural Capital Investments III-C, LP
3555 Alameda De Las Pulgas, Menlo Park, CA 94025
Partnership — Structural Capital GP III, LLC

ADVERTISEMENTS FOR BIDDERS/CONTRACTORS

SEALED BIDS

PROVIDE
INTERIOR TRAINING SITE
Camp Smith Training Site
Cortlandt Manor, Westchester County

Sealed bids for Project Nos. 45913-C, 45913-H, 45913-P, and 45913-E, comprising separate contracts for Construction Work, HVAC Work, Plumbing Work, and Electrical Work, Provide Interior Training Site, Building 70, Camp Smith Training Site, 11 Bear Mountain Bridge Road, Cortlandt Manor (Westchester 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 Division of Military and Naval Affairs, until 2:00 p.m. on Wednesday, August 7, 2019, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of $34,000 for C, $34,900 for H, $18,700 for P, and $25,100 for E.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between $500,000 and $1,000,000 for C, between $500,000 and $1,000,000 for H, between $100,000 and $250,000 for P, and between $500,000 and $1,000,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are Jessica Hoffman, Carl Ruppert and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html

As a condition of award, within 48 hours of receipt of the proposed Contract Agreement from the State, the low bidder shall return the Contract Agreement to the State, properly executed, along with the Bonds if required by said Agreement. Low bidders who cannot meet these provisions may be subject to disqualification and forfeiture of the bid security.

The State intends to expedite award of this Contract and the Contractor shall be prepared to proceed with the Work accordingly. Bidders are warned that time is of the essence of the Contract and substantial completion of the Work must be within 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.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 9:00 a.m. on July 25, 2019 at the Camp Smith Training Site, 11 Bear Mountain Bridge Rd., Cortlandt Manor, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Barbara Pena (914-474-5573) a minimum of 24 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction, HVAC, Plumbing and Electrical Work. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an $8.00 deposit per set, plus a $2.00 per set shipping and handling fee. 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.

PUBLIC NOTICE

Division of Criminal Justice Services
DNA Subcommittee

Pursuant to Public Officers Law section 104, the Division of Criminal Justice Services gives notice of a meeting of the DNA Subcommittee to be held on:

Date: August 9, 2019
Time: 9:00 a.m.-11:00 a.m.
Place: Empire State Development Corporation (ESDC)
633 3rd Ave.
37th Fl. Board Rm.
New York, NY

Identification and sign-in are required at this location. *For further information, or if you need a reasonable accommodation to attend this meeting, contact*: Division of Criminal Justice Services, Office of Forensic Services, 80 S. Swan St., Albany, NY, (518) 457-1901

PUBLIC NOTICE

Office of Parks, Recreation and Historic Preservation

Pursuant to section 14.07 of the Parks, Recreation and Historic Preservation Law, the Office of Parks, Recreation and Historic Preservation hereby gives notice of the following:

In accordance with subdivision (c) of section 427.4 of title 9 NYCRR notice is hereby given that the New York State Board for Historic Preservation will be considering nomination proposals for listing of properties in the State and National Register of Historic Places at a meeting to be held on Thursday, September 5th, 2019 at Planting Fields Arboretum State Historic Park, 1395 Planting Fields Road, Oyster Bay, NY 11771.

The following properties will be considered:

1. Schaefer & Brother Malt House, Buffalo, Erie County
2. Eliza Quirk Boarding House, Buffalo, Erie County
3. St. Matthias Episcopal Church Complex, East Aurora, Erie County
4. H.A. Corbin Hose Company, Friendship, Allegany County
5. Park Avenue Historic District, Rochester, Monroe County
6. A. Polvino Building, Rochester, Monroe County
7. Clyde Downtown Historic District, Wayne County
8. First Presbyterian Church, Watkins Glen, Schuyler County
9. Glenco Mills Methodist Church, Livingston, Columbia County
10. Danascara Place, Tribes Hill, Montgomery County
11. Richard Pousette-Dart House & Studio, Suffern, Rockland County
12. Washington Avenue Corridor Historic District, Albany, Albany County
13. First Presbyterian Church of Deposit, Broome and Delaware Counties
14. Rutherford House, Edmeston, Otsego County
15. Amsterdam Free Library, Amsterdam, Montgomery County

To be considered by the board, comments may be submitted to Daniel Mackay, Deputy Commissioner for Historic Preservation and Deputy State Historic Preservation Officer, Division for Historic Preservation, Peebles Island, P.O. Box 189, Waterford, New York 12188-0189, no later than Wednesday, September 4th or may be submitted in person at the meeting by contacting Daniel Mackay at the same address no later than September 4th.

For further information, contact: Daniel Mackay, Deputy Commissioner for Historic Preservation and Deputy State Historic Preservation Officer, Division for Historic Preservation, Peebles Island, P.O. Box 189, Waterford, NY 12188-0189, (518) 268-2171

PUBLIC NOTICE

Department of State
Notice of Review of Request for
Brownfield Opportunity Area
Conformance Determination
Project: Canal Plaza
Location: North Chenango River Corridor BOA
City of Binghamton, Broome County

In accordance with General Municipal Law, Article 18 - C, Section 970-r, the Secretary of State designated the North Chenango River Corridor Brownfield Opportunity Area, in the City of Binghamton, on September 30, 2015. The designation of the North Chenango River Corridor Brownfield Opportunity Area was supported by a Nomination or a comprehensive planning tool that identifies strategies to revitalize the area which is affected by one or more known or suspected brownfield sites.

Pursuant to New York State Tax Law, Article 1, Section 21, the eligible taxpayer(s) of a project site located in a designated Brownfield Opportunity Area may apply for an increase in the allowable tangible property tax credit component of the brownfield redevelopment tax credit if the Secretary of State determines that the project conforms to

the goals and priorities established in the Nomination for a designated Brownfield Opportunity Area.

On January 4th, 2019, Binghamton Northside Limited Partnership submitted a request for the Secretary of State to determine whether the Canal Plaza mixed-use development, which will be located within the designated North Chenango River Corridor Brownfield Opportunity Area, conforms to the goals and priorities identified in the Nomination that was prepared for the designated North Chenango River Corridor Brownfield Opportunity Area.

The public is permitted and encouraged to review and provide comments on the request for conformance. For this purpose, the full application for a conformance determination is available online at: https://www.dos.ny.gov/opd/programs/pdfs/BOA/BOAConformanceApp_CanalPlaza.pdf

Comments must be submitted no later than August 30, 2019, either by mail to: Julie Sweet, Department of State, Office of Planning and Development, 44 Hawley St., Rm. 1507, Binghamton, NY, 13901 or by email to: julie.sweet@dos.ny.gov

PUBLIC NOTICE

Department of State
F-2019-0214
Date of Issuance – July 31, 2019

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2019-0214, Adams Street Properties LLC is proposing to improve the existing bulkhead from timber cribbing construction to sheet pile extending above M.H.R.W., create a 50' wide crushed stone loading pad, and perform navigational dredging along the face of the bulkhead.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0214AdamsStreetPropertiesLLC.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 August 15, 2019.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-0325
Date of Issuance – July 31, 2019

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-0325 or the "Alhambra Park Renovation", the applicant Town of Oyster Bay, is proposing to restore a portion of the shoreline destroyed during Hurricane Sandy by creating a green space that will increase opportunity for residence to interface directly with the waterfront. Replace existing deteriorating bulkhead and grown (in-kind). Installation of a 4' x 60' gangway ramp and a 15' x 25' floating dock. The project is located at Alhambra Road, Town of Massapequa, Nassau County, South Oyster Bay.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0325_Alhambra_Prk_Ren_App.pdf

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, August 30, 2019.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-0412
Date of Issuance – July 31, 2019

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-0412 or the "Van Wyck-Lefferts Tide Mill Repairs", the applicant Van Wyck-Lefferts Tide Mill Sanctuary Inc., is proposing to repair/stabilize a 185 linear foot over wash area with a 12-16 inch layer of rip rap (270 cubic yards) enclosed in Geogrid overlaid by an 8 inch layer of reclaimed sand; repair 85 square foot washout with 15 cubic yards of rip rap in Geogrid; re-pointing 25% of masonry wall face, reconstruct approximately 10 linear feet of masonry wall located near the sluiceway, repair localized washouts and reconstruct timber footbridge. The project is located at Van Wyck Tide Mill in the Village of Lloyd Harbor, Nassau County, in Huntington Harbor/Mill Cove.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0412_Van_Wyck_App.pdf

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, August 30, 2019.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-0450
Date of Issuance – July 31, 2019

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2019-0450, Allana Weifenbach-O'Neill is proposing re-grade the existing lawn area approximately 1.5 feet and install new drainage structures to facilitate runoff. The drainage will consist of replacing the existing catch basin and drain pipe with two new catch basins and 90 linear feet of 6 inch drainage pipe. The project is located at 721 Stuart Avenue, Mamaroneck, NY 10543 on Guion Creek.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0450-721StuartAve.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 August 30, 2019.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-0596
Date of Issuance – July 31, 2019

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-0596 or the "Murphy Project", the applicant Sean Murphy, is proposing to maintain existing bulkhead in-place and backfill tidal pond with 275 cubic yards of fill. The project is located at 72 East Moriches Boulevard, Town of Brookhaven, Suffolk County, Little Seatuck Creek.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0596_Murphy_App.pdf

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, August 30, 2019.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-0630 (DA)
Date of Issuance – July 31, 2019

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.

U.S. Army Corps of Engineers, Norfolk District has determined that the proposed activity will be undertaken in a manner consistent to the maximum extent practicable with the enforceable policies of the New York State Coastal Management Program. The applicant's consistency determination and accompanying supporting information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue in Albany, New York.

In F-2019-0630 (DA), U.S. Army Corps of Engineers, Norfolk District proposes constructing and maintaining the following features:

- Expanding the current Gravesend Anchorage to accommodate a 3,600-foot swing radius, which will allow the design vessel (1,100 feet long and 158 feet wide) to safely turn in the Anchorage;
- Deepening the Gravesend Anchorage to -50 feet (plus an additional -2 feet of allowable overdepth dredging) to a required depth of approximately -50 to -52 feet

The Federal Consistency Determination can be found in Appendix E of the New York and New Jersey Harbor Anchorage Draft General Reevaluation Report and Environment Assessment Report accessible from: https://www.nao.usace.army.mil/NYNJAnchoragesStudy/

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, August 15, 2019.

Comments should be addressed to: Department of State, Consistency Review Unit, One Commerce Plaza, 99 Washington Ave., Suite 1010, Albany, NY 12231, (518) 474-6000, Fax (518) 474-6572. Comments can also be submitted electronically via email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-0660
Date of Issuance – July 31, 2019

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-0660 or the "Long Wharf Repairs", the applicant Village of Sag Harbor., is proposing to replace 1,196 linear feet of existing bulkhead, 18 inches seaward of the existing structure. Approximately 350 cubic yards of fill will be discharged below the Spring High Water line between the seaward replacement of bulkhead and the existing bulkhead. The work will also include the installation of two (3) outfall structures exiting from the new bulkhead above the mean high-water line. The project is located at the end of Main Street in the Village of Sag Harbor, Town of Southampton, Suffolk County, Sag Harbor Bay.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0660_Long_Wharf_App.pdf

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, August 30, 2019.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-0670
Date of Issuance – July 31, 2019

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-0670 or the "Seisfeld St Lawrence River Property", the applicant Gail B. Seisfeld, is proposing the removal of old boathouse and docks and replace with an enlarged boathouse and dock that will accommodate summer and winter storage for one pontoon boat and one 16-foot fishing boat. The project is located at 18081 Reed Point Road, Orleans, Jefferson County, St. Lawrence River.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0670_Seisfeld_App.pdf

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, August 30, 2019.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-0687
Date of Issuance – July 31, 2019

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-0687 or the "Thomas Residence", the applicant Randall Thomas, is proposing an emergency repair consisting of a reface of a reface 92.63 LF timber navy bulkhead within 18'' due to hardship of in-ground pool, removal of batter piles, installation two 4' return backfill bulkhead with 25 cubic yards of clean fill. The project is located at 3594 Bertha Drive, Town of Hempstead, Nassau County, Middle Bay.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0687_Thomas_App.pdf

Original copies of public information and data submitted by the applicant are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice, or, August 30, 2019.

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
Proclamation
Revoking Limited Liability Partnerships

W*HEREAS,* Article 8-B of the Partnership Law, requires registered limited liability partnerships and New York registered foreign limited liability partnerships to furnish the Department of State with a statement every five years updating specified information, and

W*HEREAS*, the following registered limited liability partnerships and New York registered foreign limited liability partnerships have not furnished the department with the required statement, and

W *HEREAS*, such registered limited liability partnerships and New York registered foreign limited liability partnerships have been provided with 60 days notice of this action;

N*OW, THEREFORE*, I, Rossana Rosado, Secretary of State of the State of New York, do declare and proclaim that the registrations of the following registered limited liability partnerships are hereby revoked and the status of the following New York foreign limited liability partnerships are hereby revoked pursuant to the provisions of Article 8-B of the Partnership Law, as amended:

DOMESTIC REGISTERED LIMITED
LIABILITY PARTNERSHIPS

A
ATR+D L.L.P. (09)
AVELINO NITKEWICZ LLP (09)
B
BAINTONLYNCH LLP (04)
BAZIN PETROFF, LLP (14)
BORELLI & LI PUMA LLP (99)
BOUKLAS GAYLORD LLP (14)
BUDDE & ROBERSON, LLP (14)
C
CIRCULATORY CENTERS NEW YORK, LLP (14)
COSTELLA & GORDON, LLP (04)
D
DEMERS & BERKS LLP (14)
DIMASCIO & ASSOCIATES, LLP (04)
DONOHUE, SABO, VARLEY & HUTTER, LLP (04)
E
EYE CARE PROFESSIONALS OF WESTERN NEW YORK, LLP (99)
F
FIGMAN & EPSTEIN, LLP (04)

FOOTDRX, LLP (99)
G
GOLDBERG & FLIEGEL LLP (99)
GOLDBERG & PENKOVSKY LLP (09)
GUILBERT AND BROWN LLP (04)
H
HAMM ROE, LLP (04)
HANDEL ARCHITECTS LLP (04)
HESSION, BEKOFF, COOPER & LO PICCOLO, LLP (04)
HOLLANDER & STRAUSS, LLP (99)
I
IRWIN & HSUAN LLP (09)
J
JOSEPH & WHITED, LLP (14)
K
KEHL, KATZIVE & SIMON, LLP (04)
KOSSOFF & KOSSOFF, LLP (99)
L
LAKEVIEW HOME HEALTH SERVICES, L.L.P. (14)
LAPONTE SINI & REEVES CPAS, LLP (14)
LAW OFFICE OF VACCARO & WHITE, L.L.P. (14)
LEAV & STEINBERG, L.L.P. (99)
M
MAVROMIHALIS, PARDALIS & NOHAVICKA, LLP (09)
N
NEWMAN STEHN, LLP (14)
O
O'REILLY STOUTENBURG RICHARDS LLP (14)
P
PARK JENSEN BENNETT LLP (09)
PEARLSTEIN MCCULLOUGH & LEDERMAN LLP (14)
PROPP LAPIDUS & JAFFE, LLP (04)
R
ROSEN LIVINGSTON & CHOLST LLP (09)
ROTHSTEIN & CHOPP, DDS, LLP (04)
S
STECKLER, MURRAY & KORITZ, LLP (09)
T
TRISTATE DENTAL SPECIALTY LLP (14)
U
ULLMAN, SHAPIRO & ULLMAN, LLP (99)
W
WEISS & COMPANY LLP (09)
WYATT & ASSOCIATES, L.L.P. (14)
Z
ZINKER & HERZBERG, LLP (04)

FOREIGN REGISTERED LIMITED LIABILITY PARTNERSHIPS

B
BOUTWELL FAY LLP (14) (CA)
C
CARPENTER LIPPS & LELAND LLP (14) (OH)
G
GIRARD SHARP LLP (09) (CA)
K
KEEGAN WERLIN LLP (14) (MA)
M
MORELLI ALTERS RATNER LLP (14) (FL)
P
PELLIS LAW GROUP, LLP (14) (IL)
R
REARDON SCANLON VODOLA BARNES LLP (14) (CT)
S
SOBEL HAN LLP (14) (NJ)
W
WEBER, SHAPIRO & CO LLP (14) (NJ)

[SEAL]

WITNESS my hand and the official seal of the Department of State at its office in the City of Albany this 31st day of July in the year two thousand nineteen.

ROSSANA ROSADO

Secretary of State

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.

2019-0410 Matter of Jose R. Padilla, 59 Tennessee Avenue, Hempstead, NY 11550, for a variance concerning safety requirements, including required height under a girder/soffit. Involved is an existing one family dwelling located at 106 Kennedy Avenue; Village of Hempstead, NY 11550 County of Nassau, State of New York.

2019-0414 Matter of Shree Realty LLC, 89 Weeks Road, East Williston, NY 11596, for a variance concerning safety requirements, including required ceiling height. Involved is an existing one family dwelling located at 14 Milton Street, Town of Oyster Bay, NY 11801 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 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.

2019-0415 In the matter of CSP Management, Jordan Sonustun, 407 West Seneca Street, Ithaca, NY 14850, for Thomas and Margarette Borg concerning safety requirements including a variance for reduction in required height of existing interior stair handrails and guardrails.

Involved is the certificate of compliance inspection of an existing residential occupancy, two stories in height, located at 431 East Seneca Street, City of Ithaca, County of Tompkins, New York.

PUBLIC NOTICE

Department of State

Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or

Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2019-0416 In the matter of in-Architects Partners, James Knittel, 239 East Water Street, Syracuse, New York 13202 for 16th Avenue, Inc. for a variance concerning building code and fire safety requirements to allow openings in exterior walls and exceed the allowed number of horizontal exits.

Involved is a conversion of occupancy of two adjacent buildings of five and eight stories in height for mixed occupancy use located at 349-351 South Warren Street, City of Syracuse, Onondaga County, New York.

PUBLIC NOTICE

Department of State

Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2019-0421 In the matter of David Dahle, 8A Winners Circle, Ithaca, NY 14850, concerning safety requirements including a variance for reduction in required height of existing exterior guardrails and interior stair handrails and guardrails.

Involved is the certificate of compliance inspection of an existing residential occupancy, two stories in height, located at 616 North Cayuga Street and 103 West Yates Street, City of Ithaca, County of Tompkins, New York.

PUBLIC NOTICE

Department of State

Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2019-0422 In the matter of 202 Stewart Ave, LLC., Michael Busch, 503 North Tioga Street, Ithaca, NY 14850, concerning safety requirements including a variance for reduction in required height of existing exterior guardrails and interior stair handrails.

Involved is the certificate of compliance inspection of an existing residential occupancy, three stories in height, located at 202 Stewart Avenue, City of Ithaca, County of Tompkins, New York.

EXECUTIVE ORDERS

Executive Order No. 195.1: Continuing the Declaration of a Disaster in the Counties of Cayuga, Jefferson, Monroe, Niagara, Orleans, Oswego, St. Lawrence, and Wayne.

WHEREAS, pursuant to Executive Order Number 195, a disaster has heretofore been declared in Cayuga, Jefferson, Monroe, Niagara, Orleans, Oswego, St. Lawrence and Wayne counties due to extensive lakeshore flooding, widespread erosion and water damage from extensive snowmelt and precipitation; and

WHEREAS, the flooding and erosion in the affected counties has caused significant damage to homes, and other residential structures, businesses, as well as public infrastructure and the State's assistance continues to be needed.

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 Laws of the State of New York, after having considered all the relevant facts and circumstances, do hereby extend all the terms, conditions and directives of Executive Order 195 for the period from the date the disaster emergency was declared until July 20, 2019.

(L.S.)

GIVEN under my hand and the Privy Seal of the State in the City of Albany this twentieth day of June in the year two thousand nineteen.

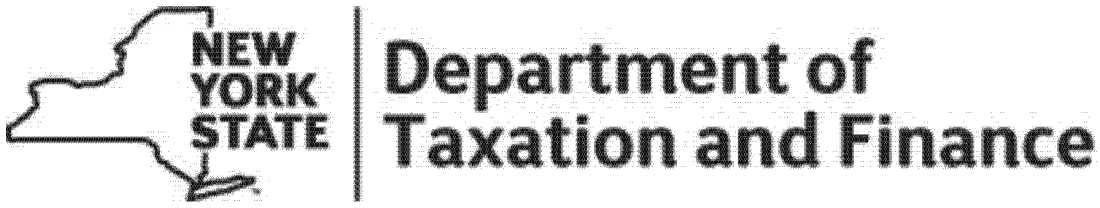
BY THE GOVERNOR

/S/ Andrew M. Cuomo

/s/ Melissa DeRosa

Secretary to the Governor

FINANCIAL REPORTS



Depositories for the Funds of the State of New York

Month End: June 30, 2019

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Michael R Schmidt
Commissioner

ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER		
Unemployment Insurance Funding Account	Key Bank	2,716,608.21
Occupational Training Act Funding Account	Key Bank	(6,919.01)
Unemployment Insurance Exchange Account	Key Bank	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(183,089,443.24)
General Checking	Key Bank	(607,298,152.44)
Direct Deposit Account	Wells Fargo	32,788.92
TOTAL		(202,449,734.62)
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	1,179.58
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	12,545.94
NY ISO Account	Key Bank	2,600,936.54
OGS Binghamton Office Bldg	Key Bank	0.00
SNY Office of General Services	JPMorgan Chase Bank, N.A.	4,944.44
State of New York OGS Escrow II	Key Bank	2,817,894.73
State of New York OGS Petty Cash	Key Bank	289,309.23
State of New Your OGS Escrow	Key Bank	151,042.40
State of NY Office Of General Services	Key Bank	6,064.45
01060 - DIVISION OF STATE POLICE		
CNET Confidential Account	Key Bank	0.00
Div Headquarters - Petty Cash	Key Bank	771.00
Key Advantage Account	Key Bank	75,867.52
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	508,930.37
NYSP CTIU Confidential Fund	Key Bank	2,800.00
SIU Confidential Fund Account	Key Bank	2,608.77
Special Fund	Key Bank	48,287.23
State Police Receipts Account	Bank of America, N.A.	208,575.98
Troop A Batavia - Petty Cash	Bank of America, N.A.	1,328.83
Troop A Batavia-Confidential	Bank of America, N.A.	1,000.00
Troop B Confidential	Key Bank	6,500.00
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	2,244.41
Troop C Petty Cash	NBT Bank	746.00
Troop D Oneida - Confidential	Alliance Bank	357.93
Troop D Oneida Petty Cash	Alliance Bank	1,000.00
Troop E Canandaigua Confidential	Canandaigua National Bank	2,000.00
Troop E Petty Cash	Canandaigua National Bank	1,000.00
Troop F Confidential	JPMorgan Chase Bank, N.A.	1,660.64
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	4,704.33
Troop G Petty Cash	Bank of America, N.A.	950.36
Troop K Petty Cash	Bank of Millbrook	436.08
Troop K Poughkeepsie-Confidential	Bank of Millbrook	1,365.75
Troop L Confidential Fund	Bank of America, N.A.	6,570.00
01070 - DIVISION OF MILITARY & NAVAL AFFAIRS		
Advance For Travel	Key Bank	12,571.82
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	6,364.02
01077 - OFFICE OF HOMELAND SECURITY		
Academy Of Fire Science	Chemung Canal Trust	167,962.57
01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	15,564.53
Revenue Account	JPMorgan Chase Bank, N.A.	583,399.29
01090 - DIVISION OF HUMAN RIGHTS		
Petty Cash Fund Account	JPMorgan Chase Bank, N.A.	No report received
01150 - OFFICE OF EMPLOYEE RELATIONS		
GOER Panel Administration Escrow Account	Key Bank	3,830.07
NYS OSC Concentration	Key Bank	712.65
State of New York LMC Petty Cash Account	Key Bank	2,000.00
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	1,751.25
01300 - ADIRONDACK PARK AGENCY		

General Fund	Community Bank	2.00
Petty Cash	Community Bank	4,020.56
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	63,195.93
Emergency Award Account	M&T Bank	0.00
Emergency Claims	Key Bank	10,848.25
Petty Cash Account	Key Bank	686.05
REST/SUBROG Escrow Account	Key Bank	389.66
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,900.00
FBI Fee Account	Bank of America, N.A.	5,821.46
Fingerprint Fee Account	Bank of America, N.A.	3,117.75
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.	17,996.36
Alcohol Beverage	Bank of America, N.A.	64,113.94
Alcoholic Bev Control License	Wells Fargo Bank	315,351.60
Alcoholic Beverage Control License	M&T Bank	214,423.26
Assessments Bulk	JPMorgan Chase Bank, N.A.	100,512.13
Assessments Receivable	JPMorgan Chase Bank, N.A.	6,910,760.07
Assessments Receivable (EFT)	Wells Fargo Bank	355,357.38
Boxing And Wrestling Tax	Bank of America, N.A.	62,626.46
Check 21 Corporation Tax	JPMorgan Chase Bank, N.A.	1,882,839.53
Check 21 Estate Tax	JPMorgan Chase Bank, N.A.	0.00
Check 21 Highway Use	JPMorgan Chase Bank, N.A.	444,191.63
Check 21 PIT	JPMorgan Chase Bank, N.A.	331,073.18
Check 21 Real Estate Transfer	JPMorgan Chase Bank, N.A.	144,624.32
Check Sales Tax	JPMorgan Chase Bank, N.A.	789,306.22
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	413,364.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	10,200.00
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	1,992,617.18
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	82,962.44
Cigarette Tax Tobacco Products	Bank of America, N.A.	69,973.13
Congestion Surcharge	Wells Fargo Bank	138,506.59
Corporation Tax	Wells Fargo Bank	558.57
Corporation Tax - Art 9	Bank of America, N.A.	0.00
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	334,553.84
Educational Chartable Account	Wells Fargo Bank	0.00
Employer Compensation Expense	Wells Fargo Bank	6,748.92
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	210,695.81
Estate Tax	Bank of America, N.A.	4,109,094.59
Estimated Tax	JPMorgan Chase Bank, N.A.	13,514,712.82
Gift Tax	Bank of America, N.A.	0.00
Hazardous Waste	Key Bank	24,089.45
Health Charitable Account	Wells Fargo Bank	0.00
Highway Use - Permits & Reg.	Bank of America, N.A.	21,463.17
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	460,854.21
Hudson River-Black River	Bank of America, N.A.	617,008.81
Hudson River-Black River	Community Bank	32,332.78
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	36,894.00
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	90,165.43
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	0.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	30,485.50
IFTA-Fuel Use	Bank of America, N.A.	29,800.35
Income Tax - LLC	JPMorgan Chase Bank, N.A.	70,206.25
Justice Court	Key Bank	1,050,492.64
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	955.50
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	187,466.19
Medical Marijuana Tax Collections	Bank of America, N.A.	1,466.09
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	48,233.35
Ogdensburg Bridge & Port	Community Bank	(3,422,069.95)
Personal Income Tax	Wells Fargo Bank	35,038.05
Petroleum Business Tax (EFT)	Wells Fargo Bank	304,706.75
Petroleum Products Tax	Bank of America, N.A.	5,786,687.44
PIT Bulk	JPMorgan Chase Bank, N.A.	364,875.00
Port Of Oswego	Key Bank	(163,814.06)
Promptax - MCTMT	Wells Fargo Bank	1,077,348.45
Promptax - Petroleum Business Tax	Wells Fargo Bank	780.03
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	82.94

Promptax - Withholding	Wells Fargo Bank	3,003,455.57
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	28,873.17
Real Estate Transfer Tax	Key Bank	5,991.30
Revenue Holding	First Niagara Bank	2,386,000.00
Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Sales Tax	Wells Fargo Bank	2,000,014.09
SUNY Concentration	First Niagara Bank	571,000.00
TNC Assessment (EFT)	Wells Fargo Bank	1,574.41
Troy Debt Service Reserve Fund	Bank of America, N.A.	701,000.00
Uncashed Winning Tickets	Bank of America, N.A.	89,571.76
Unclaimed Funds	JPMorgan Chase Bank, N.A.	79,968.61
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	48,074.97
Withholding	Wells Fargo Bank	891.99
Withholding Tax	JPMorgan Chase Bank, N.A.	15,529,676.36
Cash Advance Accounts		
Advance For Travel Account	Key Bank	400.00
ERS Petty Cash Acct	Key Bank	5,100.00
Petty Cash Account	Key Bank	3,700.00
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	1,635.01
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	103,622.17
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	206.07
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.	607,459.00
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	9.03
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	10,848,891.53
National Global Settlement	JPMorgan Chase Bank, N.A.	5,564,684.39
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	37,721.83
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,299.99
04020 - NYS ASSEMBLY		
Advance For Travel	Bank of America, N.A.	4,000.00
Petty Cash Account Dist Off	Bank of America, N.A.	20,915.29
Petty Cash New York City	JPMorgan Chase Bank, N.A.	701.57
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	1,923.50
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.	979,145.00
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	6,692,590.70
Finger Print Account	JPMorgan Chase Bank, N.A.	3,450.00

Petty Cash Acct	JPMorgan Chase Bank, N.A.	175.00
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	2,396,682.57
Lawyers Fund For Client Protection - Bail	Key Bank	700.04
Petty Cash	Key Bank	3,592.40
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	95.06
Clerk Of The Court Of Appeals	Key Bank	5,100.00
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	51,205.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	43,695.70
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	94,738.00
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	24,130.00
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	9,707.89
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	4,419.20
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court Bail	Wells Fargo Bank	No report received
Glen Cove City Court Revenue	Wells Fargo Bank	No report received
Long Beach City Court		
Long Beach City Court Revenue	Wells Fargo Bank	No report received
Long Beach Court Bail	Wells Fargo Bank	No report received
Nassau County Court		
Nassau County Assessment	Wells Fargo Bank	No report received
Nassau District Court - Criminal		
Nassau Dist Ct Criminal Revenue	Wells Fargo Bank	No report received
Nassau District Court-Civil		
Nassau County Dist Ct- Civil Revenue	Wells Fargo Bank	No report received
Nassau Surrogate		
Nassau County Surrogate Court-Revenue	Wells Fargo Bank	No report received
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
10th Judicial District Suffolk County Admin		
Suffolk County Court -Court Fund	People's United Bank	21,142.60
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	77,752.75
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	449,679.46
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	283,654.68
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	36,350.00
05210 - NYC-CIVIL COURT		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	62,073.10
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	2,852.10
Kings Civil Court- Civil		
Kings Civil Court- Civil Revenue	JPMorgan Chase Bank, N.A.	523,147.70
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	99,896.10
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	171,599.10
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	44,306.70
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	57,133.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	72,876.50
Kings County Criminal Court		
Kings Criminal Court	Citibank	76,373.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	18,815.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	121,327.00
Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	38,900.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	136,956.00

Richmond County Criminal Court		
Richard Criminal Court-City Funds	JPMorgan Chase Bank, N.A.	34,430.00
Richmond Criminal Court-State Funds	JPMorgan Chase Bank, N.A.	44,691.00
05220 - NYC-FAMILY COURT		
Family Citywide Administration		
NYC Family Court	JPMorgan Chase Bank, N.A.	310.00
05231 - SUPREME COURT - BRONX COUNTY		
Bronx County Supreme - NYS OCA	JPMorgan Chase Bank, N.A.	5,331.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County-Revenue	JPMorgan Chase Bank, N.A.	11,029.30
05240 - SUPREME COURT - QUEENS COUNTY		
Queens Co Supreme		
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	17,439.00
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	1,091,121.64
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	703,571.17
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	1,176,758.15
05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	883,145.47
05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	5,920,934.79
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	182.85
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	79,951.00
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	50,787.00
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	54,117.00
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	68,739.50
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	16,820.00
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court - (Civil)		
Albany City Civil - Revenue	Wells Fargo Bank	15,243.00
Albany City Court - (Crim-Bail)		
Albany City Criminal - Bail	Wells Fargo Bank	22,332.94
Albany City Court - (Traffic)		
Albany City Traffic-Revenue	Wells Fargo Bank	107,109.00
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	8,173.00
Albany City Court - Traffic-Bail		
Albany City Traffic - Bail	Wells Fargo Bank	1,300.19
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	20,901.00
Albany Police Court		
Albany Police Court Bail Account	Key Bank	0.00
Cohoes City Court		
Cohoes City Court Bail	Key Bank	27,958.50
Cohoes City Court Fees/Fines Account	Key Bank	8,524.80
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	2,869.00
Greene Surrogate		
Greene Surrogate-Revenue	Wells Fargo Bank	7,222.75
Hudson City Court		
Hudson City Bail	Wells Fargo Bank	31,948.73
Hudson City Court Bail Acct	Trustco Bank	0.00
Hudson City Court Revenue Acct - Revenue	Trustco Bank	0.00
Hudson City Revenue	Wells Fargo Bank	18,575.40
Kingston City Court		
Kingston City Court Bail	Key Bank	0.00

Kingston City Court Bail	Wells Fargo Bank	3,107.00
Kingston City Court Revenue	Wells Fargo Bank	39,948.00
Rensselaer City Court		
Rensselaer City Court - Revenue	Key Bank	6,812.00
Rensselaer City Court Bail Acct	Key Bank	4,210.00
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	17,306.50
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	1,324.00
Sullivan Surrogate		
Sullivan Surrogate-Revenue	Wells Fargo Bank	1,779.00
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	86,911.05
Troy Police Court Bail Account	Bank of America, N.A.	32,006.57
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	10,173.00
Watervliet City Court		
Watervliet Bail	Pioneer Savings Bank	56,595.00
Watervliet Revenue	Pioneer Savings Bank	44,699.29
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	Key Bank	96,251.07
Amsterdam City Court - Revenue	Key Bank	24,424.66
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	867.00
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	3,040.75
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	402.75
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	926.50
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	26,786.00
Glens Falls City Court Bail Acct	Glens Falls National	43,831.52
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	27,100.52
Gloversville City Court Revenue	NBT Bank	9,380.50
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	1,251.75
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	28,753.89
Johnstown City Court Fines/Fees - Revenue	Key Bank	14,315.68
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	6,002.02
Mechanicville City Ct Revenue Acct	TD Bank	5,954.70
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	200.00
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	9,305.10
Ogdensburg City Court Revenue	Community Bank	3,517.26
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	75,958.24
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	18,551.86
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	3,372.25
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	54,770.10
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	18,699.40
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	69,256.87
Schenectady City Court Revenue	Bank of America, N.A.	41,740.80
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	7,709.75
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	4,371.50
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	2,973.75
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	1,795.25
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	5,795.70
Fulton City Court Revenue	Key Bank	11,948.66
Herkimer Surrogate		

Herkimer Surrogate - Revenue	Partners Trust	2,701.50
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	5,697.25
Lewis County		
Lewis County Clerk	Community Bank	5,395.50
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	433.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	26,350.00
Little Falls City Court Revenue	M&T Bank	5,647.00
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	8,605.00
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	16,798.25
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	13,190.00
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	20,335.27
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	23,471.50
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	7,221.75
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	38,608.25
Rome City Court - Revenue	Bank of America, N.A.	51,121.00
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	350.00
Sherrill City Court Fees - Revenue	Alliance Bank	2,576.30
Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	304,538.00
Syracuse City Court - Fees - Revenue	Alliance Bank	71,062.60
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	60,571.71
Utica City Court Revenue Account	Key Bank	42,595.05
Watertown City Court		
Watertown City Court Bail	Key Bank	39,267.10
Watertown City Court Fees & Fines - Revenue	Key Bank	13,365.50
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	62,660.00
Binghamton City Court Revenue	M&T Bank	37,640.85
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	7,230.25
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	832.00
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	3,049.00
Cortland City Court		
Court City Court Bail	NBT Bank	10,375.17
Court City Court- Revenue	NBT Bank	13,588.55
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	663.50
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	1,919.00
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	19,568.40
Elmira City Court Bail	Chemung Canal Trust	48,298.06
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	18,460.00
Ithaca City Court Revenue	Tompkins County Trust	21,133.70
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	2,029.50
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	8,000.00
Norwich City Court Revenue Acct	NBT Bank	5,960.10
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	17,575.00
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	14,525.00
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	11,474.00
Oneonta City Court Bail Account	Community Bank	17,700.00
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	2,214.00
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	845.25

Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	1,099.00
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	2,661.25
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	Key Bank	51,351.05
Auburn City Court Fees & Fines - Revenue	Key Bank	18,881.80
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	55,722.00
Canandaigua City Court Revenue	Canandaigua National Bank	14,512.50
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	2,758.00
Corning City Court		
Corning City Court - Bail	Wells Fargo Bank	17,576.79
Corning City Court - Revenue	Community Bank	0.00
Corning City Court - Revenue	Wells Fargo Bank	11,139.35
Corning City Court Bail	M&T Bank	0.00
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	34,362.50
Geneva City Court Revenue Account	Wells Fargo Bank	14,160.60
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	24,942.04
Hornell City Court Revenue	Steuben Trust Co.	3,270.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	1,024.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	29,425.25
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	2,172.00
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	478,209.36
Rochester City Revenue	M&T Bank	43,483.60
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	317.25
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	2,828.50
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	2,781.00
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	2.00
05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION		
Allegany County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Allegany Surrogate Court	Wells Fargo Bank	No report received
Batavia City Court		
Batavia City Bail Account	M&T Bank	No report received
Batavia City Court Revenue	M&T Bank	No report received
Buffalo City Court		
Buffalo City Bail Account	M&T Bank	No report received
Buffalo City Revenue Account	M&T Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER BUFFALO CITY COURT BAIL ACCOUNT	Wells Fargo Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER BUFFALO CITY COURT REVENUE ACCOUNT	Wells Fargo Bank	No report received
Cattaraugus County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	No report received
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	No report received
Dunkirk City Court		
Dunkirk City - Revenue	Key Bank	No report received
Dunkirk City Court - Bail	Key Bank	No report received
ST of NY Office of The State Comptroller Dunkirk Bail Account	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Dunkirk Revenue Account	Wells Fargo Bank	No report received
Erie - Buffalo County Law Library		
Sur Ct Lib At Buffalo - Revenue	M&T Bank	No report received
Erie County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court	Wells Fargo Bank	No report received
Genesee County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Genesee Surrogate Court	Wells Fargo Bank	No report received
Jamestown City Court		
State of New York Office of Court Administration Jamestown City Court Bail	Key Bank	No report received
State of New York Office of Court Administration Jamestown City Court Revenue	Key Bank	No report received
Lackawanna City Court		
Lackawanna City Court Bail Account	Key Bank	No report received
Lackawanna City Court Revenue Account	Key Bank	No report received
Lockport City Court		

Lockport City - Bail	Key Bank	No report received
Lockport City HESC EFT Account - Revenue	Key Bank	No report received
Niagara City Court		
Niagara Falls Bail Bond Account	M&T Bank	No report received
Niagara City Court - Criminal		
City Court Of Niagara Falls Criminal - Revenue	M&T Bank	No report received
Niagara County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	No report received
Niagara Falls City Court		
ST of NY OFFICE OF THE STATE COMPTROLLER NIAGARA FALLS BAIL ACCOUNT	Wells Fargo Bank	No report received
ST of NY OFFICE OF THE STATE COMPTROLLER NIAGARA FALLS REVENUE ACCOUNT	Wells Fargo Bank	No report received
No. Tonawanda City Court		
N. Tonawanda City Court Bail	M&T Bank	No report received
N. Tonawanda City Court Revenue	M&T Bank	No report received
Olean City Court		
Olean City Court Bail Account	Community Bank	No report received
Olean City Court Revenue Account	Community Bank	No report received
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	No report received
Salamanca City Court		
Salamanca City Court Bail	Community Bank	No report received
Salamanca City Court City Judge - Revenue	Community Bank	No report received
Tonawanda City Court		
ST of NY Office of The State Comptroller Tonawanda City Court Bail	Wells Fargo Bank	No report received
ST of NY Office of The State Comptroller Tonawanda City Court Revenue	Wells Fargo Bank	No report received
Tonawanda City Court Bail	M&T Bank	No report received
Tonawanda City Court Revenue	M&T Bank	No report received
Wyoming County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	No report received
05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION		
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	14,004.79
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	8,775.40
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	36,073.30
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	47,510.10
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	151,268.14
Mt Vernon City Court		
Mt Vernon City Court State Bail	Wells Fargo Bank	165,554.13
Mt Vernon City Court State Revenue	Wells Fargo Bank	75,609.55
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	369,748.17
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	73,283.04
Newburgh City Court		
Newburgh Bail Account	Wells Fargo Bank	53,070.27
Newburgh City Court Revenue	Wells Fargo Bank	36,572.58
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	18,766.25
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	25,486.51
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	99,080.65
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	36,412.49
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	12,500.22
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	119,579.48
Poughkeepsie City Court -Revenue	Wells Fargo Bank	117,867.30
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	10,972.00
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	22,511.25
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	11,710.73
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	37,074.10
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	47,975.00
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	147,692.86
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	76,612.90
Yonkers City Court		
Yonkers City Bail Account - Bail	Wells Fargo Bank	464,447.14
Yonkers City Revenue Account - Revenue	Wells Fargo Bank	140,206.42

06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	47,863.14
Agency Advance Account	Key Bank	10,000.00
Agriculture Producers Sec Fund	Key Bank	3,112.00
Animal Population Control Account	Key Bank	48,132.30
Apple Marketing Order Fund	Key Bank	0.00
Consumer Food Industry Account	Key Bank	31,757.53
Dairy Industry Services Account	Key Bank	41,566.32
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products Grading	JPMorgan Chase Bank, N.A.	0.00
Milk Producers Security Fund	Key Bank	45,149.90
NYS Farmers Market Program	Key Bank	906,277.24
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	65.68
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	14,641.11
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	319.05
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	38,878.26
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
State Fair Premium Award Account	Solvay Bank	51,494.41
Weights & Measures Account	Key Bank	8,957.59
NYS Dept Agriculture & Markets		
Apple Marketing Order Fund	Key Bank	0.00
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products	Key Bank	20,142.84
State Fair		
NYS Fair Operating Account	Solvay Bank	210,966.78
NYS Fair Petty Cash/Travel	Solvay Bank	1,415.28
NYS Fair Special Account	Solvay Bank	228.85
State Fair Premium Award Account	Solvay Bank	0.00
08000 - DEPARTMENT OF CIVIL SERVICE		
Agency Advance Account	Bank of America, N.A.	3,000.00
Examination Application Fees Account	Bank of America, N.A.	5,883.00
Examination Application Fees Account	Key Bank	6,445.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	10,969,182.84
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	1,121.63
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	34,134.86
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	492,119.96
Conservation Petty Cash Account	M&T Bank	11,555.00
DEC/Exchange Account	M&T Bank	17,606.68
ENCON License Issuing Office	M&T Bank	719.00
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,180.40
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,841.40
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	1,556,677.07
Hunting Trapping & Fishing Account	M&T Bank	49,110.65
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	235,523.65
Lockbox Account	Wells Fargo Bank	285,640.86
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,324.55
NY Conservationist	Bank of America, N.A.	20,979.20
Program Fee	JPMorgan Chase Bank, N.A.	2,893.66
Revenue Account	Bank of America, N.A.	1,948,609.25
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,260,853.87
State of New York	Key Bank	97,105.16
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,128.93
Westhampton Project Escrow	JPMorgan Chase Bank, N.A.	255,521.02
Region 1		
Marine Permit Account	Bank of Smithtown	14,310.00
Region 3		
Revenue Region 3 Account	Bank of America, N.A.	0.00
Region 4		
Bear Spring Revenue Account	National Bank of Delaware	433.90
Region 4	Greene County Commercial Bank	10,756.07
Region 4 Camping	NBT Bank	1,927.67
Region 5		
Campsite Revenue Account	Glens Falls National	11.65
Land & Forest Region 5W	TD Bank	12,153.74
NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	157.33
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	45,715.02

Tree Nursery	Bank of America, N.A.	355.00
Region 6		
Fish & Wildlife Watertown	Key Bank	121.92
Lands & Forest District #7	Community Bank	0.00
Lands & Forests District #6	Community Bank	35.00
Lands And Forests District 10	M&T Bank	3,215.13
SNY Dept Of Environmental Conserv	Community Bank	14.04
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,692.98
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	12,598.63
General Cash Fund	Five Star Bank	6,978.97
Inmate Occupational Therapy Fund	Five Star Bank	122,374.84
Inmate Savings Account	Five Star Bank	253,986.06
Spendable Fund	Five Star Bank	167,604.91
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,623.23
Certificate of Deposit	Bank of America, N.A.	15,000.00
Certificate of Deposit	Bank of America, N.A.	90,000.00
Inmate Occupational Therapy Fund	Key Bank	23,951.81
Inmate Spendable Account	Bank of America, N.A.	47,114.66
Inmate Spendable Account	Key Bank	213,958.73
Inmate Spendable Savings CD	Key Bank	220,021.68
Misc Revenue	Key Bank	39,615.08
Money Market	Bank of America, N.A.	35,046.56
10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	12,757.09
Employee Benefit Fund	Key Bank	12,280.86
General Fund	Key Bank	3,808.99
Inmate Funds	Key Bank	182,733.28
Inmate Funds Money Market Account	Key Bank	833,143.27
Inmate Occupational Therapy Acct	Key Bank	79,960.49
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,898.04
Inmate Occupational Therapy Fund	Key Bank	17,301.70
Inmate Spendable Funds	Key Bank	38,650.09
Inmate Spendable Savings Account	Key Bank	90,576.72
Miscellaneous Receipts	Key Bank	15,809.25
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	6,251.48
General Fund	Key Bank	0.00
Inmate Fund	Key Bank	99,954.91
Inmate Fund Savings Account	Glens Falls National	152,500.00
Miscellaneous Account	Key Bank	10,130.87
Occupational Therapy	Key Bank	22,066.83
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	3,810.86
Employee Benefits	M&T Bank	14,925.68
Inmate Spending Account	M&T Bank	528,484.22
Inmates Account	M&T Bank	462,688.83
Inmates Benefit	M&T Bank	15,884.52
Misc Receipts	M&T Bank	55,976.66
Occupational Therapy Account	M&T Bank	29,370.40
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,167.11
Employee Benefit	Key Bank	902.56
Inmate Occupational Therapy Fund	Key Bank	42,302.51
Inmate Savings Account	Key Bank	88,045.59
Inmates Fund Account	Key Bank	105,610.20
Misc. Receipts	Key Bank	37,610.78
10070 - SING SING CORRECTIONAL FACILITY		
Cash Advance	JPMorgan Chase Bank, N.A.	8,490.86
Inmate Funds	JPMorgan Chase Bank, N.A.	117,934.96
Inmate Interest Funds	JPMorgan Chase Bank, N.A.	453,842.02
Misc Receipts	JPMorgan Chase Bank, N.A.	41,818.00
Occupational Therapy	JPMorgan Chase Bank, N.A.	106,291.81
Quality Work Life	JPMorgan Chase Bank, N.A.	39,830.10
10080 - GREEN HAVEN CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,847.80
General Fund	Key Bank	15,822.42
Inmates Money Market	Key Bank	287,400.48

Inmates Now Checking	Key Bank	580,615.36
Occupational Therapy Fund	Key Bank	148,049.36
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	4,631.59
Employee Benefit Fund	Bank of America, N.A.	10,254.52
Inmate Funds	Bank of America, N.A.	116,450.50
Inmate Funds Savings	Bank of America, N.A.	153,865.69
Misc Receipts	Bank of America, N.A.	3,791.95
Occupational Therapy	Bank of America, N.A.	26,349.51
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	460.10
Employee Benefit Fund	Sterling Bank	16,187.13
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	410,774.61
Inmate Occupational Therapy Account	Sterling Bank	39,281.32
Misc. Receipts	Sterling Bank	6,543.72
10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER		
Agency Advance Account	Chemung Canal Trust	1,383.03
ECF Clubhouse	Chemung Canal Trust	16,923.97
Employee Benefit Fund	Chemung Canal Trust	10,612.31
Inmate CD Account	M&T Bank	213,605.49
Inmates Fund	Chemung Canal Trust	451,027.69
Miscellaneous Receipts	Chemung Canal Trust	3,134.89
Occupational Therapy Fund	Chemung Canal Trust	45,282.05
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	No report received
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	No report received
Inmate Funds	JPMorgan Chase Bank, N.A.	No report received
Inmate Funds CD	JPMorgan Chase Bank, N.A.	No report received
Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	No report received
Misc. Receipts	JPMorgan Chase Bank, N.A.	No report received
Occupational Therapy	JPMorgan Chase Bank, N.A.	No report received
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Coxsackie	1,488.11
Employee Benefits Fund	National Bank of Coxsackie	7,400.79
Inmates Fund	National Bank of Coxsackie	64,616.47
Inmates Fund Savings Acct	National Bank of Coxsackie	23,650.84
Misc. Revenue	National Bank of Coxsackie	523.20
Money Market Acct	National Bank of Coxsackie	160,564.69
Occupational Therapy Acct	National Bank of Coxsackie	15,228.67
10140 - WOODBOURNE CORRECTIONAL FACILITY		
CD - Inmate Funds	First National Bank of Jeffersonville	50,000.00
CD - Inmate Funds	First National Bank of Jeffersonville	95,000.00
WCF Agency Advance	Jeff Bank	1,356.44
WCF General Fund	Jeff Bank	5,721.74
WCF Inmate Fund	Jeff Bank	209,139.56
WCF Occupational Therapy Fund	Jeff Bank	25,201.12
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.	6,743.35
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	9,280.23
Inmate Funds Account	JPMorgan Chase Bank, N.A.	66,720.23
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	628.54
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	3,540.32
Savings Account	JPMorgan Chase Bank, N.A.	15,574.05
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	7,786.95
Agency Advance	Community Bank	790.00
Diversity Management	Community Bank	493.07
Employee Benefit Fund	Community Bank	3,739.90
General Fund	Community Bank	82.67
Inmate Funds	Community Bank	1,894.98
Inmate Occupational Therapy Fund	Community Bank	7,885.41
Inmate Savings Money Market	Community Bank	0.00
Make A Difference Day	Community Bank	0.00
10240 - DOWNSTATE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,169.28
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	12,390.08
Inmate Fund	JPMorgan Chase Bank, N.A.	364,020.31

Inmates Funds Savings	JPMorgan Chase Bank, N.A.	80,122.03
Misc. Receipts	JPMorgan Chase Bank, N.A.	33,342.70
Occupational Therapy	JPMorgan Chase Bank, N.A.	100,299.73
10250 - TACONIC CORRECTIONAL FACILITY		
Inmate Funds	JPMorgan Chase Bank, N.A.	152,557.66
Misc. Revenue	JPMorgan Chase Bank, N.A.	1,123.79
Money Market	JPMorgan Chase Bank, N.A.	30,868.81
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	16,236.82
Taconic Advance Account	JPMorgan Chase Bank, N.A.	3,152.62
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	3,184.94
Employee Benefit Fund Account	Key Bank	5,730.19
Inmate Funds Account	Key Bank	79,596.98
Inmate Key Advantage Account	Key Bank	50,284.25
Inmate Occupational Therapy Account	Key Bank	8,739.09
Miscellaneous Receipts Account	Key Bank	2,351.62
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	1,004.78
General Fund	Jeff Bank	2,405.88
Inmate Funds	Jeff Bank	205,359.02
Inmate Occupational Therapy	Jeff Bank	36,887.60
Inmate Savings	Jeff Bank	51,304.45
Inmate Savings CD	Hometown Bank	77,086.85
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	1,655.76
Employee Recreation Fund	M&T Bank	4,722.31
Inmate Deposit Account	M&T Bank	70,663.79
Inmate Occupational Therapy	M&T Bank	26.26
Misc Fees	M&T Bank	694.24
Work Release Advance Account	M&T Bank	2,674.00
10320 - EDGECOMBE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	565.64
Employee Benefit Account	JPMorgan Chase Bank, N.A.	2,464.91
Inmate Cash Account	JPMorgan Chase Bank, N.A.	74,954.11
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	0.00
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	1,739.86
Work Release Account	JPMorgan Chase Bank, N.A.	0.00
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	2,867.28
Inmate Fund	Community Bank	68,268.36
Inmate Savings	Community Bank	45,219.29
Misc. Receipts	Community Bank	473.18
Occupational Therapy	Community Bank	19,746.61
10360 - LINCOLN CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,332.75
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	5,240.55
General Fund	JPMorgan Chase Bank, N.A.	1,031.50
Inmate Funds	JPMorgan Chase Bank, N.A.	282,415.48
Inmate Savings	JPMorgan Chase Bank, N.A.	60,064.43
Lincoln Work Release Account	JPMorgan Chase Bank, N.A.	2,503.00
Occupational Therapy	JPMorgan Chase Bank, N.A.	3,077.27
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	973.06
EBF Checking	Five Star Bank	28,206.85
EBF Savings	Five Star Bank	31,755.96
Inmate Savings	Five Star Bank	257,879.42
Inmate Spendable	Five Star Bank	192,587.13
Misc Receipts	Five Star Bank	1,202.23
Occupational Therapy	Five Star Bank	28,323.20
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,499.90
Employee Benefit Fund Checking	Bank of America, N.A.	26,304.63
Inmate Funds Checking	Key Bank	373,997.34
Inmate Funds Savings	Key Bank	314,017.87
Miscellaneous Revenue	Key Bank	1,006.77
Occupational Therapy	Key Bank	27,079.83
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	3,850.00
Employee Benefit Account	Alden State Bank	27,942.47
Inmate Savings	Alden State Bank	196,300.67
Inmates Funds	Alden State Bank	87,771.88
Misc. Receipts	Alden State Bank	2,627.66
Occupational Therapy	Alden State Bank	66,161.73
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		

Office of Nutritional Services		
Miscellaneous Receipts	Key Bank	5,753.56
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,403.38
Employee Benefit Fund	Community Bank	12,934.88
Inmate Funds	Community Bank	85,826.18
Inmate Funds	Evans National Bank	82,919.95
Inmate Funds - CD	Evans National Bank	135,711.35
Inmate Funds Savings	Community Bank	123,663.15
Miscellaneous Revenue	Community Bank	4,977.55
Occupational Therapy	Community Bank	22,515.63
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	923.77
Employee Commission Account	Five Star Bank	12,781.90
Inmate Funds Account	Five Star Bank	143,020.73
Inmate Funds Account - Savings	Five Star Bank	108,027.40
Miscellaneous Receipts Account	Five Star Bank	2,800.22
Occupational Therapy Account	Five Star Bank	17,005.25
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	3,459.03
Employee Activities	Community Bank	51,127.88
Inmate Fund Checking	Community Bank	149,625.33
Inmate Savings	Community Bank	130,523.70
Miscellaneous Revenue	Community Bank	8,645.11
Occupational Therapy	Community Bank	17,409.57
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	Key Bank	No report received
Employee Benefit Fund	Bank of America, N.A.	No report received
Inmate Funds	Key Bank	No report received
Inmate Savings	Key Bank	No report received
Misc. Revenue	Key Bank	No report received
Occupational Therapy	Key Bank	No report received
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	2,854.10
Employee Benefit Fund Account	Bank of America, N.A.	6,734.47
Inmate Fund Account	Key Bank	176,275.50
Misc receipts Acct	Key Bank	1,146.73
NYS DOCS Marcy CORR Facility	Key Bank	206,511.31
Occupational Therapy fund Acct	Key Bank	43,330.50
10500 - NYC CENTRAL ADMINISTRATION		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	2,394.76
Misc Receipts	JPMorgan Chase Bank, N.A.	509.17
10501 - CENTRAL PHARMACY		
NYS Docs Central Pharmacy Advance Acct	Bank of America, N.A.	1,000.00
10510 - MORIAH SHOCK INCARCERATION CORRECTIONAL FACILITY		
Moriah Shock Incarceration Advance Acct	Glens Falls National	1,800.00
Moriah Shock Incarceration Employee Benefit Fund	Glens Falls National	4,116.73
Moriah Shock Incarceration Occ Therapy	Glens Falls National	2,852.72
Moriah Shock Misc Receipts	Glens Falls National	10.00
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	50,814.09
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,546.77
Employee Benefit Account	Key Bank	11,501.79
Inmate Funds	Key Bank	108,388.26
Inmate Occupational Therapy	Key Bank	18,923.31
Inmate Savings	Key Bank	217,335.33
Misc. Receipts	Key Bank	2,958.74
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	3,229.74
Employees Vending Benefit	NBT Bank	10,171.88
Inmates Funds	NBT Bank	119,850.05
Misc Revenues General Fund	NBT Bank	97.14
Occupational Therapy	NBT Bank	7,697.75
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	1,381.91
Cert Of Deposit	First National Bank of Groton	86,908.92
Employee Benefit Fund	First National Bank of Groton	6,517.06
Inmate Occupational Therapy Account	First National Bank of Groton	36,074.79
Inmate Spendable	First National Bank of Groton	190,561.67
Inmate Spendable	First National Bank of Groton	No report received
Misc Receipts	First National Bank of Groton	1,022.33
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,985.56
Employee Benefit Fund	Key Bank	9,149.99

Inmate Spendable Funds	Key Bank	126,036.93
Key Public Money Market Checking	Key Bank	308,695.65
Miscellaneous Receipts	Key Bank	659.25
Occupational Therapy	Key Bank	26,049.33
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,404.00
Inmate Accounts	Key Bank	112,517.36
Inmate Savings Account	Key Bank	105,489.36
Miscellaneous Receipts Account	Key Bank	7,903.72
Occupational Therapy	Key Bank	23,240.45
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,900.00
Employee Benefit Fund	Community Bank	40,542.13
Inmate Occupation Therapy Acct	Community Bank	32,205.02
Inmate Savings	Community Bank	176,663.01
Inmate Spendable Account	Community Bank	102,136.56
Miscellaneous Receipts Account	Community Bank	3,590.91
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	3,700.00
Employee Benefit Fund	Community Bank	10,022.13
Inmate Funds	Community Bank	76,342.39
Inmate Funds - Sav	Community Bank	94,650.17
Miscellaneous Revenue	Community Bank	2,462.55
Occupational Therapy	Community Bank	1,120.30
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	0.00
Agency Advance	M&T Bank	1,777.26
Employee Benefit Fund	Bank of America, N.A.	0.00
Employee Benefit Fund	M&T Bank	6,832.35
Inmate Fund	Bank of America, N.A.	0.00
Inmate Fund	M&T Bank	203,747.00
Inmate Funds Savings	Bank of America, N.A.	0.00
Inmate Funds Savings	M&T Bank	12,297.45
Misc Receipts	M&T Bank	526.78
Misc. Receipts	Bank of America, N.A.	0.00
Occupational Therapy	Bank of America, N.A.	0.00
Occupational Therapy	M&T Bank	4,261.39
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	No report received
Employee Benefit Fund	Chemung Canal Trust	No report received
Inmate Funds	Chemung Canal Trust	No report received
Inmate Funds Account	Chemung Canal Trust	No report received
Misc. Receipts Account	Chemung Canal Trust	No report received
Occupational Therapy Account	Chemung Canal Trust	No report received
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	2,226.33
Employee Benefit Fund	Bank of America, N.A.	11,217.82
Inmate Funds	Bank of America, N.A.	77,944.93
Inmate Savings	Bank of America, N.A.	157,908.03
Miscellaneous Receipts	Bank of America, N.A.	15,946.72
Occupational Therapy	Bank of America, N.A.	34,362.93
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,043.65
General Account	Key Bank	0.00
Inmate Account	Key Bank	236,027.95
Inmate Funds Account Certificate Of Deposit	Glens Falls National	78,694.37
Inmate Savings Account	Key Bank	14,345.69
Occupational Therapy Account	Key Bank	25,896.69
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	6,289.32
Employee Benefit Fund	Five Star Bank	10,637.64
Inmate Occupational Therapy	Five Star Bank	48,295.24
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings Account	Five Star Bank	51,538.57
Inmate Savings-Certificate of Deposit	Five Star Bank	25,000.00
Inmate Spendable	Five Star Bank	244,429.76
Misc. Receipts Account	Five Star Bank	9,439.79
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	1,075.21
Inmate Accounts	National Bank of Coxsackie	382,649.16
Inmate Savings	National Bank of Coxsackie	448,388.38
Misc. Receipts	National Bank of Coxsackie	937.54
Occupational Therapy	National Bank of Coxsackie	61,724.52

10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	900.00
Inmate Funds	Key Bank	150,216.00
Inmates Funds Account	Key Bank	36,381.82
Misc. Receipts Account	Key Bank	2,543.83
Occupational Therapy Acct	Key Bank	28,809.91
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Key Bank	2,296.50
Inmate Checking	Key Bank	47,238.60
Inmate Savings	Key Bank	100,335.81
Miscellaneous	Key Bank	11,035.52
Occupational Therapy	Key Bank	24,884.29
10800 - LIVINGSTON CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	3,227.74
Employee Benefit Fund	Five Star Bank	4,125.42
Inmate Funds Checking	Five Star Bank	52,736.99
Miscellaneous Receipts	Five Star Bank	167.57
Occupational Therapy	Five Star Bank	8,886.19
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	1,369.27
Inmate Occupational Therapy	Community Bank	27,206.17
Inmate Savings	Community Bank	234,946.82
Inmate Spendable Fund	Community Bank	125,870.02
Misc Receipts	Community Bank	12,231.88
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	913.70
Employee Benefit Fund	Community Bank	18,206.29
Inmate Funds	Community Bank	87,474.74
Inmate Occupational Therapy	Community Bank	8,749.48
Misc Receipts	Community Bank	207.40
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	1,900.00
Facility Committees	Key Bank	15,732.22
Inmate Fund	Key Bank	185,267.07
Inmate Fund Savings	Key Bank	0.00
Inmate Occupational Therapy Fund	Key Bank	5,940.44
Miscellaneous Account	Key Bank	524.50
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	615.00
Employee Benefit Fund	Bank of America, N.A.	8,009.13
Inmate Funds	Key Bank	101,387.64
Inmate Interest Bearing Account	Key Bank	15,005.61
Misc Receipts	Key Bank	116.25
Occupational Therapy	Key Bank	25,291.80
10890 - CORRECTIONS AND COMMUNITY SUPERVISION		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	307,462.76
Parole Supervision Fee	Wells Fargo Bank	39,785.97
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	332,805.09
Div of Ind Revenue Acct	Key Bank	4,000.00
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	No report received
Operating	Key Bank	No report received
Retail Lockbox	US Bank	No report received
TAP	Key Bank	No report received
Wholesale Lockbox	US Bank	No report received
11260 - BATAVIA SCHOOL FOR THE BLIND		
Misc. Receipts	M&T Bank	1,125.69
Petty Cash	M&T Bank	4,000.00
Student Spending Account	Bank of America, N.A.	10,665.73
11270 - ROME SCHOOL FOR THE DEAF		
Miscellaneous Receipts	NBT Bank	7,632.67
Petty Cash	NBT Bank	1,990.00
Student Activity Fund	NBT Bank	13,546.64
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	4,663,416.16
Endowment - Special Account	Janney Montgomery Scott LLC	No report received
Trust's Board Project Account	Key Bank	112,554.57
12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION		
Conf Narcotic Investigation	M&T Bank	5,292.56

Consolidated Advance Acct	M&T Bank	13,336.11
CSA Rebate Account	Bank of America, N.A.	852,212.58
DOH EPIC Lockbox Acct	Wells Fargo Bank	59,924.49
Early Intervention - Municipal Deposits for Provider Pymts	Key Bank	0.00
Early Intervention - Provider Payments Escrow	Key Bank	2,026,504.28
Early Intervention - State Funds	Key Bank	17,749.29
EPIC Co Pay Account	Bank of America, N.A.	0.00
Epic Drug Manufacturer Rebate Account	Bank of America, N.A.	94,208.50
EPIC EFT Acct	Bank of America, N.A.	0.00
EPIC Master Funding Acct	Bank of America, N.A.	332,966.11
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	17,778.02
General Account	M&T Bank	160,397.51
ICR Audit Fees Account	Bank of America, N.A.	37,666.68
Indian Health Disbursement Account	Bank of America, N.A.	0.00
Indian Health-Master Acct	Bank of America, N.A.	21,930.16
Medicaid	Key Bank	111,874.66
Medicaid Audit Recoveries Acct	Key Bank	18,241.89
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	505,694.70
Nurses Aide Fees (Prometric)	Bank of America, N.A.	52,901.69
Nursing Home Fees Account	Bank of America, N.A.	50,383.82
NYS DOH CLEP Revenue	Key Bank	593.57
NYS WIC Adjustment Account	Key Bank	3,856.43
OBRA Drug Rebate Program Acct	Bank of America, N.A.	50,871,468.78
SPARCS	Key Bank	25,643.47
WIC Program	Key Bank	1,044,795.94
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	4,327,383.38
12030 - HELEN HAYES HOSPITAL		
Misc. Receipts	JPMorgan Chase Bank, N.A.	318,012.04
Petty Cash Account	JPMorgan Chase Bank, N.A.	13,018.83
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	6,214.72
12120 - NYS VETERANS HOME-OXFORD		
Agency Advance	NBT Bank	12,177.40
Exchange Account	NBT Bank	19,945.39
Maintenance Fund	NBT Bank	594,590.12
NYS Veterans Home-Oxford (Resident Account, Custodial Account)	NBT Bank	239,276.38
Resident Custodial Account	NBT Bank	675.43
Resident Custodial Account	NBT Bank	1,431.67
Resident Custodial Account	NBT Bank	3,504.87
Resident Custodial Account	NBT Bank	9,262.28
Resident Custodial Account	NBT Bank	1,482.71
Resident Custodial Account	NBT Bank	4,979.50
Resident Custodial Account	NBT Bank	4,117.28
Resident Custodial Account	NBT Bank	3,759.74
Resident Custodial Account	NBT Bank	2,193.62
Resident Custodial Account	NBT Bank	3,581.01
Resident Custodial Account	NBT Bank	200.32
12150 - NYS VETERANS HOME-ST ALBANS		
NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	8,805.71
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	809,975.84
St Albans Vet Home Maintenance Acct	NBT Bank	848,953.52
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	3,389.66
Exchange Account	Bank of America, N.A.	54,940.78
Maintenance Account	NBT Bank	546,505.90
Resident Funds	Bank of America, N.A.	48,252.17
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	10,947.85
Maintenance Acct	NBT Bank	841,741.39
Residence Account	Bank of America, N.A.	701,682.17
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	254.59
Albany Petty Cash Account	Key Bank	262.58
NYC Confidential Account	JPMorgan Chase Bank, N.A.	166.00
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	27,984.95
Exchange Account	Bank of America, N.A.	154,037.53
Fee And Permit Account	Key Bank	1,020,992.54
Min Wage & Claim Funding Acct	Key Bank	210,218.81
Minimum Wage & Wage Claim Acct	Key Bank	1,289,158.27
Misc Receipts	Bank of America, N.A.	91,292.96
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	5,484,118.71

UI Fund ACH Transactions	Wells Fargo Bank	100,000.00
14010 - WORKERS COMPENSATION BOARD		
DTF/WCB MAC 14	JPMorgan Chase Bank, N.A.	131,295,019.96
16000 - PUBLIC SERVICE COMMISSION		
Cable Account	Key Bank	5,917.67
Petty Cash Account	Key Bank	3,513.82
Special Fee Account	Key Bank	14,179.42
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	106,359.76
Driver Improvement Program (DIP)	Key Bank	39,564.31
Main Office Advance For Travel	Key Bank	51,158.88
PARTNERS DOT -HOOCS	Key Bank	4,556,082.03
Revenue Unit	Key Bank	810,080.25
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	80,231.46
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.	No report received
JCOPE Revenue Account	Bank of America, N.A.	No report received
20000 - DEPARTMENT OF TAXATION & FINANCE		
Exchange	Bank of America, N.A.	0.00
Fee Account	Key Bank	581.00
IFTA Funding	JPMorgan Chase Bank, N.A.	2,267.22
Misc Tax Account - Exchange	Bank of America, N.A.	70,422.75
Petty Cash	Bank of America, N.A.	16,504.50
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	46,400.00
Waste Tire Fee (EFT)	Wells Fargo Bank	984,698.75
Waste Tire Tax	JPMorgan Chase Bank, N.A.	57,577.30
20050 - NEW YORK STATE GAMING COMMISSION		
Charitable Gaming Account	Key Bank	157,477.58
Custody Account	US Bank	12,512.93
Fingerprint Concentration Account	Key Bank	17,173.06
License Revenue Account	Bank of America, N.A.	42,834.81
Lottery Concentration Account	Key Bank	262,007.01
Lottery Prize Payment Account	Key Bank	0.00
Lottery Subscriptions Account	Key Bank	667,987.90
Petty Cash Account	Key Bank	856.26
Racing Refund Account	Key Bank	1,932,487.12
Video Gaming Revenue Account	Key Bank	10,370,697.13
21012 - WELFARE INSPECTOR GENERAL		
Confidential Fund	Bank of America, N.A.	15,000.00
Confidential Fund	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
21110 - OFFICE OF REGULATORY REFORM		
Petty Cash	Key Bank	No report received
21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT		
Checking- General Fund Acct.	Community Bank	No report received
Checking- Petty Cash Fund	Community Bank	No report received
Hudson River General Acct	Bank of America, N.A.	No report received
Money Market	Bank of America, N.A.	No report received
Petty Cash Fund	Bank of America, N.A.	No report received
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	1,171.83
Albany		
Office of the Inspector General Confidential	Bank of America, N.A.	30,000.00
21820 - STATE COMMISSION ON JUDICIAL CONDUCT		
Petty Cash Account	JPMorgan Chase Bank, N.A.	747.88
Petty Cash Account	Key Bank	10.99
Petty Cash Fund	JPMorgan Chase Bank, N.A.	864.83
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
23000 - DEPARTMENT OF MOTOR VEHICLES		
Abany Central Main Acct		

Albany Central Main Acct	Wells Fargo Bank	368,735.24
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	40,937.40
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	31,280.69
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	9,932.67
Administrative Adj	M&T Bank	No report received
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	1,290.00
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	5,404.44
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	107,244.38
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	1,038.00
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	97,344.86
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	83,421.13
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	81,715.98
Chautaqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	84,316.05
Chautauqua County		
Holding Acct-Chautauqua County	Community Bank	No report received
Holding Acct-Chautauqua County	Key Bank	No report received
Holding Acct-Chautauqua County	M&T Bank	No report received
Concentration (CTY)(OSC)		
Concentration (CTY)(OSC)	Key Bank	286,000.00
Concentration (DO)(OSC)		
Concentration (DO)(OSC)	Key Bank	1,868,756.25
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	No report received
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	1,051,057.79
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	34,855.32
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	3,148,056.78
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Downstate		
Revenue Account - Downstate	Wells Fargo Bank	981,033.82
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	1,489.98
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	34,523.64
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	44,560.43
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.	61,373.60
IRP (Albany Central Office)		
International Registration	M&T Bank	1,038,599.62
International Registration	Wells Fargo Bank	232,224.51
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	323,263.99
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	342,962.48
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	858,182.19
Long Island/Staten Island JP		
Long Island/Staten Island (Mass/Med)	JPMorgan Chase Bank, N.A.	136,197.71
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	29,206.14
Office Fee (Albany Central Office)		
Office Fee	Wells Fargo Bank	3,264.20
Oneida County		

DMV Oneida County Fee Account	Bank of Utica	195,499.62
Oneida County Fee Account	NBT Bank	149,677.59
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	No report received
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	4,130.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	122,835.28
Search Exchange (Albany Central Office)		
MV Search	Key Bank	119,779.61
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	59,699.82
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	525.00
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	203,903.30
TLC/DOCCS		
TLC/DOCCS	JPMorgan Chase Bank, N.A.	428,167.37
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	No report received
TVB Acct		
TVB Acct	Wells Fargo Bank	268,585.82
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	729,761.90
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	197,408.30
Utica D.O.		
Exchange Account	Bank of Utica	No report received
Revenue Utica	Bank of Utica	1,846,886.84
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.	488.30
Brooklynn Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	500.00
Brookwood Cash Advance	Key Bank	1,722.29
Brookwood Resid Residential Cash	Key Bank	9,299.94
Check Exchange	Bank of America, N.A.	4,425.51
CO Independent Living Acct	Bank of America, N.A.	2,000.00
Co. Training Employment Dev (Youth Stipend)	Bank of America, N.A.	25,000.00
Columbia Girls Secure Center-Advance Acct	Key Bank	700.00
Columbia Girls Secure Center-Youth Savings	Key Bank	359.37
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	2,177.92
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.	4,741.08
Harriet Tubman Advance Account	Key Bank	500.00
Harriet Tubman Residents' Account	Key Bank	1,027.06
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	1,896.99
Highland Res Ctr Residents Acct	Bank of America, N.A.	2,591.68
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,363.00
Industry Res Account	JPMorgan Chase Bank, N.A.	4,390.00
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	115.00
MacCormick Cash Advance	Tompkins County Trust	2,096.00
MacCormick Residents' Account	Tompkins County Trust	7,001.14
Medicaid Reimbursement Exchange	Bank of America, N.A.	315,296.89
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	15,500.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	16,060.00
Queens CMSO Cash Advance	Bank of America, N.A.	0.00
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	600.00
Red Hook Res Ctr Resident Cash	Key Bank	109.73
Red Hook Resid Ctr Cash Advance	Key Bank	300.00
SCR Credit Card Revenue Account	Bank of America, N.A.	36,175.00
State Central Register	Bank of America, N.A.	122,993.60
Taberg Cash Advance	NBT Bank	587.46
Taberg Residents Account	NBT Bank	958.96
Youth Leadership Academy	NBT Bank	446.00
Youth Leadership Cash Advance	NBT Bank	750.00
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	0.70
Title IV D Of Social Security	Key Bank	1,340,103.68
Travel Advance	Key Bank	8,965.28
28010 - SUNY ALBANY		

Fee Account	Key Bank	(1,225,327.26)
Loan Services Center Account	Key Bank	49,491.51
Petty Cash/Travel Advance	Key Bank	0.00
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	93,614.55
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	653,972.49
Imprest Account	Key Bank	6,960.69
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	1,042,499.65
Controlled Disbursement	JPMorgan Chase Bank, N.A.	(1,400.00)
Fees Depository	JPMorgan Chase Bank, N.A.	3,139,637.27
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	185,142.24
LISVH Fees Depository	Sterling Bank	779,747.82
LISVH Residence Fund	Sterling Bank	389,487.94
Payroll Advance	JPMorgan Chase Bank, N.A.	12,739.30
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	20,209.66
SUNY Eastern Long Island Hospital Depository	JPMorgan Chase Bank, N.A.	1.00
SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	1,751,025.46
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	39,850,024.95
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,832.60
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	572,078.16
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.	4,489,466.34
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	110,887.62
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	68,387.46
Controlled Disbursement	Key Bank	0.00
Hospital Revenue	Key Bank	3,054,738.45
Parking	Key Bank	213,545.79
28150 - SUNY BROCKPORT		
Brockport-REOC Account	Key Bank	9,643.59
Concentration Acct	M&T Bank	227,121.61
Controlled Disb	M&T Bank	0.00
28160 - SUNY BUFFALO STATE COLLEGE		
Controlled Disb	M&T Bank	0.00
Dept Public Safety	M&T Bank	0.00
Special Grant Account	M&T Bank	3,773.14
Students Acct Office	M&T Bank	119,998.04
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	72,824.98
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	100,120.00
28190 - SUNY GENESEO		
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	138,247.15
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	72,774.10
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
State Revenue	Key Bank	134,011.87
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	514,655.56
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	385,734.21
Imprest Account	Key Bank	0.00
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	781,067.77
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	84,585.30

28260 - SUNY PURCHASE		
General Income Fund	Key Bank	43,265.72
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.	72,732.14
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	198,496.95
Distribution Center Account	Key Bank	31,625.97
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	1,260,986.87
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	149,799.34
Dental Hygiene	NBT Bank	0.00
Income Fund	Key Bank	108,743.39
International Program Account	Key Bank	21,551.00
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	121,177.01
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	134,261.08
Petty Cash Fund	Delaware National Bank	0.00
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Income Fund	Citibank	579,932.07
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	593,483.84
Revenue Account	NBT Bank	9,877.67
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	260.50
Regular Account	Key Bank	90,140.56
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.	49,365.41
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	75,119.91
Revenue EFT Account	JPMorgan Chase Bank, N.A.	107,039.51
28580 - SUNY COLLEGE OF OPTOMETRY		
General Revenue	JPMorgan Chase Bank, N.A.	108,818.79
Medical Transportation	JPMorgan Chase Bank, N.A.	212.38
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	2,121,530.31
Revenue	Key Bank	61,082.74
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	6,295.56
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,669.53
Fire Tax Account (Main)	Key Bank	102,273.85
Fire Tax Payment	Key Bank	11,019,717.18
General Assessment Account	JPMorgan Chase Bank, N.A.	100,341.54
General Fund	Key Bank	100,081.03
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	13,557.21
Miscellaneous Account	JPMorgan Chase Bank, N.A.	0.00
Petty Cash	Key Bank	206,319.34
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	6,000.00
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Contractors Bid (SA)	Bank of America, N.A.	82,841.68
Revenue (SA)	Glens Falls National	33,766.71
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	61,280.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	355,504.09
Revenue (LI)	People's United Bank	40,892.48
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	43,893.99
Revenue (GE)	Bank of Castile	126,858.47
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	6,630.37
Revenue (NIA)	Evans National Bank	34,153.26
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	8,960.85
49070 - OFFICE OF PARKS & RECREATION		

Main Office - Change Fund	Key Bank	15,675.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	Key Bank	508,847.04
Petty Cash (ALB)	Key Bank	29,336.50
Revenue (NI, GE, AL, CE, TA)	M&T Bank	41,340.97
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	186,303.59
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	123,623.06
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	57,811.37
Revenue (various)	Wells Fargo Bank	60,812.36
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	284,743.25
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	563,633.97
Statewide Housing Security Deposits	Key Bank	182,303.38
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	19,328.78
Revenue (FL)	Savannah Bank	49,700.17
Revenue (FL-Multi)	Community Bank	11,984.75
Revenue (FL-Multi-Facilities)	Tompkins County Trust	160,465.41
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	7,547.00
Regional Account (AL)	Five Star Bank	67,942.59
Revenue (AL)	Five Star Bank	80,433.58
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	18,809.27
Revenue (CE, SA, TI)	NBT Bank	67,641.48
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	2,159.03
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI)	Citizens Bank	30,773.43
Revenue (TI-Multi)	Community Bank	7,278.40
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	7,441.19
Iterim Assistance Agreement	Bank of America, N.A.	No report received
OMH Medication Grant Program Acct	Bank of America, N.A.	1,651.70
Reimbursement Account	Bank of America, N.A.	No report received
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	7,307.10
Facility Holding Account	JPMorgan Chase Bank, N.A.	13,455.44
Patient Cash Funds	JPMorgan Chase Bank, N.A.	449,174.69
Patients Cash Account	JPMorgan Chase Bank, N.A.	184,296.16
Security Deposit	JPMorgan Chase Bank, N.A.	2,757.45
50020 - KINGSBORO PSYCHIATRIC CENTER		
Advance Account	Banco Popular	26,873.62
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	211,817.87
Medicaid Outpatient Travel	Banco Popular	471.97
Patient Cash Acct (MM)	Banco Popular	172,842.39
Patient Checking Account	Citibank	33,937.61
Patient Savings Account	Banco Popular	334,198.93
Security Deposit	Banco Popular	2,488.91
Urban Oasis/EBT	Banco Popular	47,238.32
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	Key Bank	56,730.03
Faciity Holding	Key Bank	15,507.60
Patient Cash Checking	Key Bank	64,154.42
Patient Cash Checking	M&T Bank	67.44
50060 - HUDSON RIVER PSYCHIATRIC CENTER		
Patients Cash	JPMorgan Chase Bank, N.A.	0.00
50080 - MANHATTAN PSYCHIATRIC CENTER		
Advance Account	Sterling Bank	17,084.11
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	3,618.10
Patient Cash Checking	Hudson Valley National Bank	699,990.55
Patients Money Market	Hudson Valley National Bank	72,823.61
Social Service Tokens	Hudson Valley National Bank	38,920.00
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	37,780.64
Facility Holding	Key Bank	113,768.06
Patients Cash Account	Key Bank	115,178.75
Patients Fund Savings	Key Bank	232,155.70
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	15,510.95
Facility Holding Account	Community Bank	16,834.73
Patients Cash Account	Community Bank	19,846.85
Patients Cash Savings	Community Bank	227,300.01

50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	39,877.24
Certificate Of Deposit	HSBC	150,000.00
Certificate Of Deposit	HSBC	250,000.00
Holding Account	HSBC	23,126.11
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	593,024.31
Patient Cash Account	HSBC	151,470.65
Rent Holding Account	HSBC	1,815.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	42,587.45
Exchange	JPMorgan Chase Bank, N.A.	118,176.29
Holding Account	JPMorgan Chase Bank, N.A.	27,100.09
INVESTMENT CD A	Sterling Bank	100,000.00
Investment CD B	Sterling Bank	100,000.00
INVESTMENT CD C	Sterling Bank	100,000.00
INVESTMENT CD D	Sterling Bank	100,000.00
INVESTMENT CD G	Sterling Bank	100,000.00
INVESTMENT CD I	Sterling Bank	100,000.00
Patient Cash Account	JPMorgan Chase Bank, N.A.	50,000.00
Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	205,379.10
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	950,145.97
50180 - NYS PSYCHIATRIC INSTITUTE		
Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	4,016.21
General	JPMorgan Chase Bank, N.A.	13,438.93
Petty Cash	JPMorgan Chase Bank, N.A.	945.35
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	8,358.96
Clients Count	Key Bank	108,068.77
Holding Account	Key Bank	8,358.96
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	44,441.40
Facility Holding Acct	JPMorgan Chase Bank, N.A.	236,014.20
Patient Cash	JPMorgan Chase Bank, N.A.	630,999.21
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	10,837.16
Facility Holding	Key Bank	16,652.43
Patient Cash Checking	Key Bank	22,352.25
Patient Cash Savings	Key Bank	28,887.76
Security Deposit	Key Bank	8,510.46
50310 - BRONX PSYCHIATRIC CENTER		
CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	15,688.15
Misc. Receipts	JPMorgan Chase Bank, N.A.	27,352.38
Patients Cash MM	JPMorgan Chase Bank, N.A.	87,447.00
Patients Checking Acct	JPMorgan Chase Bank, N.A.	441,757.50
50340 - NATHAN KLINE INSTITUTE		
Petty Cash Account	JPMorgan Chase Bank, N.A.	1,300.00
50350 - KIRBY FORENSIC PSYCHIATRIC CENTER		
Consolidated Advance Account	Hudson Valley National Bank	6,917.93
Holding Account	Hudson Valley National Bank	35,686.25
Patient Cash Account	Hudson Valley National Bank	110,669.59
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	9,595.05
General Fund	Key Bank	5,579.73
Patient Checking	Key Bank	70,727.38
Patient Savings	Key Bank	146,224.56
Security Deposit	Key Bank	2,659.94
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	15,783.60
Facility Holding Account	Key Bank	1,441.70
Patients Account	Key Bank	170,587.35
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	5,000.00
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	16,526.48
Facility Holding Checking	JPMorgan Chase Bank, N.A.	8,631.72
Family Care Checking	JPMorgan Chase Bank, N.A.	0.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	501,617.50
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	13,721.45
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	Key Bank	1,281.09
Exchange Account	Key Bank	0.00

Patient Cash	Key Bank	344.10
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	50,324.23
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	5,145.00
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	13,917.96
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	3,561.89
Queens Adv Acct	HSBC	10,843.93
Queens Childrens Account	HSBC	7,428.69
50920 - ELMIRA PSYCHIATRIC CENTER		
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Facility Advance Account	Chemung Canal Trust	11,420.76
General Fund Account	Chemung Canal Trust	5,042.28
IMMA	Chemung Canal Trust	45,674.87
Patients Fund Account	Chemung Canal Trust	162,159.11
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	13,098.12
Facility Holding Account	Key Bank	72,386.48
Parking Garage Account	Key Bank	195,855.35
Patients Cash Checking Account	Key Bank	114,315.77
Patients Cash Savings Account	Key Bank	396,618.35
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.	11,173,093.70
51210 - HUDSON VALLEY DDSO		
EBT Checking	JPMorgan Chase Bank, N.A.	No report received
Exchange Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Investor's Choice Savings	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
PTS Cash Checking	JPMorgan Chase Bank, N.A.	No report received
51240 - CENTRAL NY DDSO		
Advance Accounts	Key Bank	34,847.17
Clients Account	Key Bank	350,452.81
Consumer Cash - Savings	Adirondack Bank	247,165.30
Consumer Cash - Savings	Key Bank	3,411,486.91
Exchange Account	Key Bank	95.22
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	57,366.43
General Fund	M&T Bank	341,398.93
Patients Cash Checking	M&T Bank	1,826,472.25
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	852,955.79
51270 - STATEN ISLAND DDSO		
Clients Cash Account	JPMorgan Chase Bank, N.A.	No report received
General Fund Account	JPMorgan Chase Bank, N.A.	0.00
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	14,234.04
Staten Island DDSO EBT Checking Acct	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.	14,752.82
EBT Checking Account	JPMorgan Chase Bank, N.A.	0.04
General Fund	JPMorgan Chase Bank, N.A.	19,664.57
Patient Cash	JPMorgan Chase Bank, N.A.	427,851.80
51380 - BROOKLYN DDSO		
CD	Banco Popular	No report received

Consumers Fund	JPMorgan Chase Bank, N.A.	323,175.35
Consumers Money Management	JPMorgan Chase Bank, N.A.	684,585.37
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	217,165.70
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	22,307.11
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	10,530.30
51420 - SUNMOUNT DDSO		
Certificate of Deposit	Community Bank	No report received
Community Store Fund	Community Bank	No report received
Exchange Fund	Community Bank	No report received
Residents Fund	Community Bank	No report received
Sunmount Advance Account	Community Bank	No report received
Sunmount EBT Checking Account	Community Bank	No report received
51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES		
Petty Cash	JPMorgan Chase Bank, N.A.	3,000.00
51450 - METRO NY DDSO		
Consolidated Acct	JPMorgan Chase Bank, N.A.	45,050.14
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	25,922.10
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	0.00
Metro NY DDSOO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	257,267.85
Patients Cash Account	JPMorgan Chase Bank, N.A.	18,538.17
Patients Money Market Account	JPMorgan Chase Bank, N.A.	259.37
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
51470 - BERNARD M FINESON DDSO		
Bernard Fineson DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	563.00
Money Market Account	JPMorgan Chase Bank, N.A.	305,891.39
Patient Fund Account	JPMorgan Chase Bank, N.A.	327,452.95
Petty Cash Fund	JPMorgan Chase Bank, N.A.	11,083.22
51780 - FINGER LAKES DDSO		
Advance Account	JPMorgan Chase Bank, N.A.	No report received
F.L. Newark Resident Checking	Community Bank	No report received
Finger Lakes Resident Checking	JPMorgan Chase Bank, N.A.	No report received
FL Vending Machine Account	Community Bank	No report received
General Account	JPMorgan Chase Bank, N.A.	No report received
Geneseo Client Cash	Bank of America, N.A.	No report received
Kelsey Trust Fund	Bank of America, N.A.	No report received
Mary Moore Trust Fund	Bank of America, N.A.	No report received
Monroe Resident Checking	JPMorgan Chase Bank, N.A.	No report received
Monroe Resident Savings	JPMorgan Chase Bank, N.A.	No report received
Patient Food Stamp Account	JPMorgan Chase Bank, N.A.	No report received
51940 - BROOME DDSO		
Broome DDSO	M&T Bank	No report received
Broome DDSO - Advance Account	M&T Bank	No report received
Broome DDSO - General Fund	M&T Bank	No report received
Disabled Individuals Savings	Key Bank	No report received
Disabled Individuals Savings	M&T Bank	No report received
OMRDD Broome DDSO EBT Checking	M&T Bank	No report received
53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES		
Agency Advance Acct	Key Bank	No report received
Patient Fees	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	No report received
53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER		
Petty Cash Advance Account	Bank of America, N.A.	628.08
70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION		
CUNY Admin Imprest Cash Account	Citibank	10,059.95
70030 - CUNY HUNTER COLLEGE		
Travel Petty Cash Account	Citibank	49,345.06
70060 - CUNY JOHN JAY COLLEGE		
CUNY JOHN JAY COLLEGE IMPREST FUND	Citibank	14,864.45
70070 - CUNY LEHMAN COLLEGE		
Lehman College	Citibank	4,285.50
70080 - CUNY YORK COLLEGE		
York College Imprest Funds	Citibank	11,228.64
York College Travel Advance Fund	Citibank	817.00
70100 - CUNY COLLEGE OF STATEN ISLAND		
CSI Imprest Cash	TD Bank	4,907.67
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	16,721.42

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 06/30/2019

ACCOUNT	DESCRIPTION	DEPOSITORY	BALANCE AS OF 6/30/2019
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	3,440,284.61
DORMITORY AUTHORITY OF THE STATE OF NEW YORK			
0039	Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	1,407.90
0070	Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104	Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	12,095.87
0105	Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	258,081.67
0149	State Advances Repayment Account	Bank of America, N.A.	0.00
1202	DA DFRF MAC #1202 Biinghamton	Key Bank	337.07
1203	DA DFRF MAC #1203 Oneonta	Key Bank	987.98
1205	DA DFRF MAC #1205 Delhi	Key Bank	1,600,058.16
1206	DA DFRF MAC #1206 Buffalo Univ	Key Bank	473.91
1207	DA DFRF MAC #1207 Buffalo College	Key Bank	263.36
1208	DA DFRF MAC #1208 Alfred	Key Bank	1,528,327.01
1209	DA DFRF Mac #1209 Fredonia	Key Bank	737.82
1211	DA DFRF Mac #1211 Upstate Medical	Key Bank	370.00
1212	DA DFRF Mac #1212 Oswego	Key Bank	29,324.95
1214	DA DFRF Mac #1214 Cortland	Key Bank	4.89
1215	DA DFRF MAC #1215 Stony Brook	Key Bank	715,440.92
1216	DA DFRF MAC #1216 Old Westbury	Key Bank	742.57
1217	DA DFRF MAC #1217 Farmingdale	Key Bank	496.78
1218	DA DFRF MAC #1218 Downstate Med	Key Bank	502.34
1219	DA DFRF MAC #1219 Maritime	Key Bank	765.50
1221	DA DFRF MAC #1221 Brockport	Key Bank	151,314.33
1222	DA DFRF MAC #1222 Geneseo	Key Bank	82.36
1223	DA DFRF MAC #1223 Purchase	Key Bank	761.54
1224	DA DFRF MAC #1224 New Paltz	Key Bank	210.58
1225	DA DFRF MAC #1225 Canton	Key Bank	925.27
1226	DA DFRF MAC #1226 Plattsburgh	Key Bank	713,919.10
1227	DA DFRF MAC #1227 Potsdam	Key Bank	468.78
1228	DA DFRF MAC #1228 Morrisville	Key Bank	243.77
1229	DA DFRF MAC #1229 SUNYIT	Key Bank	710.02
1230	DA DFRF MAC #1230 Cobleskill	Key Bank	95.79
1239	DA DFRF MAC #1239 Albany	Key Bank	282,418.78
1240	Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202	DA OMRR MAC #2202 Binghamton	Key Bank	1,168.42
2203	DA OMRR MAC #2203 Oneonta	Key Bank	1,167.84
2205	DA OMRR MAC #2205 Delhi	Key Bank	1,011.94
2206	DA OMRR MAC #2206 Buffalo Univ	Key Bank	1,049.66
2207	DA OMRR MAC #2207 Buffalo College	Key Bank	1,123.59
2208	DA OMRR MAC #2208 Alfred	Key Bank	1,152.47
2209	DA OMRR MAC #2209 Fredonia	Key Bank	1,122.94
2211	DA OMRR MAC #2211 Upstate Medical	Key Bank	1,023.51
2212	DA OMRR MAC #2212 Oswego	Key Bank	1,353.10
2214	DA OMRR MAC #2214 Cortland	Key Bank	1,583.96
2215	DA OMRR MAC #2215 Stony Brook	Key Bank	1,003.99
2216	DA OMRR MAC #2216 Old Westbury	Key Bank	1,229.14
2217	DA OMRR MAC #2217 Farmingdale	Key Bank	1,014.05
2218	DA OMRR MAC #2218 Downstate Med	Key Bank	1,020.34
2219	DA OMRR MAC #2219 Maritime	Key Bank	1,213.21
2221	DA OMRR MAC #2221 Brockport	Key Bank	1,050.45
2222	DA OMRR MAC #2222 Geneseo	Key Bank	1,138.49
2223	DA OMRR MAC #2223 Purchase	Key Bank	1,085.58
2224	DA OMRR MAC #2224 New Paltz	Key Bank	1,078.70
2225	DA OMRR MAC #2225 Canton	Key Bank	1,040.35
2226	DA OMRR MAC #2226 Plattsburgh	Key Bank	1,003.55
2227	DA OMRR MAC #2227 Potsdam	Key Bank	1,208.14
2228	DA OMRR MAC #2228 Morrisville	Key Bank	1,037.62
2229	DA OMRR MAC #2229 SUNYIT	Key Bank	7,255.63
2230	DA OMRR MAC #2230 Cobleskill	Key Bank	1,021.14
2239	DA OMRR MAC #2239 Albany	Key Bank	1,456.42
2240	DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	1,008.54
HOMELESS HOUSING ASSISTANCE CORPORATION			
0320	Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	5,835,281.63
NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION			

0315	The Egg	Key Bank	51,932.49
NEW YORK CONVENTION CENTER			
0300	Operating Fund	JPMorgan Chase Bank, N.A.	9,408,652.66
NEW YORK JOB DEVELOPMENT AUTHORITY			
0036	Special Purpose Fund	Bank of America, N.A.	653,688.20
0371	Series H Commercial Paper	Bank of America, N.A.	423,934.61
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	301,206.76
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	0.00
NYS AFFORDABLE HOUSING CORPORATION			
0491	Disbursement Account	JPMorgan Chase Bank, N.A.	555,391.68
0520	Development Account	Key Bank	20,405,220.50
0521	Development Account II	Key Bank	0.00
0522	Repayment Account	Key Bank	56,273.96
0523	Recapture Account	Key Bank	391.44
0880	Payroll Account	JPMorgan Chase Bank, N.A.	0.00
NYS DEPARTMENT OF TAXATION AND FINANCE			
0510	Excelsior Linked Deposit Fund	Key Bank	0.00
0600	World Trade Center Memorial Foundation Fund Account	Bank of America, N.A.	102,252.60
0625	Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	28,570.41
0626	Criminal Investigation Division	Key Bank	243,700.73
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	3,028,777.46
0827	Stock Transfer Incentive Fund	Key Bank	1,118,591.63
0847	Pari-Mutuel Revenue Transfer Account	Key Bank	0.00
0848	Off-Track Bet Tax Revenue Transfer Account	Key Bank	0.00
NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY			
0028	Green Jobs - Green New York Fund	Bank of America, N.A.	0.00
0030	NYS Energy Research and Development Authority	Bank of America, N.A.	(22,420,965.73)
NYS HOUSING FINANCE AGENCY			
0032	Operating Fund	Key Bank	0.00
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	189,145.78
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	5,110,876.94
0255	Residual Indebtedness Program Operating Fund	JPMorgan Chase Bank, N.A.	0.00
0266	Community Related Programs Operating Account	Key Bank	0.00
0267	Neighborhood Stabilization Program - Round 1	JPMorgan Chase Bank, N.A.	62,646.12
0270	Claims Repayment Account	Key Bank	0.00
0271	Pre-Bond Revenue Account	Key Bank	0.00
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	1,741,091.95
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	0.00
0283	Small Owner's Assistance Program Account	Key Bank	57,779.43
0285	Public Purpose Account	Key Bank	1,952,631.79
0286	Disbursement Account	Key Bank	4,739,693.30
0287	Infrastructure Development Fund	Key Bank	104,751.71
0288	Mobile Home Cooperative Fund	Key Bank	16,896.94
0290	Low Rent Lease Account	Key Bank	0.00
0292	Homeless Housing Initiatives	Key Bank	779,409.87
0294	Housing Plan Fund	Key Bank	1,351,632.15
0305	HPD Disbursement Fund	Key Bank	570,252.83
0879	Payroll Account	JPMorgan Chase Bank, N.A.	124,848.80
NYS HOUSING TRUST FUND CORPORATION			
0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	443,581.60
0460	Escrow Account	M&T Bank	971,902.63
0461	Housing Modernization Account	M&T Bank	410,168.60
0462	General Custodial Account	M&T Bank	92,743,322.65
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	10,822,095.53
0466	Homes for Working Families Account	M&T Bank	6,425,885.32
0467	Section 8 Administrative Account	M&T Bank	9,141,418.88
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	13,108,035.20
0470	HCV Main Account	Bank of America, N.A.	17,011,805.18
0471	Empire State Relief Fund	M&T Bank	582,343.20
0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	3,713,574.31
0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	20,153.36

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.	5,347,588.83
0891	Small Cities Community Development Block Grant Program	M&T Bank	1,387,345.29
0892	Disaster Recovery Initiative Account	M&T Bank	140,607.40
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	2,754,007.66
0899	HTFC Storm Recovery Lockbox	US Bank	31,090.29
NYS INSURANCE DEPARTMENT			
0001	Property/Casualty Insurance Security Fund	Key Bank	260,649.94
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	535,592.37
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	810,209.87
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	(84,230.10)
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	563,937.99
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	3,661,751.00
0854	NYSTRS Electronic Value Transfer System	JPMorgan Chase Bank, N.A.	0.00
STATE INSURANCE FUND			
0053	State Insurance Fund	Bank of America, N.A.	41,475,578.04
0054	State Insurance Fund	Bank of America, N.A.	3,839,098.65
0055	State Insurance Fund	Bank of America, N.A.	2,412,719.58
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	25,924.03
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	618,813.92
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	29,797.64
0870	Deductions Account	Key Bank	394,059.70
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	0.00

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

JUNE 2019

Office of Operations
Division of Payroll, Accounting and Revenue Services
Bureau of Financial Reporting and Oil Spill Remediation

NYS Comptroller
THOMAS P. DiNAPOLI

STATE OF NEW YORK
OFFICE OF OPERATIONS
DIVISION OF PAYROLL, ACCOUNTING AND REVENUE SERVICES
BUREAU OF FINANCIAL REPORTING AND OIL SPILL REMEDIATION

THOMAS P. DiNAPOLI
STATE COMPTROLLER

COMPTROLLER'S MONTHLY REPORT TO THE LEGISLATURE ON STATE FUNDS - CASH BASIS OF ACCOUNTING

June 30, 2019

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Combining Statements of Cash Receipts, Disbursements and Changes in Fund Balances

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STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(amounts in millions)

EXHIBIT A

		GENERAL		SPECIAL REVENUE		DEBT SERVICE		CAPITAL PROJECTS		TOTAL GOVERNMENTAL FUNDS		YEAR OVER YEAR			
		MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2018	3 MOS. ENDED JUNE 30, 2018	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:															
Personal Income Tax		$ 2,605.0	$ 8,455.0	$ -	$ -	$ 2,604.9	$ 8,454.9	$ -	$ -	$ 5,209.9	$ 16,909.9	$ 4,951.8	$ 12,991.0	$ 3,918.9	30.2%
Consumption/Use Taxes	(4)	796.0	1,979.4	170.2	513.3	743.2	1,832.4	65.9	165.7	1,775.3	4,490.8	1,784.0	4,367.9	122.9	2.8%
Business Taxes		1,143.1	1,504.8	293.2	539.2	-	-	60.3	175.6	1,496.6	2,219.6	1,321.1	1,908.6	311.0	16.3%
Other Taxes	(3)	64.1	203.5	-	-	86.7	255.7	11.9	11.9	162.7	471.1	172.0	485.2	(14.1)	-2.9%
Miscellaneous Receipts	(4)	158.8	1,179.1	1,521.3	4,555.8	37.8	116.9	253.6	650.7	1,971.5	6,502.5	1,930.2	5,966.6	535.9	9.0%
Federal Receipts		-	-	5,671.6	16,691.6	-	-	132.2	313.4	5,803.8	17,005.0	5,451.5	13,982.9	3,022.1	21.6%
Total Receipts		4,767.0	13,321.8	7,656.3	22,299.9	3,472.6	10,659.9	523.9	1,317.3	16,419.8	47,598.9	15,610.6	39,702.2	7,896.7	19.9%
DISBURSEMENTS:															
Local Assistance Grants:	(3,4)														
Education		2,189.8	7,086.5	611.4	1,540.2	-	-	10.3	22.7	2,811.5	8,649.4	2,570.7	8,378.4	271.0	3.2%
Environment and Recreation		0.1	0.3	0.5	0.8	-	-	2.1	60.7	2.7	61.8	8.2	46.3	15.5	33.5%
General Government		574.9	592.3	10.5	60.1	-	-	149.0	302.0	734.4	954.4	629.0	809.4	145.0	17.9%
Public Health:															
Medicaid		1,393.9	6,279.1	3,464.0	11,142.5	-	-	-	-	4,857.9	17,421.6	5,068.2	15,244.4	2,177.2	14.3%
Other Public Health		336.0	606.5	805.5	1,869.4	-	-	20.6	93.0	1,162.1	2,568.9	969.2	2,562.7	6.2	0.2%
Public Safety		12.5	36.5	58.8	360.0	-	-	(0.7)	9.2	70.6	405.7	71.7	317.7	88.0	27.7%
Public Welfare		180.5	353.2	271.2	543.5	-	-	86.1	97.0	537.8	993.7	371.8	1,227.8	(234.1)	-19.1%
Support and Regulate Business		5.7	19.4	1.5	10.8	-	-	197.4	373.3	204.6	403.5	79.6	222.3	181.2	81.5%
Transportation		14.1	38.0	269.7	750.5	-	-	70.8	348.2	354.6	1,136.7	722.3	1,504.6	(367.9)	-24.5%
Total Local Assistance Grants		4,707.5	15,011.8	5,493.1	16,277.8	-	-	535.6	1,306.1	10,736.2	32,595.7	10,490.7	30,313.6	2,282.1	7.5%
Departmental Operations:															
Personal Service		679.0	2,439.6	448.7	1,545.5	-	-	-	-	1,127.7	3,985.1	1,122.9	3,696.1	289.0	7.8%
Non-Personal Service		218.9	627.1	294.4	933.6	2.6	5.6	-	-	515.9	1,566.3	562.6	1,602.3	(36.0)	-2.2%
General State Charges		364.9	3,442.4	89.7	286.4	-	-	-	-	454.6	3,728.8	519.1	3,857.2	(128.4)	-3.3%
Debt Service, Including Payments on Financing Agreements		-	-	-	-	230.3	423.8	-	-	230.3	423.8	166.2	356.4	67.4	18.9%
Capital Projects	(1)	-	-	0.1	0.1	-	-	536.4	1,498.6	536.5	1,498.7	523.0	1,474.6	24.1	1.6%
Total Disbursements		5,970.3	21,520.9	6,326.0	19,043.4	232.9	429.4	1,072.0	2,804.7	13,601.2	43,798.4	13,384.5	41,300.2	2,498.2	6.0%
Excess (Deficiency) of Receipts over Disbursements		(1,203.3)	(8,199.1)	1,330.3	3,256.5	3,239.7	10,230.5	(548.1)	(1,487.4)	2,818.6	3,800.5	2,226.1	(1,598.0)	5,398.5	337.8%
OTHER FINANCING SOURCES (USES):															
Bond Proceeds (net)		-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	(2)	3,645.6	10,449.7	473.9	1,207.2	86.5	512.4	633.5	1,555.1	4,839.5	13,724.4	4,758.8	11,471.8	2,252.6	19.6%
Transfers to Other Funds	(2)	(1,070.9)	(2,863.3)	(86.5)	(319.5)	(3,648.5)	(10,446.2)	(48.7)	(142.3)	(4,854.6)	(13,771.3)	(4,815.3)	(11,456.8)	2,314.5	20.2%
Total Other Financing Sources (Uses)		2,574.7	7,586.4	387.4	887.7	(3,562.0)	(9,933.8)	584.8	1,412.8	(15.1)	(46.9)	(56.5)	15.0	(61.9)	-412.7%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		1,371.4	(612.7)	1,717.7	4,144.2	(322.3)	296.7	36.7	(74.6)	2,803.5	3,753.6	2,169.6	(1,583.0)	5,336.6	337.1%
Beginning Fund Balances (Deficits)		5,221.6	7,205.7	6,268.9	3,842.4	683.8	64.8	(1,249.2)	(1,137.9)	10,925.1	9,975.0	8,996.4	12,749.0	(2,774.0)	-21.8%
Ending Fund Balances (Deficits)		$ 6,593.0	$ 6,593.0	$ 7,986.6	$ 7,986.6	$ 361.5	$ 361.5	$ (1,212.5)	$ (1,212.5)	$ 13,728.6	$ 13,728.6	$ 11,166.0	$ 11,166.0	$ 2,562.6	23.0%

STATE OF NEW YORK
GOVERNMENTAL FUNDS-STATE OPERATING (*)
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(amounts in millions)

EXHIBIT A
SUPPLEMENTAL

		GENERAL		STATE SPECIAL REVENUE (**)		DEBT SERVICE		TOTAL STATE OPERATING FUNDS					
		MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2018	3 MOS. ENDED JUNE 30, 2018	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:													
Personal Income Tax		$ 2,605.0	$ 8,455.0	$ -	$ -	$ 2,604.9	$ 8,454.9	$ 5,209.9	$ 16,909.9	$ 4,951.8	$ 12,991.0	$ 3,918.9	30.2%
Consumption/Use Taxes	(4)	796.0	1,979.4	170.2	513.3	743.2	1,832.4	1,709.4	4,325.1	1,717.4	4,207.6	117.5	2.8%
Business Taxes		1,143.1	1,504.8	293.2	539.2	-	-	1,436.3	2,044.0	1,261.1	1,742.9	301.1	17.3%
Other Taxes	(3)	64.1	203.5	-	-	86.7	255.7	150.8	459.2	160.1	473.3	(14.1)	-3.0%
Miscellaneous Receipts	(4)	158.8	1,179.1	1,509.6	4,478.0	37.8	116.9	1,706.2	5,774.0	1,802.9	5,241.3	532.7	10.2%
Federal Receipts		-	-	(0.9)	(0.9)	-	-	(0.9)	(0.9)	-	(2.6)	1.7	65.4%
Total Receipts		**4,767.0**	**13,321.8**	**1,972.1**	**5,529.6**	**3,472.6**	**10,659.9**	**10,211.7**	**29,511.3**	**9,893.3**	**24,653.5**	**4,857.8**	**19.7%**
DISBURSEMENTS:													
Local Assistance Grants:	(3,4)												
Education		2,189.8	7,086.5	349.3	350.0	-	-	2,539.1	7,436.5	2,214.2	7,013.1	423.4	6.0%
Environment and Recreation		0.1	0.3	0.5	0.6	-	-	0.6	0.9	0.4	1.1	(0.2)	-18.2%
General Government		574.9	592.3	1.8	45.9	-	-	576.7	638.2	562.8	615.3	22.9	3.7%
Public Health:													
Medicaid		1,393.9	6,279.1	365.3	1,246.1	-	-	1,759.2	7,525.2	1,999.9	6,066.9	1,458.3	24.0%
Other Public Health		336.0	606.5	104.7	197.5	-	-	440.7	804.0	187.8	917.6	(113.6)	-12.4%
Public Safety		12.5	36.5	16.1	50.6	-	-	28.6	87.1	26.4	87.7	(0.6)	-0.7%
Public Welfare		180.5	353.2	0.5	2.2	-	-	181.0	355.4	133.6	347.6	7.8	2.2%
Support and Regulate Business		5.7	19.4	1.3	9.1	-	-	7.0	28.5	17.5	27.3	1.2	4.4%
Transportation		14.1	38.0	265.3	736.3	-	-	279.4	774.3	366.3	1,048.2	(273.9)	-26.1%
Total Local Assistance Grants		**4,707.5**	**15,011.8**	**1,104.8**	**2,638.3**	**-**	**-**	**5,812.3**	**17,650.1**	**5,508.9**	**16,124.8**	**1,525.3**	**9.5%**
Departmental Operations:													
Personal Service		679.0	2,439.6	393.6	1,375.3	-	-	1,072.6	3,814.9	1,060.9	3,512.2	302.7	8.6%
Non-Personal Service		218.9	627.1	198.0	690.8	2.6	5.6	419.5	1,323.5	472.0	1,351.3	(27.8)	-2.1%
General State Charges		364.9	3,442.4	55.7	206.9	-	-	420.6	3,649.3	509.4	3,780.8	(131.5)	-3.5%
Debt Service, Including Payments on Financing Agreements		-	-	-	-	230.3	423.8	230.3	423.8	166.2	356.4	67.4	18.9%
Capital Projects		-	-	0.1	0.1	-	-	0.1	0.1	-	-	0.1	100.0%
Total Disbursements		**5,970.3**	**21,520.9**	**1,752.2**	**4,911.4**	**232.9**	**429.4**	**7,955.4**	**26,861.7**	**7,717.4**	**25,125.5**	**1,736.2**	**6.9%**
Excess (Deficiency) of Receipts over Disbursements		**(1,203.3)**	**(8,199.1)**	**219.9**	**618.2**	**3,239.7**	**10,230.5**	**2,256.3**	**2,649.6**	**2,175.9**	**(472.0)**	**3,121.6**	**-661.4%**
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	(2)	3,645.6	10,449.7	566.5	1,460.1	86.5	512.4	4,298.6	12,422.2	4,083.3	10,351.4	2,070.8	20.0%
Transfers to Other Funds	(2)	(1,070.9)	(2,863.3)	(29.3)	(73.9)	(3,648.5)	(10,446.2)	(4,748.7)	(13,383.4)	(4,692.2)	(11,148.6)	2,234.8	20.0%
Total Other Financing Sources (Uses)		**2,574.7**	**7,586.4**	**537.2**	**1,386.2**	**(3,562.0)**	**(9,933.8)**	**(450.1)**	**(961.2)**	**(608.9)**	**(797.2)**	**(164.0)**	**-20.6%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		**1,371.4**	**(612.7)**	**757.1**	**2,004.4**	**(322.3)**	**296.7**	**1,806.2**	**1,688.4**	**1,567.0**	**(1,269.2)**	**2,957.6**	**233.0%**
Beginning Fund Balances (Deficits)		**5,221.6**	**7,205.7**	**6,338.1**	**5,090.8**	**683.8**	**64.8**	**12,243.5**	**12,361.3**	**10,770.4**	**13,606.6**	**(1,245.3)**	**-9.2%**
Ending Fund Balances (Deficits)		**$ 6,593.0**	**$ 6,593.0**	**$ 7,095.2**	**$ 7,095.2**	**$ 361.5**	**$ 361.5**	**$ 14,049.7**	**$ 14,049.7**	**$ 12,337.4**	**$ 12,337.4**	**$ 1,712.3**	**13.9%**

(*) 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
June 2019

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)	$268.4	million
Urban Development Corporation (Youth Facilities)	20.0	
Housing Finance Agency (HFA)	213.9	
Housing Assistance Fund	12.9	
Dormitory Authority (Mental Hygiene)	502.7	
Dormitory Authority and State University Income Fund	281.8	
Federal Capital Projects	575.9	
State bond and note proceeds	44.0	

2. Operating Transfers constitute legally authorized transfers from a fund receiving revenues to a fund through which disbursements will ultimately be made. The more significant transfers include:

General Fund "Transfers to Other Funds" are as follows:

State Capital Projects Fund	$1,048.9	million
General Debt Service Fund	138.4	
Banking Services Account	9.0	
Building Administration Account	8.0	
Business Service Center Account	8.1	
Centralized Tech Services Account	11.5	
Court Facilities Incentive Aid Fund	65.3	
Dedicated Highway & Bridge Trust Fund	16.5	
Dedicated Infrastructure Investment Fund	450.0	
Dedicated Mass Transportation - Railroad Account	2.2	
Dedicated Mass Transportation - Transit Authority Account	12.2	
Dedicated Mass Transportation - (Non-MTA)	1.3	
Housing Debt Service Fund	0.5	
MTA Financial Assistance Fund	97.7	
MTA Operating Assistance Fund	25.7	
NYC County Courts Operating Account	3.2	
SUNY - Income Fund	764.0	

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 ($2.5m), and the State University Income Fund ($198.4m).

§72(4)(b) was added to the State Finance Law in 2010 to permit the State's General Debt Service Fund to maintain a cash reserve for the payment of debt service, and related expenses, during the current fiscal quarter. As of June 30, 2019 - pursuant to a certification of the Budget Director - payment obligations were met out of these reserves and future payment amounts were scheduled for transfer at the commencement of the succeeding month.

Special Revenue Funds "Transfers To Other Funds" includes transfers to Mental Health Services Fund and Department of Health Income Fund ($234.2m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities, Medicaid Management Information System Escrow Fund ($10.3m), SUNY Capital Projects Fund ($13.7m), and All Other Capital Projects ($26.1m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Federal Dept. of Health & Human Services Fund	$6.0	million
Federal Education Fund	1.0	
NYC Assessment Account	22.9	
SUNY Income Fund	5.1	
Unemployment Insurance Administration Fund	4.1	

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	$8,339.5	million
Local Government Assistance Tax Fund	907.6	
Sales Tax Revenue Bond Tax Fund	682.7	
Clean Water/Clean Air Fund	241.7	
Mental Health Services Fund	237.3	

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 ($37.3m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund ($5.6m) and the General Debt Service Fund - Lease Purchase ($136.7m).

3. Part UU of Section 11 of Chapter 59 of the Laws of 2018 amended section 805(b) of the tax law, whereby the receipts from the metropolitan commuter transportation mobility tax will be paid into the metropolitan transportation authority finance fund pursuant to statute but without appropriation. The result is that neither the mobility tax receipts nor the related grant disbursements to the MTA are recorded in the State funds. The MTA mobility tax activity is reported in Schedule 4.

4. Part FF of Chapter 58 of the Laws of 2019 amended paragraphs (b-1) and (c-3) of subdivision two of section 503 of the vehicle and traffic law, article 29-a of the tax law, article 17-c of the vehicle and traffic law and section 1166-a of the tax law, whereby the receipts from the various taxes and fees will be paid into the metropolitan transportation authority special assistance fund pursuant to statute but without appropriation. The activity is now reported in Schedule 4.

5. Tax Law Article 29-C was enacted on April 1, 2018, with collection of the for-hire congestion surcharge scheduled to begin on January 1, 2019. Amounts collected will be paid into the NYC transportation fund pursuant to statute but without appropriation. The result is that neither the surcharge nor the related disbursements to NYC are recorded in State Funds. The for-hire congestion surcharge activity is reported in Schedule 4.

STATE OF NEW YORK
PROPRIETARY FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(amounts in millions)

EXHIBIT B

	ENTERPRISE		INTERNAL SERVICE		TOTAL PROPRIETARY FUNDS				YEAR OVER YEAR	
	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2018	3 MOS. ENDED JUNE 30, 2018	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	$ 5.1	$ 16.0	$ 42.3	$ 108.0	$ 47.4	$ 124.0	$ 54.6	$ 160.6	$ (36.6)	-22.8%
Federal Receipts	0.9	3.0	-	-	0.9	3.0	0.9	3.1	(0.1)	-3.2%
Unemployment Taxes	134.9	461.6	-	-	134.9	461.6	135.0	474.2	(12.6)	-2.7%
Total Receipts	**140.9**	**480.6**	**42.3**	**108.0**	**183.2**	**588.6**	**190.5**	**637.9**	**(49.3)**	**-7.7%**
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	0.3	1.2	9.6	33.3	9.9	34.5	8.9	29.4	5.1	17.3%
Non-Personal Service	4.5	13.2	5.9	86.6	10.4	99.8	50.3	132.5	(32.7)	-24.7%
General State Charges	0.1	0.2	6.6	15.6	6.7	15.8	4.2	14.3	1.5	10.5%
Unemployment Benefits	135.6	465.3	-	-	135.6	465.3	135.8	477.3	(12.0)	-2.5%
Total Disbursements	**140.5**	**479.9**	**22.1**	**135.5**	**162.6**	**615.4**	**199.2**	**653.5**	**(38.1)**	**-5.8%**
Excess (Deficiency) of Receipts Over Disbursements	**0.4**	**0.7**	**20.2**	**(27.5)**	**20.6**	**(26.8)**	**(8.7)**	**(15.6)**	**(11.2)**	**-71.8%**
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	-	4.7	36.5	4.7	36.5	8.6	33.1	3.4	10.3%
Transfers to Other Funds	-	-	-	-	-	-	(0.1)	(0.1)	(0.1)	-100.0%
Total Other Financing Sources (Uses)	**-**	**-**	**4.7**	**36.5**	**4.7**	**36.5**	**8.5**	**33.0**	**3.5**	**10.6%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**0.4**	**0.7**	**24.9**	**9.0**	**25.3**	**9.7**	**(0.2)**	**17.4**	**(7.7)**	**-44.3%**
Beginning Fund Balances (Deficits)	**26.9**	**26.6**	**(318.6)**	**(302.7)**	**(291.7)**	**(276.1)**	**(227.0)**	**(244.6)**	**(31.5)**	**-12.9%**
Ending Fund Balances (Deficits)	**$ 27.3**	**$ 27.3**	**$ (293.7)**	**$ (293.7)**	**$ (266.4)**	**$ (266.4)**	**$ (227.2)**	**$ (227.2)**	**$ (39.2)**	**-17.3%**

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 JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2018	3 MOS. ENDED JUNE 30, 2018	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	$ 5.1	$ 18.2	$ 0.1	$ 0.4	$ 5.2	$ 18.6	$ 5.4	$ 18.8	$ (0.2)	-1.1%
Total Receipts	**5.1**	**18.2**	**0.1**	**0.4**	**5.2**	**18.6**	**5.4**	**18.8**	**(0.2)**	**-1.1%**
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	5.4	18.4	-	-	5.4	18.4	5.5	18.6	(0.2)	-1.1%
Non-Personal Service	1.1	3.3	-	-	1.1	3.3	0.8	3.1	0.2	6.5%
General State Charges	3.3	10.0	-	-	3.3	10.0	-	7.8	2.2	28.2%
Total Disbursements	**9.8**	**31.7**	**-**	**-**	**9.8**	**31.7**	**6.3**	**29.5**	**2.2**	**7.5%**
Excess (Deficiency) of Receipts Over Disbursements	**(4.7)**	**(13.5)**	**0.1**	**0.4**	**(4.6)**	**(13.1)**	**(0.9)**	**(10.7)**	**(2.4)**	**-22.4%**
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	**(4.7)**	**(13.5)**	**0.1**	**0.4**	**(4.6)**	**(13.1)**	**(0.9)**	**(10.7)**	**(2.4)**	**-22.4%**
Beginning Fund Balances (Deficits)	**(11.8)**	**(3.0)**	**13.5**	**13.2**	**1.7**	**10.2**	**0.1**	**9.9**	**0.3**	**3.0%**
Ending Fund Balances (Deficits)	**$ (16.5)**	**$ (16.5)**	**$ 13.6**	**$ 13.6**	**$ (2.9)**	**$ (2.9)**	**$ (0.8)**	**$ (0.8)**	**$ (2.1)**	**-262.5%**

STATE OF NEW YORK **EXHIBIT D**
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR THREE MONTHS ENDED JUNE 30, 2019
(amounts in millions)

	ALL GOVERNMENTAL FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 16,520.0	$ -	$ 16,909.9	$ 389.9	$ -
Consumption/Use	4,515.0	-	4,490.8	(24.2)	-
Business	2,137.0	-	2,219.6	82.6	-
Other	553.0	-	471.1	(81.9)	-
Miscellaneous Receipts	6,536.0	-	6,502.5	(33.5)	-
Federal Receipts	18,040.0	-	17,005.0	(1,035.0)	-
Total Receipts	**48,301.0**	**-**	**47,598.9**	**(702.1)**	**-**
DISBURSEMENTS:					
Local Assistance Grants	34,096.0	-	32,595.7	(1,500.3)	-
Departmental Operations	5,451.0	-	5,551.4	100.4	-
General State Charges	3,808.0	-	3,728.8	(79.2)	-
Debt Service	411.0	-	423.8	12.8	-
Capital Projects	1,886.0	-	1,498.7	(387.3)	-
Total Disbursements	**45,652.0**	**-**	**43,798.4**	**(1,853.6)**	**-**
Excess (Deficiency) of Receipts over Disbursements	**2,649.0**	**-**	**3,800.5**	**1,151.5**	**-**
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	-	-	-	-	-
Transfers from Other Funds	13,827.0	-	13,724.4	(102.6)	-
Transfers to Other Funds	(13,865.0)	-	(13,771.3)	(93.7)	-
Total Other Financing Sources (Uses)	**(38.0)**	**-**	**(46.9)**	**(8.9)**	**-**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**2,611.0**	**-**	**3,753.6**	**1,142.6**	**-**
Fund Balances (Deficits) at April 1	**9,975.0**	**-**	**9,975.0**	**-**	**-**
Fund Balances (Deficits) at June 30, 2019	**$ 12,586.0**	**$ -**	**$ 13,728.6**	**$ 1,142.6**	**$ -**

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR THREE MONTHS ENDED JUNE 30, 2019
(amounts in millions)

EXHIBIT D

	STATE OPERATING FUNDS (**)				
	Enacted Financial Plan (*)	Updated Financial Plan	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 16,520.0	$ -	$ 16,909.9	$ 389.9	$ -
Consumption/Use	4,352.0	-	4,325.1	(26.9)	-
Business	1,971.0	-	2,044.0	73.0	-
Other	541.0	-	459.2	(81.8)	-
Miscellaneous Receipts	6,035.0	-	5,774.0	(261.0)	-
Federal Receipts	-	-	(0.9)	(0.9)	-
Total Receipts	**29,419.0**	**-**	**29,511.3**	**92.3**	**-**
DISBURSEMENTS:					
Local Assistance Grants	18,809.0	-	17,650.1	(1,158.9)	-
Departmental Operations	4,995.0	-	5,138.4	143.4	-
General State Charges	3,729.0	-	3,649.3	(79.7)	-
Debt Service	411.0	-	423.8	12.8	-
Capital Projects	-	-	0.1	0.1	-
Total Disbursements	**27,944.0**	**-**	**26,861.7**	**(1,082.3)**	**-**
Excess (Deficiency) of Receipts over Disbursements	**1,475.0**	**-**	**2,649.6**	**1,174.6**	**-**
OTHER FINANCING SOURCES (USES):					
Transfers from Other Funds	12,294.0	-	12,422.2 (***)	128.2	-
Transfers to Other Funds	(13,181.0)	-	(13,383.4) (***)	202.4	-
Total Other Financing Sources (Uses)	**(887.0)**	**-**	**(961.2)**	**(74.2)**	**-**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**588.0**	**-**	**1,688.4**	**1,100.4**	**-**
Fund Balances (Deficits) at April 1	**12,362.0**	**-**	**12,361.3**	**(0.7)**	**-**
Fund Balances (Deficits) at June 30, 2019	**$ 12,950.0**	**$ -**	**$ 14,049.7**	**$ 1,099.7**	**$ -**

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.
(**) 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 2019-2020
FOR THREE MONTHS ENDED JUNE 30, 2019
(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	$ 8,260.0	$ -	$ 8,455.0	$ 195.0	$ -
Consumption/Use	2,008.0	-	1,979.4	(28.6)	-
Business	1,490.0	-	1,504.8	14.8	-
Other	276.0	-	203.5	(72.5)	-
Miscellaneous Receipts	1,153.0	-	1,179.1	26.1	-
Federal Receipts	-	-	-	-	-
Transfers From:					
PIT / ECET in excess of Revenue Bond Debt Service	8,143.0	-	8,339.5	196.5	-
Sales Tax in excess of LGAC / STRBF Debt Service	1,625.0	-	1,590.3	(34.7)	-
Real Estate Taxes in excess of CW/CA Debt Service	256.0	-	241.7	(14.3)	-
All Other	237.0	-	278.2	41.2	-
Total Receipts and Other Financing Sources	**23,448.0**	**-**	**23,771.5**	**323.5**	**-**
DISBURSEMENTS:					
Local Assistance Grants	16,156.0	-	15,011.8	(1,144.2)	-
Departmental Operations	2,864.0	-	3,066.7	202.7	-
General State Charges	3,493.0	-	3,442.4	(50.6)	-
Transfers To:					
Debt Service	133.0	-	138.4	5.4	-
Capital Projects	1,517.0	-	1,515.4	(1.6)	-
State Share Medicaid	-	-	200.9 (**)	200.9	-
SUNY Operations	764.0	-	764.0	-	-
Other Purposes	453.0	-	244.6	(208.4)	-
Total Disbursements and Other Financing Uses	**25,380.0**	**-**	**24,384.2**	**(995.8)**	**-**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(1,932.0)**	**-**	**(612.7)**	**1,319.3**	**-**
Fund Balances (Deficits) at April 1	**7,206.0**	**-**	**7,205.7**	**(0.3)**	**-**
Fund Balances (Deficits) at June 30, 2019	**$ 5,274.0**	**$ -**	**$ 6,593.0**	**$ 1,319.0**	**$ -**

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.
(**) 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.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR THREE MONTHS ENDED JUNE 30, 2019
(amounts in millions)

EXHIBIT D

	SPECIAL REVENUE FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:							
Taxes:							
Personal Income	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Consumption/Use	484.0	-	513.3	-	513.3	29.3	-
Business	481.0	-	539.2	-	539.2	58.2	-
Miscellaneous Receipts	4,826.0	-	4,555.8	-	4,555.8	(270.2)	-
Federal Receipts	17,667.0	-	16,691.6	-	16,691.6	(975.4)	-
Transfers from Other Funds (**)	1,427.0	-	1,460.1	(252.9)	1,207.2	(219.8)	-
Total Receipts and Other Financing Sources	**24,885.0**	**-**	**23,760.0**	**(252.9)**	**23,507.1**	**(1,377.9)**	**-**
DISBURSEMENTS:							
Local Assistance Grants	16,989.0	-	16,277.8	-	16,277.8	(711.2)	-
Departmental Operations	2,582.0	-	2,479.1	-	2,479.1	(102.9)	-
General State Charges	315.0	-	286.4	-	286.4	(28.6)	-
Capital Projects	-	-	0.1	-	0.1	0.1	-
Transfers to Other Funds (**)	570.0	-	572.4	(252.9)	319.5	(250.5)	-
Total Disbursements and Other Financing Uses	**20,456.0**	**-**	**19,615.8**	**(252.9)**	**19,362.9**	**(1,093.1)**	**-**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**4,429.0**	**-**	**4,144.2**	**-**	**4,144.2**	**(284.8)**	**-**
Fund Balances (Deficits) at April 1	**3,842.0**	**-**	**3,842.4**	**-**	**3,842.4**	**0.4**	**-**
Fund Balances (Deficits) at June 30, 2019	**$ 8,271.0**	**$ -**	**$ 7,986.6**	**$ -**	**$ 7,986.6**	**$ (284.4)**	**$ -**

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.
(**) Actual reported transfer amounts include eliminations between Special Revenue - State and Federal Funds.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR THREE MONTHS ENDED JUNE 30, 2019
(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) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Personal Income	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Consumption/Use	484.0	-	513.3	29.3	-	-	-	-	-	-
Business	481.0	-	539.2	58.2	-	-	-	-	-	-
Miscellaneous Receipts	4,795.0	-	4,478.0	(317.0)	-	31.0	-	77.8	46.8	-
Federal Receipts	-	-	(0.9)	(0.9)	-	17,667.0	-	16,692.5	(974.5)	-
Transfers from Other Funds	1,427.0	-	1,460.1	33.1	-	-	-	-	-	-
Total Receipts and Other Financing Sources	**7,187.0**	**-**	**6,989.7**	**(197.3)**	**-**	**17,698.0**	**-**	**16,770.3**	**(927.7)**	**-**
DISBURSEMENTS:										
Local Assistance Grants	2,653.0	-	2,638.3	(14.7)	-	14,336.0	-	13,639.5	(696.5)	-
Departmental Operations	2,126.0	-	2,066.1	(59.9)	-	456.0	-	413.0	(43.0)	-
General State Charges	236.0	-	206.9	(29.1)	-	79.0	-	79.5	0.5	-
Capital Projects	-	-	0.1	0.1	-	-	-	-	-	-
Transfers to Other Funds	24.0	-	73.9	49.9	-	546.0	-	498.5	(47.5)	-
Total Disbursements and Other Financing Uses	**5,039.0**	**-**	**4,985.3**	**(53.7)**	**-**	**15,417.0**	**-**	**14,630.5**	**(786.5)**	**-**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**2,148.0**	**-**	**2,004.4**	**(143.6)**	**-**	**2,281.0**	**-**	**2,139.8**	**(141.2)**	**-**
Fund Balances (Deficits) at April 1	**5,091.0**	**-**	**5,090.8**	**(0.2)**	**-**	**(1,249.0)**	**-**	**(1,248.4)**	**0.6**	**-**
Fund Balances (Deficits) at June 30, 2019	**$ 7,239.0**	**$ -**	**$ 7,095.2**	**$ (143.8)**	**$ -**	**$ 1,032.0**	**$ -**	**$ 891.4**	**$ (140.6)**	**$ -**

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR THREE MONTHS ENDED JUNE 30, 2019
(amounts in millions)

EXHIBIT D

	DEBT SERVICE FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 8,260.0	$ -	$ 8,454.9	$ 194.9	$ -
Consumption/Use	1,860.0	-	1,832.4	(27.6)	-
Other	265.0	-	255.7	(9.3)	-
Miscellaneous Receipts	87.0	-	116.9	29.9	-
Federal Receipts	-	-	-	-	-
Transfers from Other Funds	606.0	-	512.4	(93.6)	-
Total Receipts and Other Financing Sources	**11,078.0**	**-**	**11,172.3**	**94.3**	**-**
DISBURSEMENTS:					
Departmental Operations	5.0	-	5.6	0.6	-
Debt Service	411.0	-	423.8	12.8	-
Transfers to Other Funds	10,290.0	-	10,446.2	156.2	-
Total Disbursements and Other Financing Uses	**10,706.0**	**-**	**10,875.6**	**169.6**	**-**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**372.0**	**-**	**296.7**	**(75.3)**	**-**
Fund Balances (Deficits) at April 1	**65.0**	**-**	**64.8**	**(0.2)**	**-**
Fund Balances (Deficits) at June 30, 2019	**$ 437.0**	**$ -**	**$ 361.5**	**$ (75.5)**	**$ -**

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR THREE MONTHS ENDED JUNE 30, 2019
(amounts in millions)

EXHIBIT D

	CAPITAL PROJECTS FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:							
Taxes:							
Consumption/Use	$ 163.0	$ -	$ 165.7	$ -	$ 165.7	$ 2.7	$ -
Business	166.0	-	175.6	-	175.6	9.6	-
Other	12.0	-	11.9	-	11.9	(0.1)	-
Miscellaneous Receipts	470.0	-	650.7	-	650.7	180.7	-
Federal Receipts	373.0	-	313.4	-	313.4	(59.6)	-
Bond and Note Proceeds, net	-	-	-	-	-	-	-
Transfers from Other Funds	1,533.0	-	1,555.1	-	1,555.1	22.1	-
Total Receipts and Other Financing Sources	**2,717.0**	**-**	**2,872.4**	**-**	**2,872.4**	**155.4**	**-**
DISBURSEMENTS:							
Local Assistance Grants	951.0	-	1,306.1	-	1,306.1	355.1	-
Capital Projects	1,886.0	-	1,498.6	-	1,498.6	(387.4)	-
Transfers to Other Funds	138.0	-	142.3	-	142.3	4.3	-
Total Disbursements and Other Financing Uses	**2,975.0**	**-**	**2,947.0**	**-**	**2,947.0**	**(28.0)**	**-**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(258.0)**	**-**	**(74.6)**	**-**	**(74.6)**	**183.4**	**-**
Fund Balances (Deficits) at April 1	**(1,138.0)**	**-**	**(1,137.9)**	**-**	**(1,137.9)**	**0.1**	**-**
Fund Balances (Deficits) at June 30, 2019	**$ (1,396.0)**	**$ -**	**$ (1,212.5)**	**$ -**	**$ (1,212.5)**	**$ 183.5**	**$ -**

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR THREE MONTHS ENDED JUNE 30, 2019
(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	$ 163.0	$ -	$ 165.7	$ 2.7	$ -	$ -	$ -	$ -	$ -	$ -
Business	166.0	-	175.6	9.6	-	-	-	-	-	-
Other	12.0	-	11.9	(0.1)	-	-	-	-	-	-
Miscellaneous Receipts	470.0	-	650.5	180.5	-	-	-	0.2	0.2	-
Federal Receipts	-	-	-	-	-	373.0	-	313.4	(59.6)	-
Bond and Note Proceeds, net	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds	1,593.0	-	1,555.1	(37.9)	-	(60.0)	-	-	60.0	-
Total Receipts and Other Financing Sources	**2,404.0**	**-**	**2,558.8**	**154.8**	**-**	**313.0**	**-**	**313.6**	**0.6**	**-**
DISBURSEMENTS:										
Local Assistance Grants	838.0	-	1,170.8	332.8	-	113.0	-	135.3	22.3	-
Capital Projects	1,681.0	-	1,249.2	(431.8)	-	205.0	-	249.4	44.4	-
Transfers to Other Funds	138.0	-	142.3	4.3	-	-	-	-	-	-
Total Disbursements and Other Financing Uses	**2,657.0**	**-**	**2,562.3**	**(94.7)**	**-**	**318.0**	**-**	**384.7**	**66.7**	**-**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(253.0)**	**-**	**(3.5)**	**249.5**	**-**	**(5.0)**	**-**	**(71.1)**	**(66.1)**	**-**
Fund Balances (Deficits) at April 1	**(633.0)**	**-**	**(633.2)**	**(0.2)**	**-**	**(505.0)**	**-**	**(504.7)**	**0.3**	**-**
Fund Balances (Deficits) at June 30, 2019	**$ (886.0)**	**$ -**	**$ (636.7)**	**$ 249.3**	**$ -**	**$ (510.0)**	**$ -**	**$ (575.8)**	**$ (65.8)**	**$ -**

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMPARATIVE SCHEDULE OF TAX RECEIPTS
(amounts in millions)

EXHIBIT E

	GENERAL		SPECIAL REVENUE		DEBT SERVICE		CAPITAL PROJECTS		TOTAL GOVERNMENTAL FUNDS				YEAR OVER YEAR	
	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2019	3 MOS. ENDED JUNE 30, 2019	MONTH OF JUNE 2018	3 MOS. ENDED JUNE 30, 2018	$ Increase/ (Decrease)	% Increase/ Decrease
PERSONAL INCOME TAX														
Withholding	$ 2,922.3	$ 9,379.5	$ -	$ -	$ -	$ -	$ -	$ -	$ 2,922.3	$ 9,379.5	$ 2,821.9	$ 8,887.1	$ 492.4	5.5%
Estimated Payments	2,396.4	9,352.2	-	-	-	-	-	-	2,396.4	9,352.2	2,228.8	6,684.7	2,667.5	39.9%
Returns	54.1	2,416.1	-	-	-	-	-	-	54.1	2,416.1	49.3	1,748.4	667.7	38.2%
State/City Offsets	(25.9)	(353.9)	-	-	-	-	-	-	(25.9)	(353.9)	(25.2)	(343.9)	10.0	2.9%
Other (Assessments/LLC)	96.2	371.7	-	-	-	-	-	-	96.2	371.7	108.9	333.5	38.2	11.5%
Gross Receipts	**5,443.1**	**21,165.6**	**-**	**-**	**-**	**-**	**-**	**-**	**5,443.1**	**21,165.6**	**5,183.7**	**17,309.8**	**3,855.8**	**22.3%**
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(2,604.9)	(8,454.9)	-	-	2,604.9	8,454.9	-	-	-	-	-	-	-	0.0%
Less: Refunds Issued	(233.2)	(4,255.7)	-	-	-	-	-	-	(233.2)	(4,255.7)	(231.9)	(4,318.8)	(63.1)	-1.5%
Total	**2,605.0**	**8,455.0**	**-**	**-**	**2,604.9**	**8,454.9**	**-**	**-**	**5,209.9**	**16,909.9**	**4,951.8**	**12,991.0**	**3,918.9**	**30.2%**
CONSUMPTION/USE TAXES														
Sales and Use	743.5	1,834.2	102.8	303.3	743.2	1,832.4	-	-	1,589.5	3,969.9	1,562.7	3,802.1	167.8	4.4%
Auto Rental	-	-	-	-	-	-	19.5	23.3	19.5	23.3	29.9	31.3	(8.0)	-25.6%
Cigarette/Tobacco Products	26.5	78.3	57.3	179.9	-	-	-	-	83.8	258.2	102.4	289.2	(31.0)	-10.7%
Medical Marihuana	-	-	0.5	1.4	-	-	-	-	0.5	1.4	0.3	0.8	0.6	75.0%
Motor Fuel	-	-	9.5	28.5	-	-	36.6	107.8	46.1	136.3	46.5	129.3	7.0	5.4%
Alcoholic Beverage	26.0	66.9	-	-	-	-	-	-	26.0	66.9	30.6	62.1	4.8	7.7%
Highway Use	-	-	0.1	0.2	-	-	9.8	34.6	9.9	34.8	11.2	39.2	(4.4)	-11.2%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-	-	0.4	13.9	(13.9)	-100.0%
Total	**796.0**	**1,979.4**	**170.2**	**513.3**	**743.2**	**1,832.4**	**65.9**	**165.7**	**1,775.3**	**4,490.8**	**1,784.0**	**4,367.9**	**122.9**	**2.8%**
BUSINESS TAXES														
Corporation Franchise	725.8	924.9	175.4	284.0	-	-	-	-	901.2	1,208.9	729.8	1,103.5	105.4	9.6%
Corporation and Utilities	84.1	102.2	23.5	46.4	-	-	1.9	5.1	109.5	153.7	117.6	146.1	7.6	5.2%
Insurance	354.7	478.5	48.5	71.5	-	-	-	-	403.2	550.0	325.6	366.5	183.5	50.1%
Bank	(21.5)	(0.8)	0.4	3.9	-	-	-	-	(21.1)	3.1	46.3	6.9	(3.8)	-55.1%
Petroleum Business	-	-	45.4	133.4	-	-	58.4	170.5	103.8	303.9	101.8	285.6	18.3	6.4%
Total	**1,143.1**	**1,504.8**	**293.2**	**539.2**	**-**	**-**	**60.3**	**175.6**	**1,496.6**	**2,219.6**	**1,321.1**	**1,908.6**	**311.0**	**16.3%**
OTHER TAXES														
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Estate and Gift	62.2	199.2	-	-	-	-	-	-	62.2	199.2	68.8	200.3	(1.1)	-0.5%
Pari-Mutuel	1.6	3.6	-	-	-	-	-	-	1.6	3.6	1.7	3.9	(0.3)	-7.7%
Real Estate Transfer	-	-	-	-	86.7	255.6	11.9	11.9	98.6	267.5	101.4	280.2	(12.7)	-4.5%
Racing and Exhibitions	0.3	0.6	-	-	-	-	-	-	0.3	0.6	0.1	0.8	(0.2)	-25.0%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Employer Compensation Expense Tax	-	0.1	-	-	-	0.1	-	-	-	0.2	-	-	0.2	100.0%
Total	**64.1**	**203.5**	**-**	**-**	**86.7**	**255.7**	**11.9**	**11.9**	**162.7**	**471.1**	**172.0**	**485.2**	**(14.1)**	**-2.9%**
Total Tax Receipts	**$ 4,608.2**	**$ 12,142.7**	**$ 463.4**	**$ 1,052.5**	**$ 3,434.8**	**$ 10,543.0**	**$ 138.1**	**$ 353.2**	**$ 8,644.5**	**$ 24,091.4**	**$ 8,228.9**	**$ 19,752.7**	**$ 4,338.7**	**22.0%**

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 9,975.0	$ 18,267.7	$ 10,925.1										$ 9,975.0	$ 12,749.0	$ (2,774.0)	-21.8%
RECEIPTS:																
Taxes:																
Personal Income Tax:																
Withholdings	3,237.1	3,220.1	2,922.3										9,379.5	8,887.1	492.4	5.5%
Estimated Payments	6,843.2	112.6	2,396.4										9,352.2	6,684.7	2,667.5	39.9%
Returns	2,286.9	75.1	54.1										2,416.1	1,748.4	667.7	38.2%
State/City Offsets	(296.9)	(31.1)	(25.9)										(353.9)	(343.9)	10.0	2.9%
Other (Assessments/LLC)	170.3	105.2	96.2										371.7	333.5	38.2	11.5%
Gross Receipts	**12,240.6**	**3,481.9**	**5,443.1**	-	-	-	-	-	-	-	-	-	**21,165.6**	**17,309.8**	**3,855.8**	**22.3%**
Transfers to School Tax Relief Fund	-	-	-										-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	-	-	-										-	-	-	0.0%
Refunds Issued	(3,025.2)	(997.3)	(233.2)										(4,255.7)	(4,318.8)	(63.1)	-1.5%
Total Personal Income Tax	**9,215.4**	**2,484.6**	**5,209.9**	-	-	-	-	-	-	-	-	-	**16,909.9**	**12,991.0**	**3,918.9**	**30.2%**
Consumption/Use Taxes:																
Sales and Use	1,201.6	1,178.8	1,589.5										3,969.9	3,802.1	167.8	4.4%
Auto Rental	3.5	0.3	19.5										23.3	31.3	(8.0)	-25.6%
Cigarette/Tobacco Products	89.2	85.2	83.8										258.2	289.2	(31.0)	-10.7%
Medical Marijuana	0.5	0.4	0.5										1.4	0.8	0.6	75.0%
Motor Fuel	46.0	44.2	46.1										136.3	129.3	7.0	5.4%
Alcoholic Beverage	20.0	20.9	26.0										66.9	62.1	4.8	7.7%
Highway Use	14.2	10.7	9.9										34.8	39.2	(4.4)	-11.2%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-										-	13.9	(13.9)	-100.0%
Total Consumption/Use Taxes	**1,375.0**	**1,340.5**	**1,775.3**	-	-	-	-	-	-	-	-	-	**4,490.8**	**4,367.9**	**122.9**	**2.8%**
Business Taxes:																
Corporation Franchise	376.7	(69.0)	901.2										1,208.9	1,103.5	105.4	9.6%
Corporation and Utilities	43.0	1.2	109.5										153.7	146.1	7.6	5.2%
Insurance	141.8	5.0	403.2										550.0	366.5	183.5	50.1%
Bank	145.3	(121.1)	(21.1)										3.1	6.9	(3.8)	-55.1%
Petroleum Business	100.4	99.7	103.8										303.9	285.6	18.3	6.4%
Total Business Taxes	**807.2**	**(84.2)**	**1,496.6**	-	-	-	-	-	-	-	-	-	**2,219.6**	**1,908.6**	**311.0**	**16.3%**
Other Taxes:																
Real Property Gains	-	-	-										-	-	-	0.0%
Estate and Gift	79.7	57.3	62.2										199.2	200.3	(1.1)	-0.5%
Pari-Mutuel	0.9	1.1	1.6										3.6	3.9	(0.3)	-7.7%
Real Estate Transfer	82.9	86.0	98.6										267.5	280.2	(12.7)	-4.5%
Racing and Exhibitions	0.2	0.1	0.3										0.6	0.8	(0.2)	-25.0%
Metropolitan Commuter Trans. Mobility	-	-	-										-	-	-	0.0%
Employer Compensation Expense Tax	0.1	0.1	-										0.2	-	0.2	100.0%
Total Other Taxes	**163.8**	**144.6**	**162.7**	-	-	-	-	-	-	-	-	-	**471.1**	**485.2**	**(14.3)**	**-2.9%**
Total Taxes	**11,561.4**	**3,885.5**	**8,644.5**	-	-	-	-	-	-	-	-	-	**24,091.4**	**19,752.7**	**4,338.5**	**22.0%**
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	2.0	1.2	0.9										4.1	3.4	0.7	20.6%
Bottle Bill	0.2	0.3	31.2										31.7	34.9	(3.2)	-9.2%
Assessments:																
Business	81.0	82.0	103.1										266.1	245.8	20.3	8.3%
Medical Care	625.7	523.9	509.0										1,658.6	1,543.3	115.3	7.5%
Public Utilities	5.1	-	0.7										5.8	2.4	3.4	141.7%
Other	-	0.2	0.1										0.3	1.1	(0.8)	-72.7%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	5.7	6.0	5.4										17.1	19.6	(2.5)	-12.8%
Audit Fees	-	0.8	1.5										2.3	1.9	0.4	21.1%
Business/Professional:	60.5	60.6	131.5										252.6	236.0	16.6	7.0%
Civil	28.6	18.0	22.9										69.5	67.0	2.5	3.7%
Criminal	0.5	0.5	1.2										2.2	2.6	(0.4)	-15.4%
Motor Vehicle	126.2	130.8	105.7										362.7	417.6	(54.9)	-13.1%
Recreational/Consumer	55.4	47.2	67.3										169.9	148.3	21.6	14.6%
Fines, Penalties and Forfeitures	628.7	224.6	136.0										989.3	430.7	558.6	129.7%
Gaming:																
Casino	31.4	18.8	19.7										69.9	60.9	9.0	14.8%
Lottery	218.4	262.0	202.3										682.7	622.1	60.6	9.7%
Video Lottery	76.6	88.5	63.2										228.3	230.3	(2.0)	-0.9%
Interest Earnings	44.0	38.8	44.9										127.7	75.4	52.3	69.4%
Receipts from Public Authorities:																
Bond Proceeds	200.8	2.8	146.4										350.0	343.4	6.6	1.9%
Cost Recovery Assessments	-	-	-										-	-	-	0.0%
Issuance Fees	2.0	1.0	15.1										18.1	15.5	2.6	16.8%
Non Bond Related	4.2	4.8	4.7										13.7	15.4	(1.7)	-11.0%
Receipts from Municipalities	26.4	3.2	6.6										36.2	65.2	(29.0)	-44.5%

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Rentals	40.2	29.1	9.1										78.4	91.3	(12.9)	-14.1%
Revenues of State Departments:																
Administrative Recoveries	1.9	2.8	24.7										29.4	44.1	(14.7)	-33.3%
Commissions	0.6	0.6	0.6										1.8	1.4	0.4	28.6%
Commissions - Asset Conversion	-	-	-										-	-	-	0.0%
Gifts, Grants and Donations	10.9	1.5	3.1										15.5	6.7	8.8	131.3%
Indirect Cost Recoveries	5.6	5.2	8.7										19.5	12.8	6.7	52.3%
Patient/Client Care Reimbursement	239.4	194.9	198.1										632.4	688.5	(56.1)	-8.1%
Rebates	12.3	11.5	14.7										38.5	36.9	1.6	4.3%
Restitution and Settlements	7.8	1.7	1.4										10.9	164.7	(153.8)	-93.4%
Student Loans	7.5	3.1	8.5										19.1	23.1	(4.0)	-17.3%
All Other	52.9	56.0	47.1										156.0	136.0	20.0	14.7%
Sales	5.2	0.8	1.2										7.2	7.2	-	0.0%
Tuition	52.0	48.1	34.9										135.0	171.1	(36.1)	-21.1%
Total Miscellaneous Receipts	**2,659.7**	**1,871.3**	**1,971.5**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**6,502.5**	**5,966.6**	**535.9**	**9.0%**
Federal Receipts	6,242.0	4,959.2	5,803.8										17,005.0	13,982.9	3,022.1	21.6%
Total Receipts	**20,463.1**	**10,716.0**	**16,419.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**47,598.9**	**39,702.2**	**7,896.5**	**19.9%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	1,263.9	4,574.0	2,811.5										8,649.4	8,378.4	271.0	3.2%
Environment and Recreation	25.4	33.7	2.7										61.8	46.3	15.5	33.5%
General Government	60.3	159.7	734.4										954.4	809.4	145.0	17.9%
Public Health:																
Medicaid	6,412.0	6,151.7	4,857.9										17,421.6	15,244.4	2,177.2	14.3%
Other Public Health	724.4	682.4	1,162.1										2,568.9	2,562.7	6.2	0.2%
Public Safety	156.9	178.2	70.6										405.7	317.7	88.0	27.7%
Public Welfare	240.1	215.8	537.8										993.7	1,227.8	(234.1)	-19.1%
Support and Regulate Business	34.1	164.8	204.6										403.5	222.3	181.2	81.5%
Transportation	305.0	477.1	354.6										1,136.7	1,504.6	(367.9)	-24.5%
Total Local Assistance Grants	**9,222.1**	**12,637.4**	**10,736.2**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**32,595.7**	**30,313.6**	**2,282.1**	**7.5%**
Departmental Operations:																
Personal Service	1,139.8	1,717.6	1,127.7										3,985.1	3,696.1	289.0	7.8%
Non-Personal Service	474.1	576.3	515.9										1,566.3	1,602.3	(36.0)	-2.2%
General State Charges	813.6	2,460.6	454.6										3,728.8	3,857.2	(128.4)	-3.3%
Debt Service, Including Payments on Financing Agreements	72.4	121.1	230.3										423.8	356.4	67.4	18.9%
Capital Projects	434.1	528.1	536.5										1,498.7	1,474.6	24.1	1.6%
Total Disbursements	**12,156.1**	**18,041.1**	**13,601.2**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**43,798.4**	**41,300.2**	**2,498.2**	**6.0%**
Excess (Deficiency) of Receipts over Disbursements	**8,307.0**	**(7,325.1)**	**2,818.6**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**3,800.5**	**(1,598.0)**	**5,398.5**	**337.8%**
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net)	-	-	-										-	-	-	0.0%
Transfers from Other Funds	6,203.6	2,681.3	4,839.5										13,724.4	11,471.8	2,252.6	19.6%
Transfers to Other Funds	(6,217.9)	(2,698.8)	(4,854.6)										(13,771.3)	(11,456.8)	2,314.5	20.2%
Total Other Financing Sources (Uses)	**(14.3)**	**(17.5)**	**(15.1)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(46.9)**	**15.0**	**(61.9)**	**-412.7%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**8,292.7**	**(7,342.6)**	**2,803.5**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**3,753.6**	**(1,583.0)**	**5,336.6**	**337.1%**
Ending Fund Balance	**$ 18,267.7**	**$ 10,925.1**	**$ 13,728.6**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 13,728.6**	**$ 11,166.0**	**$ 2,562.6**	**23.0%**

(*) 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 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 12,361.3	$ 18,718.2	$ 12,243.5										$ 12,361.3	$ 13,606.6	$ (1,245.3)	-9.2%
RECEIPTS:																
Taxes:																
Personal Income Tax:																
Withholdings	3,237.1	3,220.1	2,922.3										9,379.5	8,887.1	492.4	5.5%
Estimated Payments	6,843.2	112.6	2,396.4										9,352.2	6,684.7	2,667.5	39.9%
Returns	2,286.9	75.1	54.1										2,416.1	1,748.4	667.7	38.2%
State/City Offsets	(296.9)	(31.1)	(25.9)										(353.9)	(343.9)	10.0	2.9%
Other (Assessments/LLC)	170.3	105.2	96.2										371.7	333.5	38.2	11.5%
Gross Receipts	12,240.6	3,481.9	5,443.1	-	-	-	-	-	-	-	-	-	21,165.6	17,309.8	3,855.8	22.3%
Transfers to School Tax Relief Fund	-	-	-										-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	-	-	-										-	-	-	0.0%
Refunds Issued	(3,025.2)	(997.3)	(233.2)										(4,255.7)	(4,318.8)	(63.1)	-1.5%
Total Personal Income Tax	9,215.4	2,484.6	5,209.9	-	-	-	-	-	-	-	-	-	16,909.9	12,991.0	3,918.9	30.2%
Consumption/Use Taxes:																
Sales and Use	1,201.6	1,178.8	1,589.5										3,969.9	3,802.1	167.8	4.4%
Auto Rental	-	-	-										-	12.0	(12.0)	-100.0%
Cigarette/Tobacco Products	89.2	85.2	83.8										258.2	289.2	(31.0)	-10.7%
Medical Marijuana	0.5	0.4	0.5										1.4	0.8	0.6	75.0%
Motor Fuel	9.6	9.4	9.5										28.5	26.9	1.6	5.9%
Alcoholic Beverage	20.0	20.9	26.0										66.9	62.1	4.8	7.7%
Highway Use	-	0.1	0.1										0.2	0.6	(0.4)	-66.7%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-										-	13.9	(13.9)	-100.0%
Total Consumption/Use Taxes	1,320.9	1,294.8	1,709.4	-	-	-	-	-	-	-	-	-	4,325.1	4,207.6	117.5	2.8%
Business Taxes:																
Corporation Franchise	376.7	(69.0)	901.2										1,208.9	1,103.5	105.4	9.6%
Corporation and Utilities	39.7	1.3	107.6										148.6	140.8	7.8	5.5%
Insurance	141.8	5.0	403.2										550.0	366.5	183.5	50.1%
Bank	145.3	(121.1)	(21.1)										3.1	6.9	(3.8)	-55.1%
Petroleum Business	44.1	43.9	45.4										133.4	125.2	8.2	6.5%
Total Business Taxes	747.6	(139.9)	1,436.3	-	-	-	-	-	-	-	-	-	2,044.0	1,742.9	301.1	17.3%
Other Taxes:																
Real Property Gains	-	-	-										-	-	-	0.0%
Estate and Gift	79.7	57.3	62.2										199.2	200.3	(1.1)	-0.5%
Pari-Mutuel	0.9	1.1	1.6										3.6	3.9	(0.3)	-7.7%
Real Estate Transfer	82.9	86.0	86.7										255.6	268.3	(12.7)	-4.7%
Racing and Exhibitions	0.2	0.1	0.3										0.6	0.8	(0.2)	-25.0%
Metropolitan Commuter Trans. Mobility	-	-	-										-	-	-	0.0%
Employer Compensation Expense Tax	0.1	0.1	-										0.2	-	0.2	100.0%
Total Other Taxes	163.8	144.6	150.8	-	-	-	-	-	-	-	-	-	459.2	473.3	(14.1)	-3.0%
Total Taxes	11,447.7	3,784.1	8,506.4	-	-	-	-	-	-	-	-	-	23,738.2	19,414.8	4,323.4	22.3%
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	2.0	1.2	0.9										4.1	3.4	0.7	20.6%
Bottle Bill	0.2	0.3	8.2										8.7	11.9	(3.2)	-26.9%
Assessments:																
Business	66.4	33.6	94.2										194.2	170.7	23.5	13.8%
Medical Care	625.7	523.9	509.0										1,658.6	1,543.3	115.3	7.5%
Public Utilities	5.1	-	0.7										5.8	2.4	3.4	141.7%
Other	-	0.2	0.1										0.3	1.1	(0.8)	-72.7%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	5.7	6.0	5.4										17.1	19.6	(2.5)	-12.8%
Audit Fees	-	0.8	1.5										2.3	1.9	0.4	21.1%
Business/Professional	59.7	55.0	127.8										242.5	219.7	22.8	10.4%
Civil	28.6	18.0	22.9										69.5	67.0	2.5	3.7%
Criminal	0.5	0.5	1.2										2.2	2.6	(0.4)	-15.4%
Motor Vehicle	59.2	61.5	40.3										161.0	202.9	(41.9)	-20.7%
Recreational/Consumer	55.2	47.1	67.3										169.6	147.8	21.8	14.7%
Fines, Penalties and Forfeitures	625.7	221.8	133.2										980.7	420.6	560.1	133.2%
Gaming:																
Casino	31.4	18.8	19.7										69.9	60.9	9.0	14.8%
Lottery	218.4	262.0	202.3										682.7	622.1	60.6	9.7%
Video Lottery	76.6	88.5	63.2										228.3	230.3	(2.0)	-0.9%
Interest Earnings	41.4	35.0	41.6										118.0	71.4	46.6	65.3%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-										-	-	-	0.0%

STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2019-2020
(amounts in millions)

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Cost Recovery Assessments	-	-	-										-	-	-	0.0%
Issuance Fees	2.0	1.0	15.1										18.1	15.5	2.6	16.8%
Non Bond Related	0.7	4.7	4.3										9.7	14.0	(4.3)	-30.7%
Receipts from Municipalities	26.1	3.2	6.3										35.6	65.0	(29.4)	-45.2%
Rentals	39.3	28.3	8.6										76.2	88.9	(12.7)	-14.3%
Revenues of State Departments:																
Administrative Recoveries	1.9	2.8	24.7										29.4	44.1	(14.7)	-33.3%
Commissions	0.6	0.6	0.6										1.8	1.4	0.4	28.6%
Commissions - Asset Conversion	-	-	-										-	-	-	0.0%
Gifts, Grants and Donations	0.8	1.0	2.8										4.6	7.1	(2.5)	-35.2%
Indirect Cost Recoveries	6.5	5.2	8.7										20.4	12.8	7.6	59.4%
Patient/Client Care Reimbursement	239.4	194.9	198.1										632.4	688.5	(56.1)	-8.1%
Rebates	4.6	2.7	6.1										13.4	11.0	2.4	21.8%
Restitution and Settlements	7.6	1.2	1.0										9.8	159.4	(149.6)	-93.9%
Student Loans	7.5	3.1	8.5										19.1	23.1	(4.0)	-17.3%
All Other	49.0	55.2	45.8										150.0	133.6	16.4	12.3%
Sales	1.0	0.8	1.2										3.0	6.2	(3.2)	-51.6%
Tuition	52.0	48.1	34.9										135.0	171.1	(36.1)	-21.1%
Total Miscellaneous Receipts	**2,340.8**	**1,727.0**	**1,706.2**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**5,774.0**	**5,241.3**	**532.7**	**10.2%**
Federal Receipts	-	-	(0.9)										(0.9)	(2.6)	1.7	65.4%
Total Receipts	**13,788.5**	**5,511.1**	**10,211.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**29,511.3**	**24,653.5**	**4,857.8**	**19.7%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	917.2	3,980.2	2,539.1										7,436.5	7,013.1	423.4	6.0%
Environment and Recreation	0.2	0.1	0.6										0.9	1.1	(0.2)	-18.2%
General Government	27.1	34.4	576.7										638.2	615.3	22.9	3.7%
Public Health:																
Medicaid	3,295.5	2,470.5	1,759.2										7,525.2	6,066.9	1,458.3	24.0%
Other Public Health	210.3	153.0	440.7										804.0	917.6	(113.6)	-12.4%
Public Safety	30.7	27.8	28.6										87.1	87.7	(0.6)	-0.7%
Public Welfare	88.7	85.7	181.0										355.4	347.6	7.8	2.2%
Support and Regulate Business	7.1	14.4	7.0										28.5	27.3	1.2	4.4%
Transportation	68.3	426.6	279.4										774.3	1,048.2	(273.9)	-26.1%
Total Local Assistance Grants	**4,645.1**	**7,192.7**	**5,812.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**17,650.1**	**16,124.8**	**1,525.3**	**9.5%**
Departmental Operations:																
Personal Service	1,090.5	1,651.8	1,072.6										3,814.9	3,512.2	302.7	8.6%
Non-Personal Service	404.0	500.0	419.5										1,323.5	1,351.3	(27.8)	-2.1%
General State Charges	792.2	2,436.5	420.6										3,649.3	3,780.8	(131.5)	-3.5%
Debt Service, Including Payments on Financing Agreements	72.4	121.1	230.3										423.8	356.4	67.4	18.9%
Capital Projects	-	-	0.1										0.1	-	0.1	100.0%
Total Disbursements	**7,004.2**	**11,902.1**	**7,955.4**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**26,861.7**	**25,125.5**	**1,736.2**	**6.9%**
Excess (Deficiency) of Receipts over Disbursements	**6,784.3**	**(6,391.0)**	**2,256.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,649.6**	**(472.0)**	**3,121.6**	**661.4%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds (**)	5,706.6	2,417.0	4,298.6										12,422.2	10,351.4	2,070.8	20.0%
Transfers to Other Funds (**)	(6,134.0)	(2,500.7)	(4,748.7)										(13,383.4)	(11,148.6)	2,234.8	20.0%
Total Other Financing Sources (Uses)	**(427.4)**	**(83.7)**	**(450.1)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(961.2)**	**(797.2)**	**(164.0)**	**-20.6%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**6,356.9**	**(6,474.7)**	**1,806.2**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,688.4**	**(1,269.2)**	**2,957.6**	**233.0%**
Ending Fund Balance	**$ 18,718.2**	**$ 12,243.5**	**$ 14,049.7**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 14,049.7**	**$ 12,337.4**	**$ 1,712.3**	**13.9%**

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal funds) and Debt Service Funds.
(**) Eliminations between State and Federal Special Revenue Funds are not included.

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT F

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 7,205.7	$ 11,968.7	$ 5,221.6										$ 7,205.7	$ 9,445.0	$ (2,239.3)	-23.7%
RECEIPTS:																
Taxes:																
Personal Income Tax:																
Withholdings	3,237.1	3,220.1	2,922.3										9,379.5	8,887.1	492.4	5.5%
Estimated Payments	6,843.2	112.6	2,396.4										9,352.2	6,684.7	2,667.5	39.9%
Returns	2,286.9	75.1	54.1										2,416.1	1,748.4	667.7	38.2%
State/City Offsets	(296.9)	(31.1)	(25.9)										(353.9)	(343.9)	10.0	2.9%
Other (Assessments/LLC)	170.3	105.2	96.2										371.7	333.5	38.2	11.5%
Gross Receipts	**12,240.6**	**3,481.9**	**5,443.1**	-	-	-	-	-	-	-	-	-	**21,165.6**	**17,309.8**	**3,855.8**	**22.3%**
Transfers to School Tax Relief Fund	-	-	-										-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(4,607.7)	(1,242.3)	(2,604.9)										(8,454.9)	(6,495.5)	1,959.4	30.2%
Refunds Issued	(3,025.2)	(997.3)	(233.2)										(4,255.7)	(4,318.8)	(63.1)	-1.5%
Total Personal Income Tax	**4,607.7**	**1,242.3**	**2,605.0**	-	-	-	-	-	-	-	-	-	**8,455.0**	**6,495.5**	**1,959.5**	**30.2%**
Consumption/Use Taxes:																
Sales and Use	539.3	551.4	743.5										1,834.2	1,777.6	56.6	3.2%
Auto Rental	-	-	-										-	-	-	0.0%
Cigarette/Tobacco Products	26.0	25.8	26.5										78.3	83.4	(5.1)	-6.1%
Motor Fuel	-	-	-										-	-	-	0.0%
Alcoholic Beverage	20.0	20.9	26.0										66.9	62.1	4.8	7.7%
Highway Use	-	-	-										-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-										-	-	-	0.0%
Total Consumption/Use Taxes	**585.3**	**598.1**	**796.0**	-	-	-	-	-	-	-	-	-	**1,979.4**	**1,923.1**	**56.3**	**2.9%**
Business Taxes:																
Corporation Franchise	274.1	(75.0)	725.8										924.9	829.1	95.8	11.6%
Corporation and Utilities	16.3	1.8	84.1										102.2	91.1	11.1	12.2%
Insurance	127.4	(3.6)	354.7										478.5	322.4	156.1	48.4%
Bank	125.4	(104.7)	(21.5)										(0.8)	3.0	(3.8)	-126.7%
Petroleum Business	-	-	-										-	-	-	0.0%
Total Business Taxes	**543.2**	**(181.5)**	**1,143.1**	-	-	-	-	-	-	-	-	-	**1,504.8**	**1,245.6**	**259.2**	**20.8%**
Other Taxes:																
Real Property Gains	-	-	-										-	-	-	0.0%
Estate and Gift	79.7	57.3	62.2										199.2	200.3	(1.1)	-0.5%
Pari-Mutuel	0.9	1.1	1.6										3.6	3.9	(0.3)	-7.7%
Real Estate Transfer	-	-	-										-	-	-	0.0%
Racing and Exhibitions	0.2	0.1	0.3										0.6	0.8	(0.2)	-25.0%
Metropolitan Commuter Trans. Mobility	-	-	-										-	-	-	0.0%
Employer Compensation Expense Tax	0.1	-	-										0.1	-	0.1	100.0%
Total Other Taxes	**80.9**	**58.5**	**64.1**	-	-	-	-	-	-	-	-	-	**203.5**	**205.0**	**(1.5)**	**-0.7%**
Total Taxes	**5,817.1**	**1,717.4**	**4,608.2**	-	-	-	-	-	-	-	-	-	**12,142.7**	**9,869.2**	**2,273.5**	**23.0%**
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	0.9	0.1	-										1.0	0.8	0.2	25.0%
Bottle Bill	0.2	0.3	8.2										8.7	11.9	(3.2)	-26.9%
Assessments:																
Business	-	-	-										-	-	-	0.0%
Medical Care	-	4.2	4.3										8.5	7.0	1.5	21.4%
Public Utilities	-	-	-										-	-	-	0.0%
Other	-	0.1	0.1										0.2	0.2	-	0.0%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	5.7	6.0	5.4										17.1	19.6	(2.5)	-12.8%
Audit Fees	-	-	-										-	-	-	0.0%
Business/Professional	11.1	18.1	29.8										59.0	55.6	3.4	6.1%
Civil	25.0	13.4	17.8										56.2	53.0	3.2	6.0%
Criminal	0.2	0.1	0.1										0.4	0.4	-	0.0%
Motor Vehicle	33.2	34.9	11.6										79.7	67.8	11.9	17.6%
Recreational/Consumer	1.2	1.5	1.9										4.6	3.8	0.8	21.1%
Fines, Penalties and Forfeitures	618.1	154.6	26.5										799.2	348.9	450.3	129.1%
Interest Earnings	21.8	16.8	19.8										58.4	38.7	19.7	50.9%
Receipts from Public Authorities:																
Cost Recovery Assessments	-	-	-										-	-	-	0.0%
Issuance Fees	-	-	10.9										10.9	8.3	2.6	31.3%
Non Bond Related	0.1	-	-										0.1	-	0.1	100.0%
Receipts from Municipalities	16.7	-	-										16.7	50.0	(33.3)	-66.6%
Rentals	0.3	0.1	0.2										0.6	1.2	(0.6)	-50.0%
Revenues of State Departments:																
Administrative Recoveries	0.5	1.0	20.1										21.6	19.4	2.2	11.3%
Commissions	0.1	0.2	-										0.3	-	0.3	100.0%
Gifts, Grants and Donations	-	-	-										-	0.1	(0.1)	-100.0%
Indirect Cost Recoveries	5.6	5.2	8.7										19.5	12.8	6.7	52.3%
Patient/Client Care Reimbursement	(7.3)	2.7	5.7										1.1	(6.5)	7.6	-116.9%
Rebates	(0.6)	1.7	(0.6)										0.5	0.7	(0.2)	-28.6%

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT F

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Restitution and Settlements	-	-	0.2										0.2	108.8	(108.6)	-99.8%
Student Loans	-	-	-										-	-	-	0.0%
All Other	8.1	18.3	(11.6)										14.8	5.5	9.3	169.1%
Sales	0.1	-	(0.3)										(0.2)	-	(0.2)	-100.0%
Total Miscellaneous Receipts	**741.0**	**279.3**	**158.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,179.1**	**808.0**	**371.1**	**45.9%**
Federal Receipts	-	-	-										-	-	-	0.0%
Total Receipts	**6,558.1**	**1,996.7**	**4,767.0**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**13,321.8**	**10,677.2**	**2,644.6**	**24.8%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	917.0	3,979.7	2,189.8										7,086.5	6,685.7	400.8	6.0%
Environment and Recreation	0.1	0.1	0.1										0.3	0.8	(0.5)	-62.5%
General Government	1.7	15.7	574.9										592.3	574.7	17.6	3.1%
Public Health:																
Medicaid	3,296.6	1,588.6	1,393.9										6,279.1	4,788.6	1,490.5	31.1%
Other Public Health	150.2	120.3	336.0										606.5	718.8	(112.3)	-15.6%
Public Safety	10.6	13.4	12.5										36.5	42.9	(6.4)	-14.9%
Public Welfare	87.8	84.9	180.5										353.2	345.5	7.7	2.2%
Support and Regulate Business	6.0	7.7	5.7										19.4	18.1	1.3	7.2%
Transportation	-	23.9	14.1										38.0	176.6	(138.6)	-78.5%
Total Local Assistance Grants	**4,470.0**	**5,834.3**	**4,707.5**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**15,011.8**	**13,351.7**	**1,660.1**	**12.4%**
Departmental Operations:																
Personal Service	688.8	1,071.8	679.0										2,439.6	2,198.1	241.5	11.0%
Non-Personal Service	159.0	249.2	218.9										627.1	666.7	(39.6)	-5.9%
General State Charges	728.2	2,349.3	364.9										3,442.4	3,545.2	(102.8)	-2.9%
Total Disbursements	**6,046.0**	**9,504.6**	**5,970.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**21,520.9**	**19,761.7**	**1,759.2**	**8.9%**
Excess (Deficiency) of Receipts over Disbursements	**512.1**	**(7,507.9)**	**(1,203.3)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(8,199.1)**	**(9,084.5)**	**885.4**	**9.7%**
OTHER FINANCING SOURCES (USES):																
Transfers from Revenue Bond Tax Fund	4,607.3	1,126.2	2,606.0										8,339.5	6,484.8	1,854.7	28.6%
Transfers from LGAC / STRBTF	452.0	302.7	835.6										1,590.3	1,537.4	52.9	3.4%
Transfers from CW/CA Fund	70.3	86.0	85.4										241.7	253.5	(11.8)	-4.7%
Transfers from Other Funds	49.4	110.2	118.6										278.2	268.0	10.2	3.8%
Transfers to State Capital Projects	(248.8)	(406.3)	(393.8)										(1,048.9)	(853.6)	195.3	22.9%
Transfers to All Other Capital Projects	(250.0)	-	(216.5)										(466.5)	(486.5)	(20.0)	-4.1%
Transfers to General Debt Service	(134.7)	(10.7)	7.0										(138.4)	(250.6)	(112.2)	-44.8%
Transfers to All Other State Funds	(294.6)	(447.3)	(467.6)										(1,209.5)	(1,000.8)	208.7	20.9%
Total Other Financing Sources (Uses)	**4,250.9**	**760.8**	**2,574.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**7,586.4**	**5,952.2**	**1,634.2**	**27.5%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**4,763.0**	**(6,747.1)**	**1,371.4**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(612.7)**	**(3,132.3)**	**2,519.6**	**80.4%**
Ending Fund Balance	**$ 11,968.7**	**$ 5,221.6**	**$ 6,593.0**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 6,593.0**	**$ 6,312.7**	**$ 280.3**	**4.4%**

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 3,842.4	$ 7,002.4	$ 6,268.9										$ -	$ 3,842.4	$ 4,302.1	$ (459.7)	-10.7%
RECEIPTS:																	
Taxes:																	
Personal Income Tax	-	-	-										-	-	-	-	0.0%
Consumption/Use Taxes:																	
Sales and Use	124.1	76.4	102.8										-	303.3	271.3	32.0	11.8%
Auto Rental	-	-	-										-	-	12.0	(12.0)	-100.0%
Cigarette/Tobacco Products	63.2	59.4	57.3										-	179.9	205.8	(25.9)	-12.6%
Medical Marijuana	0.5	0.4	0.5										-	1.4	0.8	0.6	75.0%
Motor Fuel	9.6	9.4	9.5										-	28.5	26.9	1.6	5.9%
Alcoholic Beverage	-	-	-										-	-	-	-	0.0%
Highway Use	-	0.1	0.1										-	0.2	0.6	(0.4)	-66.7%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-										-	-	13.9	(13.9)	-100.0%
Total Consumption/Use Taxes	197.4	145.7	170.2	-	-	-	-	-	-	-	-	-	-	513.3	531.3	(18.0)	-3.4%
Business Taxes:																	
Corporation Franchise	102.6	6.0	175.4										-	284.0	274.4	9.6	3.5%
Corporation and Utilities	23.4	(0.5)	23.5										-	46.4	49.7	(3.3)	-6.6%
Insurance	14.4	8.6	48.5										-	71.5	44.1	27.4	62.1%
Bank	19.9	(16.4)	0.4										-	3.9	3.9	-	0.0%
Petroleum Business	44.1	43.9	45.4										-	133.4	125.2	8.2	6.5%
Total Business Taxes	204.4	41.6	293.2	-	-	-	-	-	-	-	-	-	-	539.2	497.3	41.9	8.4%
Total Taxes	401.8	187.3	463.4	-	-	-	-	-	-	-	-	-	-	1,052.5	1,028.6	23.9	2.3%
Miscellaneous Receipts:																	
Abandoned Property:																	
Abandoned Property	1.1	1.1	0.9										-	3.1	2.6	0.5	19.2%
Assessments:																	
Business	70.9	72.7	94.4										-	238.0	212.1	25.9	12.2%
Medical Care	625.7	519.7	504.7										-	1,650.1	1,536.3	113.8	7.4%
Public Utilities	5.1	-	0.7										-	5.8	2.4	3.4	141.7%
Other	-	0.1	-										-	0.1	0.9	(0.8)	-88.9%
Fees, Licenses and Permits:																	
Audit Fees	-	0.8	1.5										-	2.3	1.9	0.4	21.1%
Business/Professional	48.6	36.9	98.0										-	183.5	164.1	19.4	11.8%
Civil	3.6	4.6	5.1										-	13.3	14.0	(0.7)	-5.0%
Criminal	0.3	0.4	1.1										-	1.8	2.2	(0.4)	-18.2%
Motor Vehicle	26.0	26.6	28.7										-	81.3	135.1	(53.8)	-39.8%
Recreational/Consumer	54.0	45.6	65.4										-	165.0	144.0	21.0	14.6%
Fines, Penalties and Forfeitures	8.3	68.0	107.2										-	183.5	74.1	109.4	147.6%
Gaming:																	
Casino	31.4	18.8	19.7										-	69.9	60.9	9.0	14.8%
Lottery	218.4	262.0	202.3										-	682.7	622.1	60.6	9.7%
Video Lottery	76.6	88.5	63.2										-	228.3	230.3	(2.0)	-0.9%
Interest Earnings	20.9	21.0	23.8										-	65.7	34.2	31.5	92.1%
Receipts from Public Authorities:																	
Bond Proceeds	-	-	-										-	-	-	-	0.0%
Cost Recovery Assessments	-	-	-										-	-	-	-	0.0%
Issuance Fees	2.0	1.0	4.2										-	7.2	7.2	-	0.0%
Non Bond Related	0.6	4.7	4.3										-	9.6	14.0	(4.4)	-31.4%
Receipts from Municipalities	9.4	2.7	6.3										-	18.4	14.5	3.9	26.9%
Rentals	39.0	28.2	8.4										-	75.6	87.7	(12.1)	-13.8%
Revenues of State Departments:																	
Administrative Recoveries	1.4	1.8	4.6										-	7.8	24.7	(16.9)	-68.4%
Commissions	0.5	0.4	0.6										-	1.5	1.4	0.1	7.1%
Commissions - Asset Conversion	-	-	-										-	-	-	-	0.0%
Gifts, Grants and Donations	0.8	1.0	2.8										-	4.6	7.0	(2.4)	-34.3%
Indirect Cost Recoveries	0.9	-	-										-	0.9	-	0.9	100.0%
Patient/Client Care Reimbursement	204.3	156.2	154.9										-	515.4	585.5	(70.1)	-12.0%
Rebates	12.9	9.7	15.2										-	37.8	36.1	1.7	4.7%
Restitution and Settlements	7.6	1.2	0.8										-	9.6	50.6	(41.0)	-81.0%
Student Loans	7.5	3.1	8.5										-	19.1	23.1	(4.0)	-17.3%
All Other	41.2	36.9	57.6										-	135.7	129.0	6.7	5.2%
Sales	0.9	0.8	1.5										-	3.2	6.3	(3.1)	-49.2%
Tuition	52.0	48.1	34.9										-	135.0	171.1	(36.1)	-21.1%
Total Miscellaneous Receipts	1,571.9	1,462.6	1,521.3	-	-	-	-	-	-	-	-	-	-	4,555.8	4,395.4	160.4	3.6%
Federal Receipts	6,203.7	4,816.3	5,671.6										-	16,691.6	13,728.3	2,963.3	21.6%
Total Receipts	8,177.4	6,466.2	7,656.3	-	-	-	-	-	-	-	-	-	-	22,299.9	19,152.3	3,147.6	16.4%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	337.7	591.1	611.4										-	1,540.2	1,651.1	(110.9)	-6.7%
Environment and Recreation	0.2	0.1	0.5										-	0.8	0.7	0.1	14.3%
General Government	27.4	22.2	10.5										-	60.1	57.4	2.7	4.7%
Public Health:																	
Medicaid	3,115.4	4,563.1	3,464.0										-	11,142.5	10,455.8	686.7	6.6%
Other Public Health	543.4	520.5	805.5										-	1,869.4	1,782.5	86.9	4.9%
Public Safety	136.3	164.9	58.8										-	360.0	271.7	88.3	32.5%
Public Welfare	152.3	120.0	271.2										-	543.5	705.8	(162.3)	-23.0%
Support and Regulate Business	1.4	7.9	1.5										-	10.8	11.3	(0.5)	-4.4%
Transportation	72.3	408.5	269.7										-	750.5	884.0	(133.5)	-15.1%
Total Local Assistance Grants	**4,386.4**	**6,398.3**	**5,493.1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**16,277.8**	**15,820.3**	**457.5**	**2.9%**
Departmental Operations:																	
Personal Service	451.0	645.8	448.7										-	1,545.5	1,498.0	47.5	3.2%
Non-Personal Service	314.4	324.8	294.4										-	933.6	926.6	7.0	0.8%
General State Charges	85.4	111.3	89.7										-	286.4	312.0	(25.6)	-8.2%
Capital Projects	-	-	0.1										-	0.1	-	0.1	100.0%
Total Disbursements	**5,237.2**	**7,480.2**	**6,326.0**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**19,043.4**	**18,556.9**	**486.5**	**2.6%**
Excess (Deficiency) of Receipts over Disbursements	**2,940.2**	**(1,014.0)**	**1,330.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**3,256.5**	**595.4**	**2,661.1**	**446.9%**
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	308.3	585.3	566.5										(252.9)	1,207.2	1,002.3	204.9	20.4%
Transfers to Other Funds	(88.5)	(304.8)	(179.1)										252.9	(319.5)	(246.9)	72.6	29.4%
Total Other Financing Sources (Uses)	**219.8**	**280.5**	**387.4**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**887.7**	**755.4**	**132.3**	**17.5%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**3,160.0**	**(733.5)**	**1,717.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**4,144.2**	**1,350.8**	**2,793.4**	**206.8%**
Ending Fund Balance	**$ 7,002.4**	**$ 6,268.9**	**$ 7,986.6**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 7,986.6**	**$ 5,652.9**	**$ 2,333.7**	**41.3%**

(*) 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 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 5,090.8	$ 6,434.7	$ 6,338.1										$ 5,090.8	$ 4,008.5	$ 1,082.3	27.0%
RECEIPTS:																
Taxes:																
Personal Income Tax	-	-	-										-	-	-	0.0%
Consumption/Use Taxes:																
Sales and Use	124.1	76.4	102.8										303.3	271.3	32.0	11.8%
Auto Rental	-	-	-										-	12.0	(12.0)	-100.0%
Cigarette/Tobacco Products	63.2	59.4	57.3										179.9	205.8	(25.9)	-12.6%
Medical Marijuana	0.5	0.4	0.5										1.4	0.8	0.6	75.0%
Motor Fuel	9.6	9.4	9.5										28.5	26.9	1.6	5.9%
Alcoholic Beverage	-	-	-										-	-	-	0.0%
Highway Use	-	0.1	0.1										0.2	0.6	(0.4)	-66.7%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-										-	13.9	(13.9)	-100.0%
Total Consumption/Use Taxes	197.4	145.7	170.2	-	-	-	-	-	-	-	-	-	513.3	531.3	(18.0)	-3.4%
Business Taxes																
Corporation Franchise	102.6	6.0	175.4										284.0	274.4	9.6	3.5%
Corporation and Utilities	23.4	(0.5)	23.5										46.4	49.7	(3.3)	-6.6%
Insurance	14.4	8.6	48.5										71.5	44.1	27.4	62.1%
Bank	19.9	(16.4)	0.4										3.9	3.9	-	0.0%
Petroleum Business	44.1	43.9	45.4										133.4	125.2	8.2	6.5%
Total Business Taxes	204.4	41.6	293.2	-	-	-	-	-	-	-	-	-	539.2	497.3	41.9	8.4%
Total Taxes	401.8	187.3	463.4	-	-	-	-	-	-	-	-	-	1,052.5	1,028.6	23.9	2.3%
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	1.1	1.1	0.9										3.1	2.6	0.5	19.2%
Assessments:																
Business	66.4	33.6	94.2										194.2	170.7	23.5	13.8%
Medical Care	625.7	519.7	504.7										1,650.1	1,536.3	113.8	7.4%
Public Utilities	5.1	-	0.7										5.8	2.4	3.4	141.7%
Other	-	0.1	-										0.1	0.9	(0.8)	-88.9%
Fees, Licenses and Permits:																
Audit Fees	-	0.8	1.5										2.3	1.9	0.4	21.1%
Business/Professional	48.6	36.9	98.0										183.5	164.1	19.4	11.8%
Civil	3.6	4.6	5.1										13.3	14.0	(0.7)	-5.0%
Criminal	0.3	0.4	1.1										1.8	2.2	(0.4)	-18.2%
Motor Vehicle	26.0	26.6	28.7										81.3	135.1	(53.8)	-39.8%
Recreational/Consumer	54.0	45.6	65.4										165.0	144.0	21.0	14.6%
Fines, Penalties and Forfeitures	7.6	67.2	106.7										181.5	71.7	109.8	153.1%
Gaming:																
Casino	31.4	18.8	19.7										69.9	60.9	9.0	14.8%
Lottery	218.4	262.0	202.3										682.7	622.1	60.6	9.7%
Video Lottery	76.6	88.5	63.2										228.3	230.3	(2.0)	-0.9%
Interest Earnings	19.4	18.2	21.5										59.1	32.6	26.5	81.3%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-										-	-	-	0.0%
Cost Recovery Assessments	-	-	-										-	-	-	0.0%
Issuance Fees	2.0	1.0	4.2										7.2	7.2	-	0.0%
Non Bond Related	0.6	4.7	4.3										9.6	14.0	(4.4)	-31.4%
Receipts from Municipalities	9.4	2.7	6.3										18.4	14.5	3.9	26.9%
Rentals	39.0	28.2	8.4										75.6	87.7	(12.1)	-13.8%
Revenues of State Departments:																
Administrative Recoveries	1.4	1.8	4.6										7.8	24.7	(16.9)	-68.4%
Commissions	0.5	0.4	0.6										1.5	1.4	0.1	7.1%
Commissions - Asset Conversion	-	-	-										-	-	-	0.0%
Gifts, Grants and Donations	0.8	1.0	2.8										4.6	7.0	(2.4)	-34.3%
Indirect Cost Recoveries	0.9	-	-										0.9	-	0.9	100.0%
Patient/Client Care Reimbursement	204.3	156.2	154.9										515.4	585.5	(70.1)	-12.0%
Rebates	5.2	1.0	6.7										12.9	10.3	2.6	25.2%
Restitution and Settlements	7.6	1.2	0.8										9.6	50.6	(41.0)	-81.0%
Student Loans	7.5	3.1	8.5										19.1	23.1	(4.0)	-17.3%
All Other	40.9	36.9	57.4										135.2	128.0	7.2	5.6%
Sales	0.9	0.8	1.5										3.2	6.2	(3.0)	-48.4%
Tuition	52.0	48.1	34.9										135.0	171.1	(36.1)	-21.1%
Total Miscellaneous Receipts	1,557.2	1,411.2	1,509.6	-	-	-	-	-	-	-	-	-	4,478.0	4,323.1	154.9	3.6%
Federal Receipts	-	-	(0.9)										(0.9)	(2.6)	1.7	65.4%
Total Receipts	1,959.0	1,598.5	1,972.1	-	-	-	-	-	-	-	-	-	5,529.6	5,349.1	180.5	3.4%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	0.2	0.5	349.3										350.0	327.4	22.6	6.9%
Environment and Recreation	0.1	-	0.5										0.6	0.3	0.3	100.0%
General Government	25.4	18.7	1.8										45.9	40.6	5.3	13.1%
Public Health:																
Medicaid	(1.1)	881.9	365.3										1,246.1	1,278.3	(32.2)	-2.5%
Other Public Health	60.1	32.7	104.7										197.5	198.8	(1.3)	-0.7%
Public Safety	20.1	14.4	16.1										50.6	44.8	5.8	12.9%
Public Welfare	0.9	0.8	0.5										2.2	2.1	0.1	4.8%
Support and Regulate Business	1.1	6.7	1.3										9.1	9.2	(0.1)	-1.1%
Transportation	68.3	402.7	265.3										736.3	871.6	(135.3)	-15.5%
Total Local Assistance Grants	**175.1**	**1,358.4**	**1,104.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,638.3**	**2,773.1**	**(134.8)**	**-4.9%**
Departmental Operations:																
Personal Service	401.7	580.0	393.6										1,375.3	1,314.1	61.2	4.7%
Non-Personal Service	244.3	248.5	198.0										690.8	675.6	15.2	2.2%
General State Charges	64.0	87.2	55.7										206.9	235.6	(28.7)	-12.2%
Capital Projects	-	-	0.1										0.1	-	0.1	100.0%
Total Disbursements	**885.1**	**2,274.1**	**1,752.2**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**4,911.4**	**4,998.4**	**(87.0)**	**-1.7%**
Excess (Deficiency) of Receipts over Disbursements	**1,073.9**	**(675.6)**	**219.9**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**618.2**	**350.7**	**267.5**	**76.3%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	308.3	585.3	566.5										1,460.1	1,258.9	201.2	16.0%
Transfers to Other Funds	(38.3)	(6.3)	(29.3)										(73.9)	(18.0)	55.9	310.6%
Total Other Financing Sources (Uses)	**270.0**	**579.0**	**537.2**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,386.2**	**1,240.9**	**145.3**	**11.7%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,343.9**	**(96.6)**	**757.1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,004.4**	**1,591.6**	**412.8**	**25.9%**
Ending Fund Balance	**$ 6,434.7**	**$ 6,338.1**	**$ 7,095.2**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 7,095.2**	**$ 5,600.1**	**$ 1,495.1**	**26.7%**

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (1,248.4)	$ 567.7	$ (69.2)										$ (1,248.4)	$ 293.6	$ (1,542.0)	-525.2%
RECEIPTS:																
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	-	-	-										-	-	-	0.0%
Assessments:																
Business	4.5	39.1	0.2										43.8	41.4	2.4	5.8%
Medical Care	-	-	-										-	-	-	0.0%
Public Utilities	-	-	-										-	-	-	0.0%
Other	-	-	-										-	-	-	0.0%
Fees, Licenses and Permits:																
Business/Professional	-	-	-										-	-	-	0.0%
Civil	-	-	-										-	-	-	0.0%
Criminal	-	-	-										-	-	-	0.0%
Motor Vehicle	-	-	-										-	-	-	0.0%
Recreational/Consumer	-	-	-										-	-	-	0.0%
Fines, Penalties and Forfeitures	0.7	0.8	0.5										2.0	2.4	(0.4)	-16.7%
Interest Earnings	1.5	2.8	2.3										6.6	1.6	5.0	312.5%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-										-	-	-	0.0%
Cost Recovery Assessments	-	-	-										-	-	-	0.0%
Issuance Fees	-	-	-										-	-	-	0.0%
Non Bond Related	-	-	-										-	-	-	0.0%
Receipts from Municipalities	-	-	-										-	-	-	0.0%
Rentals	-	-	-										-	-	-	0.0%
Revenues of State Departments:																
Administrative Recoveries	-	-	-										-	-	-	0.0%
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	8.5										24.9	25.8	(0.9)	-3.5%
Restitution and Settlements	-	-	-										-	-	-	0.0%
Student Loans	-	-	-										-	-	-	0.0%
All Other	0.3	-	0.2										0.5	1.0	(0.5)	-50.0%
Sales	-	-	-										-	0.1	(0.1)	-100.0%
Tuition	-	-	-										-	-	-	0.0%
Total Miscellaneous Receipts	**14.7**	**51.4**	**11.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**77.8**	**72.3**	**5.5**	**7.6%**
Federal Receipts	6,203.7	4,816.3	5,672.5										16,692.5	13,730.9	2,961.6	21.6%
Total Receipts	**6,218.4**	**4,867.7**	**5,684.2**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**16,770.3**	**13,803.2**	**2,967.1**	**21.5%**

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	337.5	590.6	262.1										1,190.2	1,323.7	(133.5)	-10.1%
Environment and Recreation	0.1	0.1	-										0.2	0.4	(0.2)	-50.0%
General Government	2.0	3.5	8.7										14.2	16.8	(2.6)	-15.5%
Public Health:																
Medicaid	3,116.5	3,681.2	3,098.7										9,896.4	9,177.5	718.9	7.8%
Other Public Health	483.3	487.8	700.8										1,671.9	1,583.7	88.2	5.6%
Public Safety	116.2	150.5	42.7										309.4	226.9	82.5	36.4%
Public Welfare	151.4	119.2	270.7										541.3	703.7	(162.4)	-23.1%
Support and Regulate Business	0.3	1.2	0.2										1.7	2.1	(0.4)	-19.0%
Transportation	4.0	5.8	4.4										14.2	12.4	1.8	14.5%
Total Local Assistance Grants	**4,211.3**	**5,039.9**	**4,388.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**13,639.5**	**13,047.2**	**592.3**	**4.5%**
Departmental Operations:																
Personal Service	49.3	65.8	55.1										170.2	183.9	(13.7)	-7.4%
Non-Personal Service	70.1	76.3	96.4										242.8	251.0	(8.2)	-3.3%
General State Charges	21.4	24.1	34.0										79.5	76.4	3.1	4.1%
Capital Projects	-	-	-										-	-	-	0.0%
Total Disbursements	**4,352.1**	**5,206.1**	**4,573.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**14,132.0**	**13,558.5**	**573.5**	**4.2%**
Excess (Deficiency) of Receipts over Disbursements	**1,866.3**	**(338.4)**	**1,110.4**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,638.3**	**244.7**	**2,393.6**	**978.2%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-										-	-	-	0.0%
Transfers to Other Funds	(50.2)	(298.5)	(149.8)										(498.5)	(485.5)	13.0	2.7%
Total Other Financing Sources (Uses)	**(50.2)**	**(298.5)**	**(149.8)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(498.5)**	**(485.5)**	**13.0**	**2.7%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,816.1**	**(636.9)**	**960.6**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,139.8**	**(240.8)**	**2,380.6**	**988.6%**
Ending Fund Balance	**$ 567.7**	**$ (69.2)**	**$ 891.4**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 891.4**	**$ 52.8**	**$ 838.6**	**1,588.3%**

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT H

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	**$ 64.8**	**$ 314.8**	**$ 683.8**										**$ 64.8**	**$ 153.1**	**$ (88.3)**	**-57.7%**
RECEIPTS:																
Taxes:																
Personal Income Tax	4,607.7	1,242.3	2,604.9										8,454.9	6,495.5	1,959.4	30.2%
Consumption/Use Taxes:																
Sales and Use	538.2	551.0	743.2										1,832.4	1,753.2	79.2	4.5%
Total Consumption/Use Taxes	**538.2**	**551.0**	**743.2**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,832.4**	**1,753.2**	**79.2**	**4.5%**
Other Taxes:																
Real Estate Transfer	82.9	86.0	86.7										255.6	268.3	(12.7)	-4.7%
Employer Compensation Expense Tax	-	0.1	-										0.1	-	0.1	100.0%
Total Other Taxes	**82.9**	**86.1**	**86.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**255.7**	**268.3**	**(12.6)**	**-4.7%**
Total Taxes	**5,228.8**	**1,879.4**	**3,434.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**10,543.0**	**8,517.0**	**2,026.0**	**23.8%**
Miscellaneous Receipts:																
Assessments:																
Medical Care	-	-	-										-	-	-	0.0%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	-	-	-										-	-	-	0.0%
Business/Professional	-	-	-										-	-	-	0.0%
Civil	-	-	-										-	-	-	0.0%
Criminal	-	-	-										-	-	-	0.0%
Motor Vehicle	-	-	-										-	-	-	0.0%
Recreational/Consumer	-	-	-										-	-	-	0.0%
Interest Earnings	0.2	-	0.3										0.5	0.1	0.4	400.0%
Receipts from Municipalities	-	0.5	-										0.5	0.5	-	0.0%
Rentals	-	-	-										-	-	-	0.0%
Revenues of State Departments:																
Patient/Client Care Reimbursement	42.4	36.0	37.5										115.9	109.5	6.4	5.8%
All Other	-	-	-										-	0.1	(0.1)	-100.0%
Sales	-	-	-										-	-	-	0.0%
Total Miscellaneous Receipts	**42.6**	**36.5**	**37.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**116.9**	**110.2**	**6.7**	**6.1%**
Federal Receipts	-	-	-										-	-	-	0.0%
Total Receipts	**5,271.4**	**1,915.9**	**3,472.6**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**10,659.9**	**8,627.2**	**2,032.7**	**23.6%**
DISBURSEMENTS:																
Departmental Operations:																
Non-Personal Service	0.7	2.3	2.6										5.6	9.0	(3.4)	-37.8%
Debt Service, Including Payments On Financing Agreements	72.4	121.1	230.3										423.8	356.4	67.4	18.9%
Total Disbursements	**73.1**	**123.4**	**232.9**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**429.4**	**365.4**	**64.0**	**17.5%**
Excess (Deficiency) of Receipts over Disbursements	**5,198.3**	**1,792.5**	**3,239.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**10,230.5**	**8,261.8**	**1,968.7**	**23.8%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	219.3	206.6	86.5										512.4	548.8	(36.4)	-6.6%
Transfers to Other Funds	(5,167.6)	(1,630.1)	(3,648.5)										(10,446.2)	(8,539.1)	1,907.1	22.3%
Total Other Financing Sources (Uses)	**(4,948.3)**	**(1,423.5)**	**(3,562.0)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(9,933.8)**	**(7,990.3)**	**(1,943.5)**	**-24.3%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**250.0**	**369.0**	**(322.3)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**296.7**	**271.5**	**25.2**	**9.3%**
Ending Fund Balance	**$ 314.8**	**$ 683.8**	**$ 361.5**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 361.5**	**$ 424.6**	**$ (63.1)**	**-14.9%**

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT I

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (1,137.9)	$ (1,018.2)	$ (1,249.2)											$ (1,137.9)	$ (1,151.2)	$ 13.3	1.2%
RECEIPTS:																	
Taxes:																	
Consumption/Use Taxes:																	
Auto Rental	3.5	0.3	19.5										-	23.3	19.3	4.0	20.7%
Motor Fuel	36.4	34.8	36.6										-	107.8	102.4	5.4	5.3%
Highway Use	14.2	10.6	9.8										-	34.6	38.6	(4.0)	-10.4%
Total Consumption/Use Taxes	54.1	45.7	65.9	-	-	-	-	-	-	-	-	-	-	165.7	160.3	5.4	3.4%
Business Taxes:																	
Corporation Franchise	-	-	-										-	-	-	-	0.0%
Corporation and Utilities	3.3	(0.1)	1.9										-	5.1	5.3	(0.2)	-3.8%
Petroleum Business	56.3	55.8	58.4										-	170.5	160.4	10.1	6.3%
Total Business Taxes	59.6	55.7	60.3	-	-	-	-	-	-	-	-	-	-	175.6	165.7	9.9	6.0%
Other Taxes:																	
Real Estate Transfer	-	-	11.9										-	11.9	11.9	-	0.0%
Total Other Taxes	-	-	11.9	-	-	-	-	-	-	-	-	-	-	11.9	11.9	-	0.0%
Total Taxes	113.7	101.4	138.1	-	-	-	-	-	-	-	-	-	-	353.2	337.9	15.3	4.5%
Miscellaneous Receipts:																	
Abandoned Property:																	
Bottle Bill	-	-	23.0										-	23.0	23.0	-	0.0%
Assessments:																	
Business	10.1	9.3	8.7										-	28.1	33.7	(5.6)	-16.6%
Fees, Licenses and Permits:																	
Business/Professional	0.8	5.6	3.7										-	10.1	16.3	(6.2)	-38.0%
Civil	-	-	-										-	-	-	-	0.0%
Motor Vehicle	67.0	69.3	65.4										-	201.7	214.7	(13.0)	-6.1%
Recreational/Consumer	0.2	0.1	-										-	0.3	0.5	(0.2)	-40.0%
Fines, Penalties and Forfeitures	2.3	2.0	2.3										-	6.6	7.7	(1.1)	-14.3%
Interest Earnings	1.1	1.0	1.0										-	3.1	2.4	0.7	29.2%
Receipts from Public Authorities:																	
Bond Proceeds	200.8	2.8	146.4										-	350.0	343.4	6.6	1.9%
Issuance Fees	-	-	-										-	-	-	-	0.0%
Non Bond Related	3.5	0.1	0.4										-	4.0	1.4	2.6	185.7%
Receipts from Municipalities	0.3	-	0.3										-	0.6	0.2	0.4	200.0%
Rentals	0.9	0.8	0.5										-	2.2	2.4	(0.2)	-8.3%
Revenues of State Departments:																	
Administrative Recoveries	-	-	-										-	-	-	-	0.0%
Gifts, Grants and Donations	10.1	0.5	0.3										-	10.9	(0.4)	11.3	2,825.0%
Indirect Cost Recoveries	(0.9)	-	-										-	(0.9)	-	(0.9)	-100.0%
Rebates	-	0.1	0.1										-	0.2	0.1	0.1	100.0%
Restitution and Settlements	0.2	0.5	0.4										-	1.1	5.3	(4.2)	-79.2%
All Other	3.6	0.8	1.1										-	5.5	1.4	4.1	292.9%
Sales	4.2	-	-										-	4.2	0.9	3.3	366.7%
Total Miscellaneous Receipts	304.2	92.9	253.6	-	-	-	-	-	-	-	-	-	-	650.7	653.0	(2.3)	-0.4%
Federal Receipts	38.3	142.9	132.2										-	313.4	254.6	58.8	23.1%
Total Receipts	456.2	337.2	523.9	-	-	-	-	-	-	-	-	-	-	1,317.3	1,245.5	71.8	5.8%

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT I

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	9.2	3.2	10.3										-	22.7	41.6	(18.9)	-45.4%
Environment and Recreation	25.1	33.5	2.1										-	60.7	44.8	15.9	35.5%
General Government	31.2	121.8	149.0										-	302.0	177.3	124.7	70.3%
Public Health:																	
Medicaid	-	-	-										-	-	-	-	0.0%
Other Public Health	30.8	41.6	20.6										-	93.0	61.4	31.6	51.5%
Public Safety	10.0	(0.1)	(0.7)										-	9.2	3.1	6.1	196.8%
Public Welfare	-	10.9	86.1										-	97.0	176.5	(79.5)	-45.0%
Support and Regulate Business	26.7	149.2	197.4										-	373.3	192.9	180.4	93.5%
Transportation	232.7	44.7	70.8										-	348.2	444.0	(95.8)	-21.6%
Total Local Assistance Grants	**365.7**	**404.8**	**535.6**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,306.1**	**1,141.6**	**164.5**	**14.4%**
Departmental Operations:																	
Personal Service	-	-	-										-	-	-	-	0.0%
Non-Personal Service	-	-	-										-	-	-	-	0.0%
General State Charges	-	-	-										-	-	-	-	0.0%
Capital Projects	434.1	528.1	536.4										-	1,498.6	1,474.6	24.0	1.6%
Total Disbursements	**799.8**	**932.9**	**1,072.0**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,804.7**	**2,616.2**	**188.5**	**7.2%**
Excess (Deficiency) of Receipts over Disbursements	**(343.6)**	**(595.7)**	**(548.1)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(1,487.4)**	**(1,370.7)**	**(116.7)**	**-8.5%**
OTHER FINANCING SOURCES (USES):																	
Bond Proceeds (net)	-	-	-										-	-	-	-	0.0%
Transfers from Other Funds	509.2	412.4	633.5										-	1,555.1	1,377.0	178.1	12.9%
Transfers to Other Funds	(45.9)	(47.7)	(48.7)										-	(142.3)	(79.3)	63.0	79.4%
Total Other Financing Sources (Uses)	**463.3**	**364.7**	**584.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,412.8**	**1,297.7**	**115.1**	**8.9%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**119.7**	**(231.0)**	**36.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(74.6)**	**(73.0)**	**(1.6)**	**-2.2%**
Ending Fund Balance	**$ (1,018.2)**	**$ (1,249.2)**	**$ (1,212.5)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ (1,212.5)**	**$ (1,224.2)**	**$ 11.7**	**1.0%**

(*) 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 2019-2020
(amounts in millions)

EXHIBIT I

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (633.2)	$ (446.5)	$ (699.4)										$ (633.2)	$ (568.4)	$ (64.8)	-11.4%
RECEIPTS:																
Taxes:																
Consumption/Use Taxes																
Auto Rental	3.5	0.3	19.5										23.3	19.3	4.0	20.7%
Motor Fuel	36.4	34.8	36.6										107.8	102.4	5.4	5.3%
Highway Use	14.2	10.6	9.8										34.6	38.6	(4.0)	-10.4%
Total Consumption/Use Taxes	54.1	45.7	65.9	-	-	-	-	-	-	-	-	-	165.7	160.3	5.4	3.4%
Business Taxes																
Corporation Franchise	-	-	-										-	-	-	0.0%
Corporation and Utilities	3.3	(0.1)	1.9										5.1	5.3	(0.2)	-3.8%
Petroleum Business	56.3	55.8	58.4										170.5	160.4	10.1	6.3%
Total Business Taxes	59.6	55.7	60.3	-	-	-	-	-	-	-	-	-	175.6	165.7	9.9	6.0%
Other Taxes																
Real Estate Transfer	-	-	11.9										11.9	11.9	-	0.0%
Total Other Taxes	-	-	11.9	-	-	-	-	-	-	-	-	-	11.9	11.9	-	0.0%
Total Taxes	113.7	101.4	138.1	-	-	-	-	-	-	-	-	-	353.2	337.9	15.3	4.5%
Miscellaneous Receipts:																
Abandoned Property:																
Bottle Bill	-	-	23.0										23.0	23.0	-	0.0%
Assessments:																
Business	10.1	9.3	8.7										28.1	33.7	(5.6)	-16.6%
Fees, Licenses and Permits:																
Business/Professional	0.8	5.6	3.7										10.1	16.3	(6.2)	-38.0%
Civil	-	-	-										-	-	-	0.0%
Motor Vehicle	67.0	69.3	65.4										201.7	214.7	(13.0)	-6.1%
Recreational/Consumer	0.2	0.1	-										0.3	0.5	(0.2)	-40.0%
Fines, Penalties and Forfeitures	2.3	2.0	2.3										6.6	7.7	(1.1)	-14.3%
Interest Earnings	1.1	1.0	1.0										3.1	2.4	0.7	29.2%
Receipts from Public Authorities:																
Bond Proceeds	200.8	2.8	146.4										350.0	343.4	6.6	1.9%
Issuance Fees	-	-	-										-	-	-	0.0%
Non Bond Related	3.5	0.1	0.4										4.0	1.4	2.6	185.7%
Receipts from Municipalities	0.3	-	0.3										0.6	0.2	0.4	200.0%
Rentals	0.8	0.8	0.4										2.0	2.2	(0.2)	-9.1%
Revenues of State Departments:																
Administrative Recoveries	-	-	-										-	-	-	0.0%
Gifts, Grants and Donations	10.1	0.5	0.3										10.9	(0.4)	11.3	2,825.0%
Indirect Cost Recoveries	(0.9)	-	-										(0.9)	-	(0.9)	-100.0%
Rebates	-	0.1	0.1										0.2	0.1	0.1	100.0%
Restitution and Settlements	0.2	0.5	0.4										1.1	5.3	(4.2)	-79.2%
All Other	3.6	0.8	1.1										5.5	1.4	4.1	292.9%
Sales	4.2	-	-										4.2	0.9	3.3	366.7%
Total Miscellaneous Receipts	304.1	92.9	253.5	-	-	-	-	-	-	-	-	-	650.5	652.8	(2.3)	-0.4%
Federal Receipts	-	-	-										-	-	-	0.0%
Total Receipts	417.8	194.3	391.6	-	-	-	-	-	-	-	-	-	1,003.7	990.7	13.0	1.3%

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT I

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	9.2	3.2	10.3										22.7	41.6	(18.9)	-45.4%
Environment and Recreation	25.1	33.5	2.1										60.7	44.8	15.9	35.5%
General Government	31.2	121.8	149.0										302.0	177.3	124.7	70.3%
Public Health:																
Medicaid	-	-	-										-	-	-	0.0%
Other Public Health	30.8	41.6	20.6										93.0	61.4	31.6	51.5%
Public Safety	10.0	(0.1)	(10.8)										(0.9)	3.1	(4.0)	-129.0%
Public Welfare	-	10.9	86.1										97.0	176.5	(79.5)	-45.0%
Support and Regulate Business	26.7	149.2	197.4										373.3	192.9	180.4	93.5%
Transportation	192.7	7.1	23.2										223.0	329.0	(106.0)	-32.2%
Total Local Assistance Grants	**325.7**	**367.2**	**477.9**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,170.8**	**1,026.6**	**144.2**	**14.0%**
Departmental Operations:																
Personal Service	-	-	-										-	-	-	0.0%
Non-Personal Service	-	-	-										-	-	-	0.0%
General State Charges	-	-	-										-	-	-	0.0%
Capital Projects	368.7	444.7	435.8										1,249.2	1,225.4	23.8	1.9%
Total Disbursements	**694.4**	**811.9**	**913.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**2,420.0**	**2,252.0**	**168.0**	**7.5%**
Excess (Deficiency) of Receipts over Disbursements	**(276.6)**	**(617.6)**	**(522.1)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(1,416.3)**	**(1,261.3)**	**(155.0)**	**-12.3%**
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net)	-	-	-										-	-	-	0.0%
Transfers from Other Funds	509.2	412.4	633.5										1,555.1	1,377.0	178.1	12.9%
Transfers to Other Funds	(45.9)	(47.7)	(48.7)										(142.3)	(79.3)	63.0	79.4%
Total Other Financing Sources (Uses)	**463.3**	**364.7**	**584.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,412.8**	**1,297.7**	**115.1**	**8.9%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**186.7**	**(252.9)**	**62.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(3.5)**	**36.4**	**(39.9)**	**-109.6%**
Ending Fund Balance	**$ (446.5)**	**$ (699.4)**	**$ (636.7)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ (636.7)**	**$ (532.0)**	**$ (104.7)**	**-19.7%**

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT I

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (504.7)	$ (571.7)	$ (549.8)										$ (504.7)	$ (582.8)	$ 78.1	13.4%
RECEIPTS:																
Miscellaneous Receipts:																
Abandoned Property:																
Bottle Bill	-	-	-										-	-	-	0.0%
Assessments:																
Business	-	-	-										-	-	-	0.0%
Fees, Licenses and Permits:																
Business/Professional	-	-	-										-	-	-	0.0%
Civil	-	-	-										-	-	-	0.0%
Motor Vehicle	-	-	-										-	-	-	0.0%
Recreational/Consumer	-	-	-										-	-	-	0.0%
Fines, Penalties and Forfeitures	-	-	-										-	-	-	0.0%
Interest Earnings	-	-	-										-	-	-	0.0%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-										-	-	-	0.0%
Issuance Fees	-	-	-										-	-	-	0.0%
Non Bond Related	-	-	-										-	-	-	0.0%
Receipts from Municipalities	-	-	-										-	-	-	0.0%
Rentals	0.1	-	0.1										0.2	0.2	-	0.0%
Revenues of State Departments:																
Administrative Recoveries	-	-	-										-	-	-	0.0%
Gifts, Grants and Donations	-	-	-										-	-	-	0.0%
Indirect Cost Recoveries	-	-	-										-	-	-	0.0%
Restitution and Settlements	-	-	-										-	-	-	0.0%
All Other	-	-	-										-	-	-	0.0%
Sales	-	-	-										-	-	-	0.0%
Total Miscellaneous Receipts	**0.1**	**-**	**0.1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**0.2**	**0.2**	**-**	**0.0%**
Federal Receipts	38.3	142.9	132.2										313.4	254.6	58.8	23.1%
Total Receipts	**38.4**	**142.9**	**132.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**313.6**	**254.8**	**58.8**	**23.1%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	-	-	-										-	-	-	0.0%
Environment and Recreation	-	-	-										-	-	-	0.0%
General Government	-	-	-										-	-	-	0.0%
Public Health:																
Medicaid	-	-	-										-	-	-	0.0%
Other Public Health	-	-	-										-	-	-	0.0%
Public Safety	-	-	10.1										10.1	-	10.1	100.0%
Public Welfare	-	-	-										-	-	-	0.0%
Support and Regulate Business	-	-	-										-	-	-	0.0%
Transportation	40.0	37.6	47.6										125.2	115.0	10.2	8.9%
Total Local Assistance Grants	**40.0**	**37.6**	**57.7**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**135.3**	**115.0**	**20.3**	**17.7%**
Departmental Operations:																
Personal Service	-	-	-										-	-	-	0.0%
Non-Personal Service	-	-	-										-	-	-	0.0%
General State Charges	-	-	-										-	-	-	0.0%
Capital Projects	65.4	83.4	100.6										249.4	249.2	0.2	0.1%
Total Disbursements	**105.4**	**121.0**	**158.3**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**384.7**	**364.2**	**20.5**	**5.6%**
Excess (Deficiency) of Receipts over Disbursements	**(67.0)**	**21.9**	**(26.0)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(71.1)**	**(109.4)**	**38.3**	**35.0%**
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	**(67.0)**	**21.9**	**(26.0)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(71.1)**	**(109.4)**	**38.3**	**35.0%**
Ending Fund Balance	$ (571.7)	$ (549.8)	$ (575.8)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ (575.8)	$ (692.2)	$ 116.4	16.8%

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT J

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 26.6	$ 26.6	$ 26.9										$ 26.6	$ 24.6	$ 2.0	8.1%
RECEIPTS:																
Miscellaneous Receipts	4.8	6.1	5.1										16.0	14.3	1.7	11.9%
Federal Receipts	1.1	1.0	0.9										3.0	3.1	(0.1)	-3.2%
Unemployment Taxes	187.5	139.2	134.9										461.6	474.2	(12.6)	-2.7%
Total Receipts	**193.4**	**146.3**	**140.9**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**480.6**	**491.6**	**(11.0)**	**-2.2%**
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	0.3	0.6	0.3										1.2	1.4	(0.2)	-14.3%
Non-Personal Service	3.6	5.1	4.5										13.2	11.0	2.2	20.0%
General State Charges	0.1	-	0.1										0.2	0.2	-	0.0%
Unemployment Benefits	189.4	140.3	135.6										465.3	477.3	(12.0)	-2.5%
Total Disbursements	**193.4**	**146.0**	**140.5**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**479.9**	**489.9**	**(10.0)**	**-2.0%**
Excess (Deficiency) of Receipts over Disbursements	**-**	**0.3**	**0.4**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**0.7**	**1.7**	**(1.0)**	**-58.8%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-										-	-	-	0.0%
Transfers to Other Funds	-	-	-										-	-	-	0.0%
Total Other Financing Sources (Uses)	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**0.0%**
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	**-**	**0.3**	**0.4**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**0.7**	**1.7**	**(1.0)**	**-58.8%**
Ending Fund Balance	$ 26.6	$ 26.9	$ 27.3	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 27.3	$ 26.3	$ 1.0	3.8%

STATE OF NEW YORK
INTERNAL SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT K

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (302.7)	$ (293.4)	$ (318.6)										$ (302.7)	$ (269.2)	$ (33.5)	-12.4%
RECEIPTS:																
Miscellaneous Receipts	33.2	32.5	42.3										108.0	146.3	(38.3)	-26.2%
Total Receipts	33.2	32.5	42.3	-	-	-	-	-	-	-	-	-	108.0	146.3	(38.3)	-26.2%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	9.7	14.0	9.6										33.3	28.0	5.3	18.9%
Non-Personal Service	24.4	56.3	5.9										86.6	121.5	(34.9)	-28.7%
General State Charges	4.1	4.9	6.6										15.6	14.1	1.5	10.6%
Total Disbursements	38.2	75.2	22.1	-	-	-	-	-	-	-	-	-	135.5	163.6	(28.1)	-17.2%
Excess (Deficiency) of Receipts over Disbursements	(5.0)	(42.7)	20.2	-	-	-	-	-	-	-	-	-	(27.5)	(17.3)	(10.2)	-59.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	14.3	17.5	4.7										36.5	33.1	3.4	10.3%
Transfers to Other Funds	-	-	-										-	(0.1)	(0.1)	-100.0%
Total Other Financing Sources (Uses)	14.3	17.5	4.7	-	-	-	-	-	-	-	-	-	36.5	33.0	3.5	10.6%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	9.3	(25.2)	24.9	-	-	-	-	-	-	-	-	-	9.0	15.7	(6.7)	-42.7%
Ending Fund Balance	$ (293.4)	$ (318.6)	$ (293.7)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ (293.7)	$ (253.5)	$ (40.2)	-15.9%

STATE OF NEW YORK
PENSION TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT L

	2019									2020			3 Months Ended June 30			
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (3.0)	$ (7.4)	$ (11.8)										$ (3.0)	$ (2.0)	$ (1.0)	-50.0%
RECEIPTS:																
Miscellaneous Receipts	5.3	7.8	5.1										18.2	18.3	(0.1)	-0.5%
Total Receipts	**5.3**	**7.8**	**5.1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**18.2**	**18.3**	**(0.1)**	**-0.5%**
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	5.3	7.7	5.4										18.4	18.5	(0.1)	-0.5%
Non-Personal Service	1.1	1.1	1.1										3.3	3.1	0.2	6.5%
General State Charges	3.3	3.4	3.3										10.0	7.8	2.2	28.2%
Total Disbursements	**9.7**	**12.2**	**9.8**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**31.7**	**29.4**	**2.3**	**7.8%**
Excess (Deficiency) of Receipts over Disbursements	**(4.4)**	**(4.4)**	**(4.7)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(13.5)**	**(11.1)**	**(2.4)**	**-21.6%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-										-	-	-	0.0%
Transfers to Other Funds	-	-	-										-	-	-	0.0%
Total Other Financing Sources (Uses)	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**0.0%**
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	**(4.4)**	**(4.4)**	**(4.7)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(13.5)**	**(11.1)**	**(2.4)**	**-21.6%**
Ending Fund Balance	$ (7.4)	$ (11.8)	$ (16.5)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ (16.5)	$ (13.1)	$ (3.4)	-26.0%

STATE OF NEW YORK
PRIVATE PURPOSE TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT M

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30 2019	2018	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 13.2	$ 13.4	$ 13.5										$ 13.2	$ 11.9	$ 1.3	10.9%
RECEIPTS:																
Miscellaneous Receipts	0.2	0.1	0.1										0.4	0.5	(0.1)	-20.0%
Total Receipts	0.2	0.1	0.1	-	-	-	-	-	-	-	-	-	0.4	0.5	(0.1)	-20.0%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	-	-	-										-	0.1	(0.1)	-100.0%
Non-Personal Service	-	-	-										-	-	-	0.0%
General State Charges	-	-	-										-	-	-	0.0%
Total Disbursements	-	-	-	-	-	-	-	-	-	-	-	-	-	0.1	(0.1)	-100.0%
Excess (Deficiency) of Receipts over Disbursements	0.2	0.1	0.1	-	-	-	-	-	-	-	-	-	0.4	0.4	-	0.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-										-	-	-	0.0%
Transfers to Other Funds	-	-	-										-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	0.2	0.1	0.1	-	-	-	-	-	-	-	-	-	0.4	0.4	-	0.0%
Ending Fund Balance	$ 13.4	$ 13.5	$ 13.6	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 13.6	$ 12.3	$ 1.3	10.6%

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JUNE 2019
(amounts in millions)

SCHEDULE 1

	BALANCE JUNE 1, 2019	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JUNE 30, 2019
GENERAL FUND					
10000-10049-Local Assistance Account	$ -	$ 0.027	$ 4,707.274	$ 4,707.247	$ -
10050-10099-State Operations Account	5,186.986	4,767.067	1,262.877	(2,132.577)	6,558.599
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	34.645	-	0.232	-	34.413
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	(0.058)	(0.058)	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	**5,221.631**	**4,767.036**	**5,970.325**	**2,574.670**	**6,593.012**
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	0.811	0.001	-	-	0.812
20100-20299-Combined Expendable Trust	69.622	0.693	0.695	-	69.620
20300-20349-New York Interest on Lawyer Account	69.827	5.734	2.540	-	73.021
20350-20399-NYS Archives Partnership Trust	0.017	-	0.041	0.300	0.276
20400-20449-Child Performer's Protection	0.441	0.008	0.046	(0.001)	0.402
20450-20499-Tuition Reimbursement	7.904	0.568	0.373	-	8.099
20500-20549-New York State Local Government Records Management Improvement	5.168	0.837	0.503	(0.300)	5.202
20550-20599-School Tax Relief	0.002	-	-	-	0.002
20600-20649-Charter Schools Stimulus	5.970	0.012	(0.015)	-	5.997
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	283.562	492.642	474.783	(1.028)	300.393
20850-20899-Dedicated Mass Transportation Trust	68.681	56.181	53.400	15.665	87.127
20900-20949-State Lottery	1,001.948	265.930	301.871	-	966.007
20950-20999-Combined Student Loan	32.158	2.582	(1.105)	-	35.845
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.515)	-	0.070	-	(3.585)
21050-21149-Encon Special Revenue	(6.339)	7.668	7.129	-	(5.800)
21150-21199-Conservation	73.178	3.242	2.823	-	73.597
21200-21249-Environmental Protection and Oil Spill Compensation	33.919	3.373	1.712	(3.221)	32.359
21250-21299-Training and Education Program on OSHA	13.360	0.032	4.351	(0.251)	8.790
21300-21349-Lawyers' Fund for Client Protection	6.214	0.822	0.058	-	6.978
21350-21399-Equipment Loan for the Disabled	0.543	0.003	0.003	-	0.543
21400-21449-Mass Transportation Operating Assistance	228.777	366.829	179.896	5.632	421.342
21450-21499-Clean Air	(28.403)	2.801	2.788	-	(28.390)
21500-21549-New York State Infrastructure Trust	0.070	-	-	-	0.070
21550-21599-Legislative Computer Services	11.892	0.181	0.027	-	12.046
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.468	0.001	0.001	-	0.468
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	0.001	-	-	-	0.001
21850-21899-Arts Capital Grants	0.954	0.004	-	-	0.958
21900-22499-Miscellaneous State Special Revenue	1,163.701	303.187	170.084	39.655	1,336.459
22500-22549-Court Facilities Incentive Aid	62.393	0.112	1.934	-	60.571

STATE OF NEW YORK **SCHEDULE 1**
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JUNE 2019
(amounts in millions)

	BALANCE JUNE 1, 2019	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JUNE 30, 2019
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22550-22599-Employment Training	0.051	-	-	-	0.051
22650-22699-State University Income	1,648.877	261.533	445.126	464.524	1,929.808
22700-22749-Chemical Dependence Service	11.088	101.909	0.480	-	112.517
22750-22799-Lake George Park Trust	0.502	-	0.182	-	0.320
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	43.468	12.706	0.162	-	56.012
22850-22899-New York Great Lakes Protection	0.500	0.001	0.017	-	0.484
22900-22949-Federal Revenue Maximization	0.024	-	-	-	0.024
22950-22999-Housing Development	9.836	0.021	0.348	-	9.509
23000-23049-NYS/DOT Highway Safety Program	(13.203)	0.133	0.259	-	(13.329)
23050-23099-Vocational Rehabilitation	0.028	0.002	-	-	0.030
23100-23149-Drinking Water Program Management and Administration	(5.351)	-	-	-	(5.351)
23150-23199-NYC County Clerks' Operations Offset	(35.037)	-	2.479	-	(37.516)
23200-23249-Judiciary Data Processing Offset	31.915	5.733	2.625	-	35.023
23250-23449-IFR/CUTRA	191.422	16.924	7.618	-	200.728
23500-23549-USOC Lake Placid Training	0.222	0.012	-	-	0.234
23550-23599-Indigent Legal Services	312.648	25.679	4.831	-	333.496
23600-23649-Unemployment Insurance Interest and Penalty	36.596	0.595	0.284	(0.181)	36.726
23650-23699-MTA Financial Assistance Fund	33.579	0.196	32.319	48.850	50.306
23700-23749-New York State Commercial Gaming Fund	56.006	15.212	50.752	-	20.466
23750-23799-Medical Marihuana Trust Fund	9.586	0.481	0.636	-	9.431
23800-23899-Dedicated Miscellaneous State Special Revenue	2.154	0.179	0.023	-	2.310
24850-24899-Health Care Transformation	527.552	1.101	-	-	528.653
24900-24949-Charitable Gifts Trust Fund	93.988	0.197	-	-	94.185
24950-24999-Interactive Fantasy Sports	14.282	0.848	0.017	-	15.113
40350-40399-State University Dormitory Income	264.040	15.099	-	(32.333)	246.806
TOTAL SPECIAL REVENUE FUNDS-STATE	**6,338.097**	**1,972.004**	**1,752.166**	**537.311**	**7,095.246**
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	(1.590)	207.436	252.532	(0.552)	(47.238)
25100-25199-Federal Health and Human Services	213.154	5,091.950	4,071.229	(143.801)	1,090.074
25200-25249-Federal Education	(146.246)	260.540	135.159	(0.982)	(21.847)
25300-25899-Federal Miscellaneous Operating Grants	(300.060)	97.923	79.396	(0.141)	(281.674)
25900-25949-Unemployment Insurance Administration	167.788	18.509	23.397	(4.133)	158.767
25950-25999-Unemployment Insurance Occupational Training	(0.377)	0.142	0.278	-	(0.513)
26000-26049-Federal Employment and Training Grants	(1.829)	7.724	11.875	(0.216)	(6.196)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	**(69.160)**	**5,684.224**	**4,573.866**	**(149.825)**	**891.373**
TOTAL SPECIAL REVENUE FUNDS	**6,268.937**	**7,656.228**	**6,326.032**	**387.486**	**7,986.619**
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	145.987	12.966	1.946	(65.177)	91.830
40150-40199-General Debt Service	347.353	2,976.509	230.416	(2,859.783)	233.663
40250-40299-State Housing Debt Service	-	-	-	-	-
40300-40349-Department of Health Income	19.950	24.563	-	(9.408)	35.105
40400-40449-Clean Water/Clean Air	-	86.738	-	(85.788)	0.950
40450-40499-Local Government Assistance Tax	170.539	371.862	0.539	(541.862)	-
TOTAL DEBT SERVICE FUNDS	**683.829**	**3,472.638**	**232.901**	**(3,562.018)**	**361.548**

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JUNE 2019
(amounts in millions)

SCHEDULE 1

	BALANCE JUNE 1, 2019	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JUNE 30, 2019
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	102.911	496.659	393.748	-
30050-30099-Dedicated Highway and Bridge Trust	(91.204)	203.392	135.435	(30.073)	(53.320)
30100-30299-SUNY Residence Halls Rehabilitation and Repair	143.344	0.302	2.419	10.407	151.634
30300-30349-New York State Canal System Development	12.139	0.025	-	-	12.164
30350-30399-Parks Infrastructure	(43.774)	0.023	11.874	-	(55.625)
30400-30449-Passenger Facility Charge	0.015	-	-	-	0.015
30450-30499-Environmental Protection	90.869	36.561	9.329	-	118.101
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	18.876	-	-	(0.016)	18.860
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	(549.784)	132.219	158.290	-	(575.855)
31450-31499-Forest Preserve Expansion	1.060	0.003	-	-	1.063
31500-31549-Hazardous Waste Remedial	(105.098)	2.593	7.515	(1.322)	(111.342)
31650-31699-Suburban Transportation	0.529	0.001	-	-	0.530
31700-31749-Division for Youth Facilities Improvement	(18.748)	-	1.280	-	(20.028)
31800-31849-Housing Assistance	(12.942)	-	-	-	(12.942)
31850-31899-Housing Program	(186.524)	40.393	67.816	-	(213.947)
31900-31949-Natural Resource Damage	17.004	0.059	0.017	-	17.046
31950-31999-DOT Engineering Services	(12.346)	-	-	-	(12.346)
32200-32249-Miscellaneous Capital Projects	95.692	1.875	6.559	2.443	93.451
32250-32299-CUNY Capital Projects	0.010	-	-	-	0.010
32300-32349-Mental Hygiene Facilities Capital Improvement	(486.632)	3.667	19.734	-	(502.699)
32350-32399-Correction Facilities Capital Improvement	(242.246)	-	26.117	-	(268.363)
32400-32999-State University Capital Projects	121.265	(0.136)	0.950	9.615	129.794
33000-33049-NYS Storm Recovery Fund	(88.331)	-	(13.370)	-	(74.961)
33050-33099 Dedicated Infrastructure Investment Fund	67.983	-	141.349	200.000	126.634
TOTAL CAPITAL PROJECTS FUNDS	**(1,249.252)**	**523.888**	**1,071.973**	**584.802**	**(1,212.535)**
TOTAL GOVERNMENTAL FUNDS	**$ 10,925.145**	**$ 16,419.790**	**$ 13,601.231**	**$ (15.060)**	**$ 13,728.644**

STATE OF NEW YORK
PROPRIETARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JUNE 2019
(amounts in millions)

SCHEDULE 2

FUND TYPE	BALANCE JUNE 1, 2019	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JUNE 30, 2019
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	$ 0.100	$ 0.002	$ 0.001	$ -	$ 0.101
50050-50099-State Exposition Special	2.746	0.639	0.534	-	2.851
50100-50299-Correctional Services Commissary	3.494	3.782	3.737	-	3.539
50300-50399-Agencies Enterprise	3.408	0.401	0.389	-	3.420
50400-50449-Sheltered Workshop	2.167	0.026	0.016	-	2.177
50450-50499-Patient Workshop	1.794	0.124	0.108	-	1.810
50500-50599-Mental Hygiene Community Stores	4.843	0.096	0.079	-	4.860
50650-50699-Unemployment Insurance Benefit	8.323	135.814	135.607	-	8.530
TOTAL ENTERPRISE FUNDS	**26.875**	**140.884**	**140.471**	**-**	**27.288**
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(72.897)	24.229	32.307	0.108	(80.867)
55050-55099-Agency Internal Service	(165.285)	10.706	(18.749)	4.799	(131.031)
55100-55149-Mental Hygiene Revolving	0.028	0.082	0.060	-	0.050
55150-55199-Youth Vocational Education	0.076	0.001	0.002	-	0.075
55200-55249-Joint Labor and Management Administration	0.283	0.001	0.106	-	0.178
55250-55299-Audit and Control Revolving	(36.733)	-	2.606	(0.020)	(39.359)
55300-55349-Health Insurance Revolving	(16.478)	3.913	0.908	(0.159)	(13.632)
55350-55399-Correctional Industries Revolving	(27.559)	3.331	4.862	(0.001)	(29.091)
TOTAL INTERNAL SERVICE FUNDS	**(318.565)**	**42.263**	**22.102**	**4.727**	**(293.677)**
TOTAL PROPRIETARY FUNDS	**$ (291.690)**	**$ 183.147**	**$ 162.573**	**$ 4.727**	**$ (266.389)**

STATE OF NEW YORK **SCHEDULE 3**
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF JUNE 2019
(amounts in millions)

FUND TYPE	BALANCE JUNE 1, 2019	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE JUNE 30, 2019
PENSION TRUST FUNDS					
65000-65049-Common Retirement Administration	$ (11.832)	$ 5.067	$ 9.691	$ -	$ (16.456)
TOTAL PENSION TRUST FUNDS	**(11.832)**	**5.067**	**9.691**	**-**	**(16.456)**
PRIVATE PURPOSE TRUST FUNDS					
66000-66049-Agriculture Producers' Security	2.998	0.059	0.017	-	3.040
66050-66099-Milk Producers' Security	10.477	0.093	0.010	-	10.560
TOTAL PRIVATE PURPOSE TRUST FUNDS	**13.475**	**0.152**	**0.027**	**-**	**13.600**
AGENCY FUNDS					
60050-60149-School Capital Facilities Financing Reserve	22.224	1.216	-	-	23.440
60150-60199-Child Performer's Holding	0.518	0.004	-	-	0.522
60200-60249-Employees Health Insurance	1,219.505	782.224	948.260	-	1,053.469
60250-60299-Social Security Contribution	15.163	97.811	97.743	-	15.231
60300-60399-Employee Payroll Withholding	46.206	355.781	360.076	-	41.911
60400-60449-Employees Dental Insurance	27.132	5.430	6.826	-	25.736
60450-60499-Management Confidential Group Insurance	0.692	0.432	0.869	-	0.255
60500-60549-Lottery Prize	590.931	94.802	148.423	-	537.310
60550-60599-Health Insurance Reserve Receipts	0.142	0.001	-	-	0.143
60600-60799-Miscellaneous New York State Agency	974.859	284.091	296.761	-	962.189
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	27.263	6.538	6.538	-	27.263
60850-60899-CUNY Senior College Operating	59.661	185.854	211.258	-	34.257
60900-60949-Medicaid Management Information System (MMIS) Escrow	121.091	5,872.722	5,848.008	10.333	156.138
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	100.195	(18.097)	-	-	82.098
61100-61999-State University Federal Direct Lending Program	(1.394)	20.637	19.892	-	(0.649)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	**3,204.188**	**7,689.446**	**7,944.654**	**10.333**	**2,959.313**
TOTAL FIDUCIARY FUNDS	**$ 3,205.831**	**$ 7,694.665**	**$ 7,954.372**	**$ 10.333**	**$ 2,956.457**

STATE OF NEW YORK
SOLE CUSTODY AND INVESTMENT ACCOUNTS
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2019-2020
FOR THE MONTH OF JUNE 2019
amounts in millions)

SCHEDULE 4

FUND TYPE	BALANCE JUNE 1, 2019	RECEIPTS	DISBURSEMENTS	BALANCE JUNE 30, 2019
ACCOUNTS				
70000-70049-Tobacco Settlement	$ 2.831	$ 0.006	$ -	$ 2.837
70093-Mobility Tax Trust Account (*)	167.368	140.086	195.104	112.350
70095-For-Hire Congestion Surcharge (*)	39.407	38.791	37.501	40.697
70050-70149-Sole Custody Investment (**)	2,507.394	10,074.926	10,413.172	2,169.148
70200-Comptroller's Refund Account	-	260.468	260.468	-
TOTAL ACCOUNTS	**$ 2,717.000**	**$ 10,514.277**	**$ 10,906.245**	**$ 2,325.032**

(*) See Footnotes

(**) Includes Public Asset Fund resources:

Chapter 1 of the Laws of 2002 authorized the conversion of Empire Health Choice, d/b/a Empire Blue Cross and Blue Shield from a not-for-profit corporation to a for-profit corporation. Chapter 1 requires, in part, that upon such conversion, assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to a fund designated as the "Public Asset Fund" and 5 percent transferred to a Charitable Foundation - as set forth in Section 7317 of the Insurance Law. On December 28, 2005, WellChoice, Inc. (previously known as Empire Blue Cross, Blue Shield) approved a takeover by WellPoint, Inc. This conversion was also subject to the same Chapter 1 requirements of assigning assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to the "Public Asset Fund".

As of June 30, 2019, $9,372,227.58 (representing the remaining balance of the State's 95 percent share of the fair market value of the not-for-profit corporation plus interest) is on deposit in the sole custody account titled Public Asset Fund. In accordance with Section 4301(j)(4)(F) and (O) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR 2019-2020

SCHEDULE 5

PURPOSE	DEBT OUTSTANDING APRIL 1, 2019	DEBT ISSUED MONTH OF JUNE	DEBT ISSUED 3 MONTHS ENDED JUNE 30, 2019	DEBT MATURED MONTH OF JUNE	DEBT MATURED 3 MONTHS ENDED JUNE 30, 2019	DEBT OUTSTANDING JUNE 30, 2019	INTEREST DISBURSED MONTH OF JUNE	INTEREST DISBURSED 3 MONTHS ENDED JUNE 30, 2019
GENERAL OBLIGATION BONDED DEBT:								
Accelerated Capacity and Transportation Improvements	$ 16,747,925	$ -	$ -	$ -	$ 688,854	$ 16,059,071	$ 2,476	$ 119,848
Clean Water/Clean Air:								
Air Quality	2,465,600	-	-	-	162,677	2,302,923	1,350	5,416
Safe Drinking Water	-	-	-	-	-	-	-	-
Clean Water	321,372,381	-	-	-	8,471,194	312,901,187	148,757	1,748,426
Solid Waste	22,144,792	-	-	-	2,033,357	20,111,435	34	115,930
Environmental Restoration	46,724,919	-	-	-	210,000	46,514,919	203,019	220,644
Energy Conservation Through Improved Transportation:								
Rapid Transit and Rail Freight	1,352,815	-	-	-	154,061	1,198,754	-	29,309
Environmental Quality (1972):								
Air	6,247	-	-	-	-	6,247	-	-
Land and Wetlands	5,870,169	-	-	-	25,000	5,845,169	2,496	4,996
Water	10,826,301	-	-	-	1,503,953	9,322,348	-	98,349
Environmental Quality (1986):								
Land Acquisition/Development/Restoration/Forests	6,831,632	-	-	-	738,107	6,093,525	1,316	43,490
Solid Waste Management	107,613,085	-	-	-	7,019,746	100,593,339	130,326	1,153,839
Housing:								
Low Income	8,500,000	-	-	-	800,000	7,700,000	-	127,500
Middle Income	6,225,000	-	-	-	-	6,225,000	-	-
Park and Recreation Land Acquisition	-	-	-	-	-	-	-	-
Pure Waters	17,772,576	-	-	-	994,401	16,778,175	33,905	189,967
Rail Preservation Development	-	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation:								
Highway Facilities	641,322,676	-	-	-	-	641,322,676	1,423,238	1,423,238
Canals and Waterways	11,884,363	-	-	-	-	11,884,363	38,067	38,067
Aviation	42,044,726	-	-	-	-	42,044,726	-	-
Rail and Port	94,745,141	-	-	-	-	94,745,141	-	-
Mass Transit - Dept. of Transportation	13,915,297	-	-	-	-	13,915,297	-	-
Mass Transit - Metropolitan Transportation Authority	721,891,399	-	-	-	-	721,891,399	3,012,813	3,012,813
Rebuild New York-Transportation Infrastructure Renewal:								
Highways, Parkways, and Bridges	741,418	-	-	-	-	741,418	1,247	1,247
Rapid Transit, Rail and Aviation	2,597,617	-	-	-	555,054	2,042,563	-	63,247
Smart Schools Bond Act	179,020,225	-	-	-	-	179,020,225	-	-
Transportation Capital Facilities:								
Aviation	3,018,695	-	-	-	308,596	2,710,099	-	54,539
Mass Transportation	-	-	-	-	-	-	-	-
Total General Obligation Bonded Debt	**$ 2,285,634,999**	**$ -**	**$ -**	**$ -**	**$ 23,665,000**	**$ 2,261,969,999**	**$ 4,999,044**	**$ 8,450,866**

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE THREE MONTHS ENDED JUNE 30, 2019

SCHEDULE 5a

Special Contractual Financing Obligations:	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40100-40149)	REVENUE BOND TAX (40152)	SALES TAX REVENUE BOND TAX (40154)	COMBINED TOTALS 3 MONTHS ENDED JUNE 30 2019	2018	$ INCREASE/ (DECREASE)
Payments to Public Authorities:										
City University Construction	$ -	$ 54,720,301	$ -	$ -	$ -	$ -	$ -	$ 54,720,301	$ 87,682,822	$ (32,962,521)
Dormitory Authority:										
Consolidated Service Contract Refunding	-	54,430,525	-	-	-	-	-	54,430,525	57,690,325	(3,259,800)
DASNY Revenue Bond	-	-	-	-	-	109,355,813	-	109,355,813	58,275	109,297,538
Department of Health Facilities	-	-	13,080,876	-	-	-		13,080,876	13,085,126	(4,250)
Mental Health Facilities	-	-	-	-	1,630,844	-	-	1,630,844	154,222	1,476,622
Secured Hospital Program	-	-	-	-	-	-	-	-	-	-
SUNY Community Colleges	-	5,928,700	-	-	-	-	-	5,928,700	3,620,528	2,308,172
SUNY Educational Facilities	-	-	-	-	-	-	-	-	-	-
Environmental Facilities Corporation	-	-	-	-	-	839,859	-	839,859	1,671,869	(832,010)
Housing Finance Agency	-	-	-	-	-	-	-	-	815,745	(815,745)
Local Government Assistance Corporation	-	-	-	8,402,319	-	-	-	8,402,319	1,527,161	6,875,158
Metropolitan Transportation Authority:										
Transit and Commuter Rail Projects	-	-	-	-	-	-	-	-	35,457,621	(35,457,621)
Thruway Authority:										
Dedicated Highway and Bridge	-	135,209,949	-	-	-	-	-	135,209,949	73,841,739	61,368,210
Local Highway and Bridge	-	-	-	-	-	-	-	-	-	-
Transportation	-	-	-	-	-	-	-	-	-	-
Urban Development Corporation:										
Clarkson University	-	26,675	-	-	-	-	-	26,675	51,975	(25,300)
Columbia Univer. Telecommunications Center	-	-	-	-	-	-	-	-	2,777,000	(2,777,000)
Consolidated Service Contract Refunding	-	2,894,454	-	-	-	-	-	2,894,454	25,923,969	(23,029,515)
Cornell Univer. Supercomputer Center	-	-	-	-	-	-	-	-	362,000	(362,000)
Correctional Facilities	-	-	-	-	-	-	-	-	-	-
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	5,105,575	-	5,105,575	8,251,737	(3,146,162)
University Facilities Grant 95 Refunding	-	60,072	-	-	-	-	-	60,072	-	60,072
Total Disbursements for Special Contractual Financing Obligations	**$ -**	**$ 253,270,676**	**$ 13,080,876**	**$ 8,402,319**	**$ 1,630,844**	**$ 115,301,247**	**$ -**	**$ 391,685,962**	**$ 312,972,114**	**$ 78,713,848**

STATE OF NEW YORK **SCHEDULE 6**
SUMMARY OF THE OPERATING FUND INVESTMENTS
FOR THE MONTH OF JUNE 2019
AS REQUIRED OF THE STATE COMPTROLLER
(amounts in millions)

	MONTH OF JUNE 2019	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE
SHORT TERM INVESTMENT POOL (*)			
AVERAGE DAILY INVESTMENT BALANCE (**)	$ 18,366.2	$ 19,670.2	$ 15,648.5
AVERAGE YIELD (**)	2.459%	2.482%	1.917%
TOTAL INVESTMENT EARNINGS	$ 36.166	$ 118.724	$ 72.384

Month-End Portfolio Balances

DESCRIPTION	JUNE 2019 PAR AMOUNT	JUNE 2018 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	$ 991.3	$ 1,800.0
REPURCHASE AGREEMENTS	28.7	25.2
COMMERCIAL PAPER	15,295.8	11,020.8
CERTIFICATES OF DEPOSIT/SAVINGS	2,952.2	2,815.3
0% COMPENSATING BALANCE CDs	53.0	705.0
	$ 19,321.0	**$ 16,366.3**

(*) Pursuant to §98 of the State Finance Law, the State Comptroller is authorized to invest and keep invested all moneys, in any fund, held by the State. The Short Term investment Pool (STIP) represents an accounting mechanism that allows for the separate accounting of individual funds (on deposit in the State's General Checking account) for the purpose of making short term investments. Pursuant to State Finance Law §4(5) the STIP is authorized to temporarily loan to the General Fund-State Operations Account (10050) funds for a period of four months or the end of the fiscal year, whichever is shorter. However, it must be noted that certain funds are invested as part of STIP, but are held by the State Comptroller in a fiduciary capacity. Fiduciary fund balances are restricted and may not be used for any State purposes since moneys in such funds are held by the State in a trustee (or fiduciary) capacity or as an agent for individuals, private organizations, or non-State governmental units (e.g. local governments and public authorities). Therefore, Fiduciary fund balances are not available to be temporarily loaned to the General Fund-State Operations Account. Fiduciary fund balances are presented in Schedules 3 and 4 of this report.

(**) Does not include 0% Compensating Balance CDs.

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF RECEIPTS AND DISBURSEMENTS BY ACCOUNT
FISCAL YEAR 2019-2020

APPENDIX A

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30, 2019
OPENING CASH BALANCE	$ -	$ 543,140,525	$ 283,562,198										$ -
RECEIPTS:													
Cigarette Tax	63,203,605	59,370,644	57,339,173										179,913,422
State Share of NYC Cigarette Tax	2,069,000	2,175,000	1,928,000										6,172,000
STIP Interest	469,440	785,843	1,583,166										2,838,449
Public Asset Transfers	-	-	-										-
Assessments	533,324,883	443,523,673	423,216,328										1,400,064,884
Fees	404,000	903,000	2,574,000										3,881,000
Rebates	4,761,424	362,419	6,001,122										11,124,965
Restitution and Settlements	-	-	-										-
Miscellaneous	-	-	-										-
Total Receipts	**604,232,352**	**507,120,579**	**492,641,789**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,603,994,720**
DISBURSEMENTS:													
Grants	57,388,500	753,490,762	467,314,025										1,278,193,287
Interest - Late Payments	1,007	72	16										1,095
Personal Service	541,446	1,589,857	1,742,462										3,873,765
Non-Personal Service	1,746,620	3,414,743	4,043,595										9,204,958
Employee Benefits/Indirect Costs	345,719	445,042	1,682,906										2,473,667
Total Disbursements	**60,023,292**	**758,940,476**	**474,783,004**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,293,746,772**
OPERATING TRANSFERS:													
Transfers to Capital Projects Fund	-	-	-										-
Transfers to General Fund	-	-	26,968										26,968
Transfers to Revenue Bond Tax Fund	-	-	-										-
Transfers to Miscellaneous Special Revenue Fund													
Administration Program Accoun	-	350,000	-										350,000
Empire State Stem Cell Trust Accoun	-	6,661,750	-										6,661,750
Transfers to SUNY Income Fund	1,068,535	746,680	1,000,923										2,816,138
Total Operating Transfers	**1,068,535**	**7,758,430**	**1,027,891**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**9,854,856**
Total Disbursements and Transfers	**61,091,827**	**766,698,906**	**475,810,895**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**1,303,601,628**
CLOSING CASH BALANCE	**$ 543,140,525**	**$ 283,562,198**	**$ 300,393,092**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 300,393,092**

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2019-20

APPENDIX B

Program/Purpose	Appropriation Amount (*)	June	3 Months Ended June 30, 2019 (**)
CENTER FOR COMMUNITY HEALTH PROGRAM	**$ 8,752,000.00**	**$ 295,389.23**	**$ 864,488.92**
CENTER FOR COMMUNITY HLTH	8,752,000.00	295,389.23	864,488.92
CHILD HEALTH INSURANCE PROGRAM	**1,478,644,000.00**	**41,390,069.03**	**84,592,591.44**
CHILD HEALTH INSURANCE	1,478,644,000.00	41,390,069.03	84,592,591.44
COMMUNITY SUPPORT PROGRAM	**180,000.00**	**-**	**-**
COMMUNITY SUPPORT	180,000.00	-	-
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	**426,154,811.52**	**9,785,989.04**	**24,068,047.77**
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE	426,154,811.52	9,785,989.04	24,068,047.77
HEALTH CARE REFORM ACT PROGRAM	**2,160,773,305.03**	**52,844,856.66**	**89,397,730.75**
AIDS DRUG ASSISTANCE	205,250,000.00	-	-
AMBULATORY CARE TRAINING	13,520,000.00	70,511.17	239,375.62
AREA HEALTH EDUCATION CENTER	7,063,000.00	-	-
COMMISSIONER EMERGENCY DISTRIBUTIONS	24,700,000.00	-	-
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CAR	272,000,000.00	-	-
DIVERSITY IN MEDICINE	5,232,000.00	-	-
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)	13,780,000.00	-	-
HCRA PAYOR / PROVIDER AUDITS	9,440,000.00	-	1,193,701.26
HEALTH FACILITY RESTRUCTURING DASNY	39,200,000.00	-	19,600,000.00
HEALTH WORKFORCE RETRAINING	210,010,300.00	118,407.83	568,593.00
INFERTILITY SERVICES GRANTS	24,781,746.00	250.00	34,749.91
MEDICAL INDEMNITY FUND	208,000,000.00	52,000,000.00	52,000,000.00
PART 405.4 HOSPITAL AUDITS NYCRR	2,200,000.00	278,870.79	278,870.79
PHYSICIAN EXCESS MEDICAL MALPRACTICE	382,200,000.00	-	-
PHYSICIAN LOAN REPAYMENT	34,465,000.00	-	79,919.80
PHYSICIAN LOAN REPAYMENT AND PRACTICE SUPPORT	1,000,000.00	-	-
PHYSICIAN PRACTICE SUPPORT	27,825,000.00	-	-
PHYSICIAN WORKFORCE STUDIES	3,954,200.00	-	-
POISON CONTROL CENTERS	8,440,000.00	-	-
POOL ADMINISTRATION	5,300,000.00	-	622,498.06
ROSWELL PARK CANCER INSTITUTE	102,606,000.00	-	12,825,750.00
ROSWELL PARK COMPREHENSIVE CANCER CENTER	50,000.00	-	-
RURAL HEALTH CARE ACCESS	34,550,000.00	177,334.00	882,855.12
RURAL HEALTH NETWORK	22,990,000.00	199,482.87	1,071,417.19
SCHOOL BASED HEALTH CENTERS	4,230,000.00	-	-
SCHOOL BASED HEALTH CLINICS-POOL ADMN	8,460,000.00	-	-
TRANSITION ACCT - PRIOR YEAR ALLOCATION	489,526,059.03	-	-
MEDICAL ASSISTANCE PROGRAM	**28,338,830,000.00**	**366,380,674.73**	**1,088,957,731.52**
HOME HEALTH RATE INCREASE	300,000,000.00	-	-
MEDICAID INDIGENT CARE	5,349,000,000.00	66,380,674.73	188,957,731.52
MEDICAL ASSISTANCE	21,806,630,000.00	300,000,000.00	900,000,000.00
PSNL CRE WRKR RECR & RETEN NYC (***)	816,000,000.00	-	-
PSNL CRE WRKR RECR & RETEN ROS (****)	67,200,000.00	-	-
NEW YORK STATE OF HEALTH	**53,398,000.00**	**3,831,006.82**	**4,547,852.58**
NEW YORK STATE OF HEALTH ADMINISTRATION	53,398,000.00	3,831,006.82	4,547,852.58
OFFICE OF HEALTH INSURANCE PROGRAM	**1,834,000.00**	**-**	**-**
OFFICE OF HEALTH INSURANCE	1,834,000.00	-	-
OFFICE OF HEALTH SYSTEMS MANAGEMENT	**60,490,924.85**	**990,167.56**	**3,490,286.52**
OFFICE HEALTH SYSTEMS MANAGEMENT	60,490,924.85	990,167.56	3,490,286.52
OFFICE OF LONG TERM CARE	**2,477,800.00**	**-**	**-**
ADULT HOME INITIATIVE	2,477,800.00	-	-
REVENUE, PROCESSING & RECONCILIATION	**8,190,000.00**	**274,299.81**	**677,466.81**
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	274,299.81	677,466.81
TOTAL	**32,539,724,841.40**	**475,792,452.88**	**1,296,596,196.31**
Reclass of SUNY Hospital Disprop Share to Transfer		(1,000,923.70)	(2,816,138.41)
Reclass of SUNY Hospital Poison Control Centers to Transfer		-	-
Reclass of SUNY Empire Clinical Research Investigator Program to Transfer		-	-
Reconciling Adjustment (P-Card and T-Card)		(8,525.34)	(33,286.35)
TOTAL REPORTED AMOUNT	**$ 32,547,914,841.40**	**$ 474,783,003.84**	**$ 1,293,746,771.55**

(*) Includes amounts appropriated in SFY 2019-20, as well as prior year appropriations that were reappropriated.
(**) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.

APPENDIX C

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2019-20

	2019 APRIL	2019 MAY	2019 JUNE	2019-20
OPENING CASH BALANCE	$ 284,899,772.70	$ 311,895,828.08	$ 331,162,557.26	$ 284,899,772.70
RECEIPTS:				
Patient Services	382,503,349.99	324,965,368.57	194,013,536.38	901,482,254.94
Covered Lives	125,622,477.78	88,303,903.19	43,892,693.43	257,819,074.40
Provider Assessments	15,415,233.88	10,332,235.26	7,963,191.33	33,710,660.47
1% Assessments	31,864,334.00	36,082,991.00	33,428,009.00	101,375,334.00
DASNY- MOE/Recast receivables	-	-	-	-
Interest Income	79,328.24	73,468.44	61,351.48	214,148.16
Unassigned	1,030,295.38	(1,058,854.38)	25,448,913.00	25,420,354.00
Total Receipts	**556,515,019.27**	**458,699,112.08**	**304,807,694.62**	**1,320,021,825.97**
PROGRAM DISBURSEMENTS:				
Poison Control Centers	-	-	-	-
School Based Health Center Grants	-	-	-	-
ECRIP Distributions	-	-	-	-
Total Program Disbursements	**-**	**-**	**-**	**-**
Excess (Deficiency) of Receipts over Disbursements	**556,515,019.27**	**458,699,112.08**	**304,807,694.62**	**1,320,021,825.97**
OTHER FINANCING SOURCES (USES):				
Transfers From Other Pools:				
Medicaid Disproportionate Share	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	3,803,694.00	4,091,290.00	4,378,827.00	12,273,811.00
Transfers From State Funds:				
HCRA Resources Fund	-	-	-	-
Total Other Financing Sources	**3,803,694.00**	**4,091,290.00**	**4,378,827.00**	**12,273,811.00**
Transfers To Other Pools:				
Medicaid Disproportionate Share	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers To State Funds:				
HCRA Resources Fund	(533,322,657.89)	(317,687,536.29)	(360,202,522.54)	(1,211,212,716.72)
Indigent Care Fund - Matched	-	(126,518,159.64)	(63,259,079.82)	(189,777,239.46)
Indigent Care Fund - Unmatched	-	682,023.03	248,865.18	930,888.21
Total Other Financing Uses	**(533,322,657.89)**	**(443,523,672.90)**	**(423,212,737.18)**	**(1,400,059,067.97)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**26,996,055.38**	**19,266,729.18**	**(114,026,215.56)**	**(67,763,431.00)**
CLOSING CASH BALANCE	$ 311,895,828.08	$ 331,162,557.26	$ 217,136,341.70	$ 217,136,341.70

Source: HCRA - Office of Pool Administration

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2019-20

	2019 APRIL	2019 MAY	2019 JUNE	2019-20
OPENING CASH BALANCE	**$ 2,224.49**	**$ -**	**$ 3,591.28**	**$ 2,224.49**
RECEIPTS:				
Interest Income	-	3,591.28	1,198.39	4,789.67
Total Receipts	**-**	**3,591.28**	**1,198.39**	**4,789.67**
PROGRAM DISBURSEMENTS:				
Indigent Care	-	(126,518,159.64)	(63,259,079.82)	(189,777,239.46)
High Need Indigent Care	-	-	-	-
Other	-	696,718.68	248,865.18	945,583.86
Total Program Disbursements	**-**	**(125,821,440.96)**	**(63,010,214.64)**	**(188,831,655.60)**
Excess (Deficiency) of Receipts over Disbursements	**-**	**(125,817,849.68)**	**(63,009,016.25)**	**(188,826,865.93)**
OTHER FINANCING SOURCES (USES):				
Transfers From Other Pools:				
Public Goods Pool	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers From State Funds:				
HCRA Resources Indigent Care - Matched	-	63,259,079.82	31,629,539.91	94,888,619.73
HCRA Resources Indigent Care - Unmatched	-	(682,023.03)	(248,865.18)	(930,888.21)
HCRA Resources Indigent Care - ATB	-	-	-	-
Federal DHHS Fund	-	63,259,079.82	31,629,539.91	94,888,619.73
Other	-	-	-	-
Total Other Financing Sources	**-**	**125,836,136.61**	**63,010,214.64**	**188,846,351.25**
Transfers To Other Pools:				
Public Goods Pool	-	-	-	-
Health Facility Assessment Fund	-	-	-	-
Transfers To State Funds:				
HCRA Resources Fund Indigent Care Acct	(2,224.49)	(14,695.65)	(3,591.28)	(20,511.42)
Total Other Financing Uses	**(2,224.49)**	**(14,695.65)**	**(3,591.28)**	**(20,511.42)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(2,224.49)**	**3,591.28**	**(2,392.89)**	**(1,026.10)**
CLOSING CASH BALANCE	**$ -**	**$ 3,591.28**	**$ 1,198.39**	**$ 1,198.39**

Source: HCRA - Office of Pool Administration

STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2019-2020
(amounts in thousands)

APPENDIX E

	2019 APRIL	2019 MAY	2019 JUNE	2019 JULY	2019 AUGUST	2019 SEPTEMBER	2019 OCTOBER	2019 NOVEMBER	2019 DECEMBER	2020 JANUARY	2020 FEBRUARY	2020 MARCH	2019-2020 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	$ -	$ 21	$ -										$ 21
Education - EXCEL	-	2,109	221										2,330
Department of Health - All Other	-	-	-										-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-										-
Regional Development:													
Community Capital Assistance Program (CCAP)/RESTORE	647	1,183	11										1,841
Multi-modal	37	-	-										37
GenNYsis	-	-	-										-
CUNY Senior Colleges	19,134	18,022	14,341										51,497
CUNY Community Colleges	2,965	2,554	975										6,494
SUNY Dormitories	-	-	-										-
Upstate Community Colleges	-	-	-										-
Mental Health	9,238	13,563	4,697										27,498
Developmental Disabilities	1,109	1,614	462										3,185
Alcoholism and Substance Abuse	158	274	190										622
Brooklyn Court Officer Training Academy	23	36	-										59
TOTAL DORMITORY AUTHORITY	**33,311**	**39,376**	**20,897**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**93,584**
EMPIRE STATE DEVELOPMENT CORP:													
Regional Development:													
Centers of Excellence	-	-	-										-
Community Capital Assistance Program (CCAP)	-	-	-										-
Empire Opportunity	-	-	-										-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-										-
State Facilities and Equipment	-	-	-										-
TOTAL EMPIRE STATE DEVELOPMENT CORP	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
TOTAL OFF-BUDGET	**$ 33,311**	**$ 39,376**	**$ 20,897**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 93,584**

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	March 31, 2019	April 30, 2019	May 31, 2019	Change	June 30, 2019	
	GENERAL FUND						
10050	STATE OPERATIONS AND LOCAL ASSISTANCE	$ -	$ -	$ -	$ -	$ -	(***)
	TOTAL GENERAL FUND	-	-	-	-	-	
	CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS						
30051	HIGHWAY AND BRIDGE CAPITAL	149,919,438.12	149,793,422.98	150,890,005.84	(16,001,974.36)	134,888,031.48	
30053	AVIATION PURPOSE ACCOUNT	-	-	-	-	-	
30101	REHAB/REPAIR MARITIME	-	-	-	-	-	
30102	D21RVE- MARITIME	-	-	-	-	-	
30103	D36RVE- CENTRAL ADMIN	-	-	-	-	-	
30104	RESIDENCE HALL CAMPUS LET BOND PROCEEDS	-	-	-	-	-	
30105	REHAB/REPAIR ALBANY	-	-	-	-	-	
30106	D01RVE- ALBANY	-	-	-	-	-	
30107	REHAB/REPAIR BINGHAMTON	-	-	-	-	-	
30108	D07RVE- BINGHAMTON	-	-	-	-	-	
30109	REHAB/REPAIR BUFFALO UNIVERSITY	-	-	-	-	-	
30110	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	25,302,180.86	32,095,838.60	43,774,413.38	11,850,354.02	55,624,767.40	
30501	CW/CA IMPLEMENTATION DEC	-	-	-	-	-	
30502	CW/CA IMPLEMENTATION STATE	-	-	-	-	-	
30503	CW/CA IMPLEMENTATION ERDA	-	-	-	-	-	
30504	CW/CA IMPLEMENTATION EFC	-	-	-	-	-	
31506	HAZARDOUS WASTE CLEAN UP	129,347,680.54	132,055,559.17	137,856,806.39	6,371,529.43	144,228,335.82	
31701	YOUTH FACILITIES IMPROVEMENT	21,347,676.79	22,453,852.20	18,748,388.86	1,279,364.22	20,027,753.08	
31801	HOUSING ASSISTANCE	12,941,967.06	12,941,967.06	12,941,967.06	-	12,941,967.06	
31851	HOUSING PROG FD-HSG TR FD CORP	32,727,478.14	32,727,478.14	36,414,379.14	11,673,804.24	48,088,183.38	
31852	HOUSING PROG FD AFFORD HSG CORP	40,482,563.15	40,482,563.15	46,242,563.15	-	46,242,563.15	
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	104,158,911.98	104,158,911.98	104,158,911.98	15,750,000.00	119,908,911.98	
31854	HOUSING PROG FD-HFA	-	-	-	-	-	
31951	HIGHWAY FAC PURPOSE	12,346,481.24	12,346,481.24	12,346,481.24	-	12,346,481.24	

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	March 31, 2019	April 30, 2019	May 31, 2019	Change	June 30, 2019
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	1,019,937.77	1,080,598.10	1,230,257.69	50,307.69	1,280,565.38
32219	NY ENVIRONMENTAL PROTECTION & SPILL REMEDIATION	-	-	-	-	-
32301	OPWDD-STATE FACILITIES PRE 12/99	-	-	-	-	-
32302	DSAS-COMMUINTY FACILITIES	-	-	-	-	-
32303	OMH-COMMUNITY FACILITIES	155,560,650.02	143,987,203.48	142,522,168.86	(927,691.05)	141,594,477.81
32304	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32305	OASAS-COMMUNITY FACILITIES	196,051,910.55	196,227,000.83	196,344,450.83	(683,061.98)	195,661,388.85
32306	DASNY - OMH ADMIN	-	-	-	-	-
32307	DASNY - OPWDD ADMIN	3,152,414.87	3,803,993.87	3,803,993.87	5,077,250.00	8,881,243.87
32308	DASNY - OASAS ADMIN	1,181,677.42	1,344,677.42	1,344,677.42	-	1,344,677.42
32309	OMH -STATE FACILITIES	132,017,215.79	143,995,823.72	161,173,257.17	7,449,903.57	168,623,160.74
32310	OPWDD -STATE FACILITIES	-	-	-	4,549,163.38	4,549,163.38
32311	OASAS -STATE FACILITIES	1,035,331.74	1,035,331.74	1,035,331.74	-	1,035,331.74
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	-	-	-	-	-
32352	DOCS-REHABILITATION PROJECTS	193,029,352.92	219,387,547.21	242,246,255.96	26,116,726.87	268,362,982.83
32353	CORR. FACILITIES CAPITAL CLOSURE	-	-	-	-	-
33001	STORM RECOVERY ACCOUNT	88,663,695.26	87,687,960.49	88,331,131.25	(12,664,666.61)	75,666,464.64
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	**1,300,440,314.22**	**1,337,759,961.38**	**1,401,559,191.83**	**59,891,009.42**	**1,461,450,201.25**
	STATE SPECIAL REVENUE FUNDS					
20401	DOL-CHILD PERFORMER PROTECTION ACCOUNT	-	-	-	-	-
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	-	21,814,550.78	43,202,243.44	41,389,982.04	84,592,225.48
20818	EPIC PREMIUM ACCOUNT	-	-	8,738,215.33	2,668,867.41	11,407,082.74
20901	LOTTERY-EDUCATION	-	-	-	-	-
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	4,221,008.01	3,434,397.24	3,515,460.51	69,851.30	3,585,311.81
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21064	UTILITY ENVIRONMENTAL REGULATORY ACCOUNT	1,672,200.00	1,672,200.00	1,672,200.00	-	1,672,200.00
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	-	37,060.03	1,000,598.73	637,978.23	1,638,576.96
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	4,323,806.27	4,554,797.50	4,760,038.14	(776,003.33)	3,984,034.81
21067	ENCON-RECREATION	-	-	-	-	-
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	47,408,675.51	49,009,998.30	49,614,040.77	4,366,560.28	53,980,601.05
21082	NATURAL RESOURCES ACCOUNT	13,350,512.77	13,442,626.14	13,727,789.23	(131,538.33)	13,596,250.90
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	-	63,605.46	65.94	(65.94)	-
21202	HEALTH DEPT OIL SPILL	-	22,183.09	-	5,130.47	5,130.47
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	-	1,597,149.94	640.00	38,565.97	39,205.97
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	-	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	-	-	-	-	-
21451	OPERATING PERMIT PROGRAM	27,258,308.27	27,901,116.98	28,691,838.14	594,191.72	29,286,029.86
21452	MOBILE SOURCE	406,314.93	-	-	-	-
21902	HEALTH-SPARC'S	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	6,908,973.79	11,165,921.62	13,432,824.70	743,673.20	14,176,497.90
21907	MENTAL HYGIENE PROGRAM	-	-	-	-	-
21909	MENTAL HYGIENE PATIENT INCOME ACCOUNT	-	-	-	-	-
21911	FINANCIAL CONTROL BOARD	745,472.06	159,294.47	366,663.50	161,319.23	527,982.73
21912	RACING REGULATION ACCOUNT	2,741,779.62	2,583,726.54	2,509,405.88	415,418.31	2,924,824.19
21913	NY METROPOLITAN TRANSPORTATION COUNCIL	18,292,577.21	18,292,577.21	18,292,577.21	-	18,292,577.21
21937	SU DORM INCOME REIMBURSE	-	221,106.52	274,644.81	214,596.71	489,241.52
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	-	-
21959	ENV LAB REF FEE	-	-	-	-	-
21961	TRAINING, MANAGEMENT AND EVALUATION ACCOUNT	-	-	318,750.28	107,159.74	425,910.02
21962	CLINICAL LAB FEE	9,328,162.46	9,529,763.16	10,933,216.74	643,608.27	11,576,825.01
21978	INDIRECT COST RECOVERY	-	-	796,246.79	1,844,061.06	2,640,307.85
21979	HIGH SCHOOL EQUIVALENCY PROGRAM	-	-	-	-	-
21989	MULTI - AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	BELL JAR COLLECTION ACCOUNT	-	4,021.16	-	-	-
22004	INDUSTRY AND UTILITY SERVICE	-	-	-	-	-
22006	REAL PROPERTY DISPOSITION	-	-	-	-	-
22007	PARKING ACCOUNT	-	-	-	-	-
22008	COURTS SPECIAL GRANTS	-	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	85,321.29	67,820.97	49,727.35	(13,480.14)	36,247.21
22017	CAMP SMITH BILLETING ACCOUNT	-	68,664.15	57,664.15	(21,000.00)	36,664.15
22032	BATAVIA SCHOOL FOR THE BLIND	8,521,017.76	8,044,333.36	8,735,430.97	834,064.45	9,569,495.42
22034	INVESTMENT SERVICES	-	-	-	-	-

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	March 31, 2019	April 30, 2019	May 31, 2019	Change	June 30, 2019	
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-	
22039	FINANCIAL OVERSIGHT	885,496.57	282,820.20	625,300.18	284,930.97	910,231.15	
22046	REGULATION INDIAN GAMING	80,860,809.91	81,943,232.57	82,399,409.31	222,814.86	82,622,224.17	
22053	ROME SCHOOL FOR THE DEAF	1,820,976.60	976,367.29	1,484,623.59	552,634.09	2,037,257.68	
22054	DSP-SEIZED ASSETS	4,456,415.06	4,032,732.30	3,880,619.85	(27,847.60)	3,852,772.25	
22055	ADMINISTRATIVE ADJUDICATION	12,965,823.68	12,688,728.78	13,497,923.86	2,886,127.30	16,384,051.16	
22056	FEDERAL SALARY SHARING	-	218,539.94	367,489.63	120,137.42	487,627.05	
22062	NYC ASSESSMENT ACCT	-	-	-	-	-	
22063	CULTURAL EDUCATION ACCOUNT	4,171,543.55	4,759,582.30	4,833,532.27	377,167.99	5,210,700.26	
22078	LOCAL SERVICE ACCOUNT	-	-	-	-	-	
22085	DHCR MORTGAGE SERVICES	13,240,764.52	13,441,061.91	13,715,870.55	564,548.31	14,280,418.86	
22090	HOUSING INDIRECT COST RECOVERY	1,836,860.69	-	-	-	-	
22100	DHCR-HOUSING CREDIT AGENCY APPLY FEE	3,786,105.03	4,296,008.76	5,172,607.65	19,215.85	5,191,823.50	
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-	
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-	
22144	MONTROSE VETERAN'S HOME	-	-	-	21,420.45	21,420.45	
22151	DEFERRED COMPENSATION ADMIN	121,207.69	180,075.47	246,248.49	(117,327.77)	128,920.72	
22156	RENT REVENUE OTHER - NYC	-	1,288,571.78	6,156,489.69	3,509,837.24	9,666,326.93	
22158	RENT REVENUE	-	-	-	-	-	
22168	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-	
22240	NYS MEDICAL INDEMNITY FUND ACCOUNT	-	-	-	-	-	
22654	S.U. NON-RESIDENT REV. OFFSET	20,176,084.17	20,217,897.06	20,258,799.77	42,219.88	20,301,019.65	
22751	LAKE GEORGE PARK TRUST FUND	-	8,045.89	-	-	-	
22802	STATE POLICE MV ENFORCE	-	-	-	-	-	
23001	DOT - HIGHWAY SAFETY PRGM	12,683,057.28	12,941,495.24	13,203,047.81	126,008.75	13,329,056.56	
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	28,279,679.41	34,503,932.91	35,037,336.28	2,478,330.85	37,515,667.13	
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-	
23702	COMMERCIAL GAMING REGULATION	13,793,430.04	14,092,144.48	14,494,567.53	261,883.18	14,756,450.71	
23800	INTERSTATE RECIPROCITY FOR POST SEC DIST ED	-	-	-	-	-	
23801	HIGHWAY USE TAX ADMIN	-	-	-	-	-	
23806	NYS SECURE CHOICE ADMIN	-	-	-	-	-	
24951	FANTASY SPORTS ADMINISTRATION	48,055.03	48,055.03	48,055.03	(48,055.03)	-	
	TOTAL STATE SPECIAL REVENUE FUNDS	**349,741,388.88**	**384,957,156.23**	**431,463,153.80**	**65,066,987.39**	**496,530,141.19**	
	FEDERAL FUNDS						
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	25,650,194.51	13,743,952.42	10,123,065.00	45,244,619.85	55,367,684.85	
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	2,287,060,288.27	580,826,448.78	382,506,285.18	(78,948,857.45)	303,557,427.73	
25200-25249	FEDERAL EDUCATION GRANTS FUND	141,483,553.78	62,473,696.48	150,905,821.10	(126,350,938.63)	24,554,882.47	
25250-25299	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-	
25300-25899	FEDERAL OPERATING GRANTS FUND	418,362,905.02	447,342,224.32	462,499,820.51	(14,577,418.04)	447,922,402.47	
31351	MILITARY AND NAVAL AFFAIRS	8,908,861.69	8,801,154.66	8,793,024.66	(1,280.00)	8,791,744.66	
31354	DEPARTMENT OF TRANSPORTATION	408,101,447.87	475,012,750.95	451,956,589.79	23,233,163.65	475,189,753.44	
31350-31449	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	118,232,494.23	118,479,790.75	119,370,527.64	4,025,084.86	123,395,612.50	
25900-25949	UNEMPLOYMENT INSURANCE ADMINISTRATION	6,423,035.46	6,887,368.67	12,412,094.18	2,899,896.60	15,311,990.78	
25950	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	544,945.01	460,495.01	288,018.01	217,444.50	505,462.51	
26001-26049	DOL EMPLOYMENT AND TRAINING GRANTS	2,015,108.55	7,801,321.04	1,829,534.07	4,366,381.45	6,195,915.52	
	TOTAL FEDERAL FUNDS	**3,416,782,834.39**	**1,721,829,203.08**	**1,600,684,780.14**	**(139,891,903.21)**	**1,460,792,876.93**	(**)
	AGENCY FUNDS						
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-	
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-	
	TOTAL AGENCY FUNDS	**-**	**-**	**-**	**-**	**-**	
	ENTERPRISE FUND						
50318	OGS CONVENTION CENTER ACCOUNT	149,762.54	102,178.23	220,303.59	21,845.16	242,148.75	
50327	EMPIRE PLAZA GIFT SHOP	185,439.57	187,195.03	214,600.58	2,893.15	217,493.73	
	TOTAL ENTERPRISE FUND	**335,202.11**	**289,373.26**	**434,904.17**	**24,738.31**	**459,642.48**	
	INTERNAL SERVICE FUNDS						
55001	CENTRALIZED SERVICES-FLEET MGMT	-	-	-	-	-	
55002	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-	
55003	CENTRALIZED SERVICES-PRINTING	1,361,177.18	1,324,971.52	1,360,792.63	91,645.44	1,452,438.07	
55004	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	-	-	-	-	-	
55005	CENTRALIZED SERVICES-DONATED FOODS	-	20,572.16	-	-	-	
55006	CENTRALIZED SERVICES-PERSONAL PROPERTY	-	-	-	-	-	
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	2,799,209.13	2,619,690.38	2,639,779.45	(260,725.22)	2,379,054.23	
55008	CENTRALIZED SERVICES-PASNY	6,233,186.03	9,931,908.58	1,522,646.94	4,160,486.44	5,683,133.38	
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	-	-	-	-	-	
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	14,027,796.93	10,685,878.89	14,061,202.18	1,643,407.42	15,704,609.60	
55011	CENTRALIZED SERVICES-INSURANCE	3,026,218.52	3,217,128.75	2,148,327.63	352,760.25	2,501,087.88	
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	143,180.06	139,428.06	180,760.64	21,383.00	202,143.64	
55013	CENTRALIZED SERVICES-COP'S	-	-	-	-	-	

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	March 31, 2019	April 30, 2019	May 31, 2019	Change	June 30, 2019
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55015	CENTRALIZED SERVICES-HOMER FOLKS	-	-	-	-	-
55016	CENTRALIZED SERVICES-IMMICS	1,464,225.96	1,349,142.62	1,338,291.89	(20,101.67)	1,318,190.22
55017	DOWNSTATE WAREHOUSE	683,235.74	517,533.05	504,244.67	(134,197.18)	370,047.49
55018	BUILDING ADMINISTRATION	9,927,728.11	5,793,382.24	-	-	-
55019	LEASE SPACE INITIATIVE	-	-	-	-	-
55020	OGS ENTERPRISE CONTRACTING ACCT	63,101,429.88	61,478,824.53	66,314,508.86	1,678,743.21	67,993,252.07
55021	NYS MEDIA CENTER	5,659,631.05	5,577,697.09	6,116,401.81	(19,882.77)	6,096,519.04
55022	BUSINESS SERVICES CENTER	8,051,614.18	9,927,615.44	4,727,382.59	1,977,478.95	6,704,861.54
55052	ARCHIVES RECORD MGMT I.S.	-	-	-	6,186.77	6,186.77
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	117,719.57	154,766.64	148,687.40	(16,824.50)	131,862.90
55057	BANKING SERVICES ACCOUNT	-	492,524.93	63,765.50	1,627,728.06	1,691,493.56
55058	CULTURAL RESOURCE SURVEY	2,891,015.47	3,041,362.41	3,364,790.13	(1,611,592.72)	1,753,197.41
55059	NEIGHBOR WORK PROJECT	7,651,171.43	7,446,142.10	5,825,240.28	4,506,792.44	10,332,032.72
55060	AUTOMATIC/PRINT CHARGBACKS	-	717,020.87	2,687,792.72	1,715,982.75	4,403,775.47
55061	OFT NYT ACCT	2,340,827.95	2,340,827.95	2,340,827.95	(18,081.31)	2,322,746.64
55062	DATA CENTER ACCOUNT	45,428,023.70	45,428,023.70	45,428,023.70	-	45,428,023.70
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	165,420.68	203,180.28	238,878.52	(85,836.86)	153,041.66
55069	CENTRALIZED TECHNOLOGY SERVICES	72,305,387.23	59,320,406.85	93,220,174.24	(38,847,795.76)	54,372,378.48
55071	LABOR CONTACT CENTER ACCT	254,769.81	412,387.47	593,630.19	(392,750.59)	200,879.60
55072	HUMAN SERVICES CONTACT CNTR ACCT	-	-	103,530.07	879,377.55	982,907.62
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55074	CIVIL RECOVERIES ACCT	17,474,534.88	18,879,827.98	16,867,028.77	(1,484,262.25)	15,382,766.52
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	8,708,847.81	9,100,531.01	9,581,663.07	365,616.32	9,947,279.39
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	22,365,827.84	24,679,378.92	27,151,146.45	2,260,074.77	29,411,221.22
55300	HEALTH INSURANCE INTERNAL SERVICE	13,619,750.51	14,786,922.13	16,015,468.19	(3,009,308.07)	13,006,160.12
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	1,160,045.30	1,306,341.96	462,955.56	162,723.85	625,679.41
55350	CORR INDUSTRIES INTERNAL SERVICE	25,361,433.93	24,969,256.34	27,559,402.21	1,531,843.01	29,091,245.22
	TOTAL INTERNAL SERVICE FUNDS	**337,584,993.15**	**327,124,259.12**	**353,828,928.51**	**(22,919,128.67)**	**330,909,799.84**
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	**$ 5,404,884,732.75**	**$ 3,771,959,953.07**	**$ 3,787,970,958.45**	**$ (37,828,296.76)**	**$ 3,750,142,661.69**

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 59, Part TTT, Section 1, of the Laws of 2019-20. 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 2019-2020

APPENDIX G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	3 Months Ended June 30, 2019
OPENING CASH BALANCE	$ 16,298,833	$ 228,595,088	$ 67,983,418										$ 16,298,833
RECEIPTS:													
Transfers from General Fund (**)	250,000,000	-	200,000,000										450,000,000
Total Receipts	250,000,000	-	200,000,000	-	-	-	-	-	-	-	-	-	450,000,000
DISBURSEMENTS:													
Affordable and Homeless Housing	-	1,460,000	18,258,090										19,718,090
Broadband Initiative	1,906,857	22,713,440	5,454,209										30,074,506
Downtown Revitalization	-	-	518,406										518,406
Health Care / Hospital Initiatives	1,376,741	66,909,227	2,205,139										70,491,107
Empire State Poverty Reduction Initiatives	1,174,678	643,317	1,630,974										3,448,969
Information Technology/Infrastructure for Behavioral Sciences	-	-	-										-
Infrastructure Improvements	-	298,303	597,554										895,857
Jacob Javits Center Expansion	-	-	87,959,899										87,959,899
Life Sciences Initiative	-	-	-										-
Municipal Restructuring / Consolidation Competition	1,257,796	1,322,544	884,297										3,464,637
Penn Station Access	-	-	-										-
Resiliency, Mitigation, Security and Emergency Response	32,703	4,101,595	100,755										4,235,053
Southern Tier / Hudson Valley Farm Initiative	10,000	73,340	4,871										88,211
Thruway Stabilization Program	15,988,205	29,132,267	20,630,646										65,751,118
Transformative Economic Development Projects	5,122,897	8,707,914	1,701										13,832,512
Transporation Capital Plan	-	-	-										-
Upstate Revitalization Program	10,833,868	25,249,723	3,102,575										39,186,166
Total Disbursements	37,703,745	160,611,670	141,349,116	-	-	-	-	-	-	-	-	-	339,664,531
OPERATING TRANSFERS:													
Transfers to General Fund	-	-	-										-
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Disbursements and Transfers	37,703,745	160,611,670	141,349,116	-	-	-	-	-	-	-	-	-	339,664,531
CLOSING CASH BALANCE	$ 228,595,088	$ 67,983,418	$ 126,634,302	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 126,634,302

(*) Fund created pursuant to Chapter 60, Laws of 2015-16, Part H and SFL § 93-b

(**) Pursuant to Section 93(b) of the State Finance Law