

NYCRR Numbering and Cross-Reference Styles

NYCRR numbering and cross-reference standards are determined by the Department of State. Adopted text that does not conform to our prescribed standards will be edited prior to publication in the NYCRR.

<i>Division</i>	<i>Description</i>	<i>Example</i>
Title	Arabic numeral	Title 1
Subtitle	Capital letter	Subtitle A
Chapter	Capital Roman numeral	Chapter I
Subchapter	Capital letter	Subchapter A
Article	Arabic numeral	Article 1
Subarticle	Capital letter	Subarticle A
Part	Arabic numeral	Part 1
Subpart	Arabic numeral separated from Part number by hyphen	Subpart 1-1
section	Arabic numeral separated from Part (or Subpart) number by decimal point	section 1.1
subdivision	Parenthetical small letter	subdivision (a)
paragraph	Parenthetical Arabic numeral	paragraph (1)
subparagraph	Parenthetical small Roman numeral	subparagraph (i)
clause	Parenthetical small italic letter	clause (a)
subclause	Parenthetical italic Arabic numeral	subclause (1)
item	Parenthetical italic Roman numeral	item (i)
subitem	Parenthetical capital italic letter	subitem (A)
phrase	Parenthetical capital italic Roman numeral	phrase (I)
subphrase	Parenthetical bold Arabic numeral	subphrase (1)

Lengthy letter conventions

When producing a lengthy, lettered list (i.e., exceeds 26 entries, or the letter “z”), first transition to double letters beginning with the letter “a” for the next 26 entries, then to double letters beginning with the letter “b” and so on. For instance:

- Items 1-26 must be represented by the letters “a”, “b”, “c”, . . . , (ending with) “z”.
- Items 27-52 must be the two-letter combinations “aa”, “ab”, “ac”, . . . , (ending with) “az”.
- Items 53-78 must be the two-letter combinations “ba”, “bb”, “bc”, . . . , (ending with) “bz”.

Cross-referencing the NYCRR

Generally reference the next higher level (and use the term *of this ...*) when referring to another item in that level:

- To refer to another Part in the same Title, state *Part 1 of this Title*.
- To refer to another section in the same Part, state *section 1.1 of this Part*.
- To refer to another subdivision in the same section, state *subdivision (a) of this section*.
- To refer to another paragraph in the same subdivision, state *paragraph (1) of this subdivision*.

Generally use the term *section* and identify subdivision, paragraph, etc., when referring to items in another level:

- To refer to a subdivision in another section of the same Part, state *section 1.2(a) of this Part*.
- To refer to a paragraph in another subdivision and section of the same Part, state *section 1.2(a)(1) of this Part*.

Identify the Title number only when referring to another Title: *section 1.1 of Title 2; section 2.1(a) of Title 2*.

Submitting material via e-mail or on disk

You may submit text/substance and attachments (RIS, etc.) to be published in the *State Register* via e-mail or on disk. The law mandates an original signature on every notice therefore a hard copy must be submitted. Until electronic signatures are available we *cannot* publish a rule making notice only submitted in electronic form.

E-mail text/substance and required attachments to nysregister@dos.state.ny.us. This is a dedicated e-mail address for publication purposes only; correspondence should continue to be directed to an individual's specific e-mail address. **This is the only e-mail address Register submissions should be sent to.** The "subject" portion of your e-mail **must reference** the issue date which you want the item to be published in the *State Register*, your three-character agency code, and the affected NYCRR Title and Part. For instance, " **01/05/05, AAM 1 NYCRR Part 234.**" It is IMPERATIVE that the issue date is in the subject line.

Send a separate e-mail for each rule making notice, clearly labeled to match the paper version that must also be provided. Your e-mail and paper filing must both be received by the specified issue's deadline date.

Text/substance and required attachments provided on disk must accompany the paper filing.

Filenames. You must follow standard conventions for rule making filenames when providing text for a rule and its accompanying statements (each of which should be a separate file):

- ! form = rule making form
- ! text = full text of rule
- ! summary = summary of full text
- ! ris = regulatory impact statement
- ! rfa = regulatory flexibility analysis (for small businesses and local governments)
- ! rafa = rural area flexibility analysis
- ! jis = job impact statement
- ! apc = assessment of public comment
- ! reasons = specific reasons (emergency rule makings)

For public notices or other notices, you may use any filename.

Examples:

Rule Making Notice:

To: nysregister@dos.state.ny.us

From: Any state agency

Subject: 1/05/05 AAM, 1 NYCRR Part 234

Public Notice or Other Notice:

To: nysregister@dos.state.ny.us

From: Any state agency/municipality

Subject: Public notice for 1/05/05 issue

Warning!

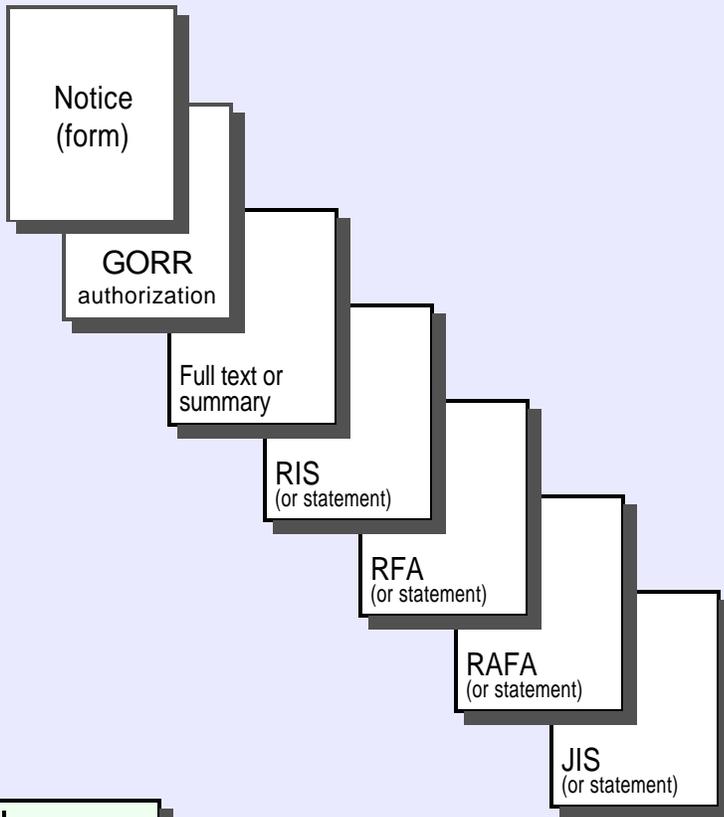
The original, signed paper copy and the e-mail version of a rule making notice must both be received in this office in time to meet the same issue deadline.

Rule Making Decisions . . .

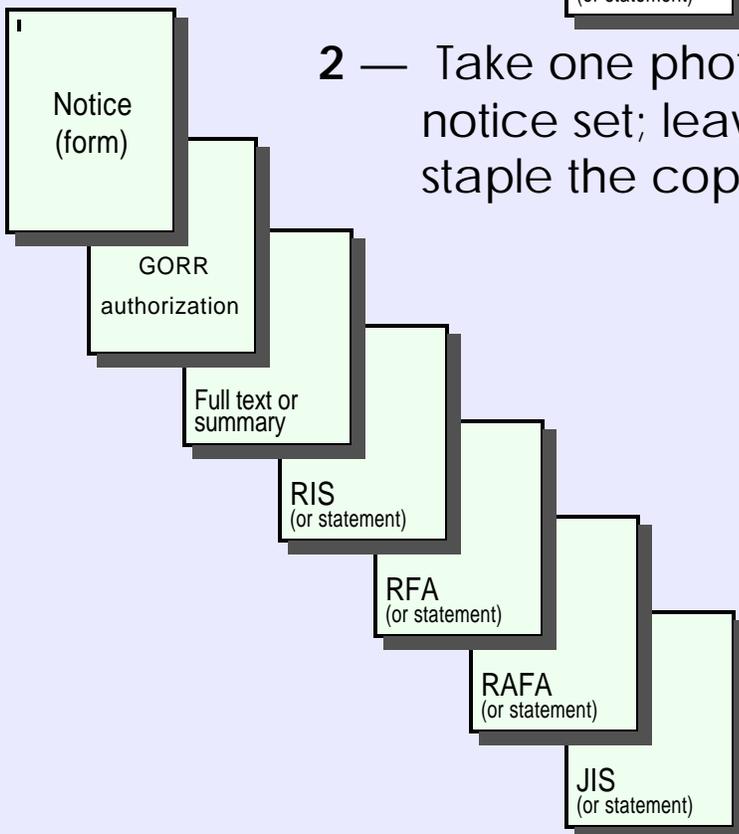
IF YOU WANT TO . . .	READ	AND THEN SUBMIT A . . .
Add, amend or repeal a code, rule or regulation on a permanent basis	Chapter 1	Notice of Proposed Rule Making NOTE: Following the public comment period, you must take separate action to adopt the proposal.
Adopt language from another publication without actually including the language in the rule	Chapter 5	Incorporation by Reference Certification and the referenced materials with the Notice of Adoption
Adopt a proposal	Chapter 3	Notice of Adoption and Certification NOTE: If substantial changes were made to the rule, you must first publish a Notice of Revised Rule Making to open a second comment period.
Amend a previously filed adoption	Chapter 3	Notice of Amended Adoption NOTE: Only if nonsubstantial changes are being made and if FILED prior to the effective date of the adoption to be amended.
Expedite a rule making	Chapter 4	Notice of Emergency Adoption
Expedite a rule making and propose to add, amend or repeal a code, rule or regulation on a permanent basis	Chapter 4	Notice of Emergency Adoption and Proposed Rule Making
Re-adopt an emergency rule	Chapter 4	Notice of Emergency Adoption NOTE: The second re-adoption (i.e., the third emergency) must include an Assessment of Public Comment. A rule must be proposed before a second emergency adoption can take place. A Notice of Emergency Adoption and Proposed Rule Making may be used to re-adopt an emergency rule.
Revise a proposed rule when there have been substantial changes to the text and simultaneously re-adopt a related emergency rule	Chapter 4	Notice of Emergency Adoption and Revised Rule Making
Revise a proposal	Chapter 2	Notice of Revised Rule Making
Withdraw a proposal	Chapter 2	Notice of Withdrawal

Packaging Proposals

1 — Collate originals, leave unstapled



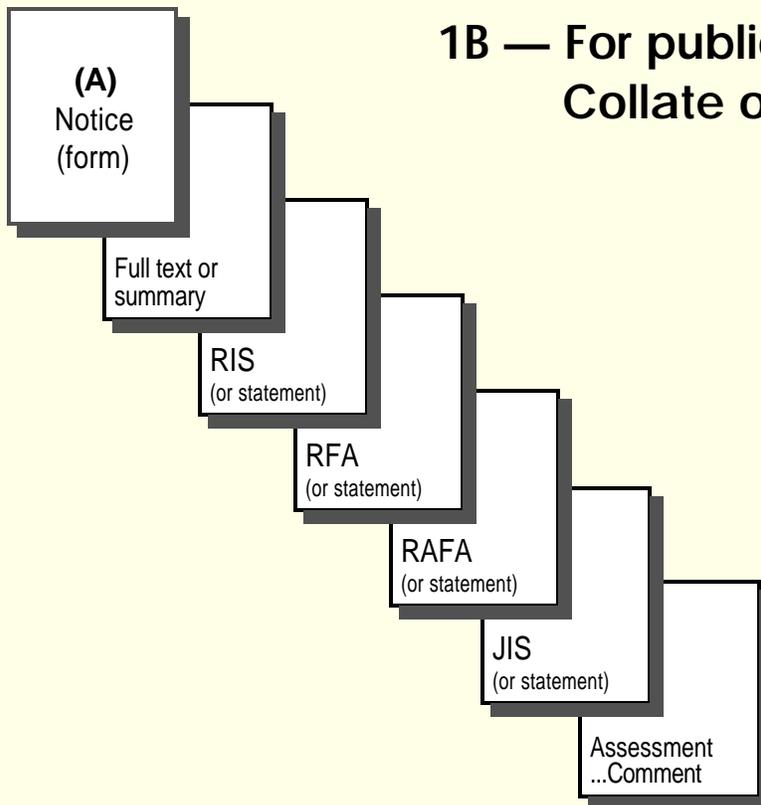
2 — Take one photocopy of the original notice set; leave originals unstapled, staple the copy.



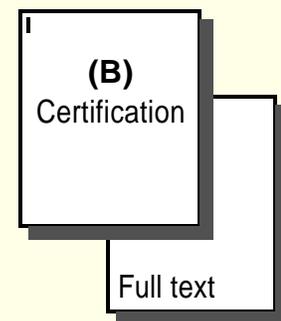
Packaging Adoptions

1A — For publication in the NYS *Register*

Collate original notice material, leave unstapled



1B — For publication in the NYCRR
Collate original certification



2A — Take one photocopy of original *Register* notice set; leave originals unstapled, staple the copy.

2B — Take two photocopies of original NYCRR certification set; staple each set individually.

(The original certification will be stapled to original text, the first copy of the certification will be stapled to a copy of the text and the second copy of the certification will be stapled to a copy of the text)

3 — Submit originals and copies together.

Common Problems

- Too much or inappropriate information is provided for the subject, purpose or statutory authority.
- The wrong box is checked-off regarding the nature of form attachments — i.e., full text vs. summary, or full text vs. a statement of reasons why a particular statement is not attached.
- The wrong proposal ID number is cited in Item 6(b) on the *Notice of Adoption* form.
- Attachments are not prepared in the prescribed format (for scanning or electronic submissions).
- Item 3 on an emergency adoption form is not filled out or is incorrectly completed — i.e., whether the attached emergency is the first, second, third, etc. **re-adoption** of an emergency.
- Form or certification is unsigned or there is no original signature. (Use blue ballpoint pen to differentiate between original and photocopy.)
- Enclosures are not collated correctly.
- Not enough copies enclosed.
- Agency-created forms are incomplete or inaccurate. (All forms created by an agency must be approved in writing by the Division of Administrative Rules prior to use.)