
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 March 29, 2020
- the 45-day period expires on March 14, 2020
- the 30-day period expires on February 28, 2020

**ANDREW M. CUOMO
GOVERNOR**

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SECRETARY OF STATE**

NEW YORK STATE DEPARTMENT OF STATE

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NEW YORK STATE REGISTER

Be a part of the rule making process!

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

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

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

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

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

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Telephone: (518) 474-6957

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

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

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

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

Office of Children and Family Services

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Host Family Homes

I.D. No. CFS-04-20-00009-P

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

Proposed Action: Amendment of section 444.1; addition of sections 444.2, 444.3, 444.4, 444.5, 444.6, 444.7, 444.8, 444.9, 444.10, 444.11, 444.12, 444.13, 444.14 and 444.15 to Title 18 NYCRR.

Statutory authority: Social Services Law, sections 20 and 34

Subject: Host Family Homes.

Purpose: The proposed regulations would establish standards for the approval and administration of host family homes.

Substance of proposed rule (Full text is posted at the following State website: <https://ocfs.ny.gov/main/legal/Regulatory/>): The proposed amendment of 18 NYCRR 444.1 would add definitions of the terms “child,” “host family agency,” “host family care,” “host family home,” “host family services program,” and “OCFS.”

The proposed addition of 18 NYCRR 444.2 would address the conditions for the approval of a host family home agency by the New York State Office of Children and Family Services (OCFS).

The proposed addition of 18 NYCRR 444.3 would address the duties and responsibilities of a host family home agency in relation to the process for the recruitment and approval of host family homes.

The proposed addition of 18 NYCRR 444.4 would address the standards and criteria for the home study of applicants for approval by a host family home agency as a host family home.

The proposed addition of 18 NYCRR 444.5 would establish health and safety standards required for the approval of a host family home.

The proposed addition of 18 NYCRR 444.6 would address the duties and responsibilities of an approved host family home in relation to the care of children placed in such home by the host family home agency.

The proposed addition of 18 NYCRR 444.7 would address the responsibility of the host family home agency to provide specified information on the child and the child’s family to the host family home when a child is placed in the host family home.

The proposed addition of 18 NYCRR 444.8 would address the supervision responsibilities of the host family home agency in regard to children placed by the host family home agency in an approved host family home.

The proposed addition of 18 NYCRR 444.9 would address the content of the host family home agreement the parent(s) of a child must execute with the host family home agency as a condition for placement in a host family home.

The proposed addition of 18 NYCRR 444.10 would address the prohibition against any abuse or maltreatment of a child placed in a host family home and the reporting obligations of staff of the host family home agency where there is reasonable cause to suspect abuse or maltreatment of a child in a host family home.

The proposed addition of 18 NYCRR 444.11 would establish limitations on the forms and conditions for the discipline of children placed in a host family home.

The proposed addition of 18 NYCRR 444.12 would address the privacy rights of children placed in a host family home in relation to mail/email and telephone access and use.

The proposed addition of 18 NYCRR 444.13 would address the process for the nonrenewal or revocation of the approval of a host family home by the host family home agency.

The proposed addition of 18 NYCRR 444.14 would address requirements for the administration of a host family home agency in relation to policies, manuals and clearances of staff.

The proposed addition of 18 NYCRR 444.15 would establish a prohibition against discrimination or harassment of children or their parents by the host family home agency on the basis of race, creed, color, national origin, age, sex, religion, sexual orientation, gender identity or expression, marital status or disability.

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

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

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

Regulatory Impact Statement

1. Statutory authority:

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

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

2. Legislative objectives:

The proposed regulations would establish regulatory standards to address the authority for a voluntary authorized agency to arrange for the free care of a child in a family other than that of the child’s parent, step-parent, grandparent, brother, sister, uncle, aunt or legal guardian and not for adoption, as authorized by section 374 of the SSL.

3. Needs and benefits:

The proposed regulations would establish standards for the approval and administration of host family homes. Host family homes would care for children placed by the parents/guardian of the children with a host

family home agency. Host family home agencies must be non-profit corporations approved by the Office of Children and Family Services (OCFS). The children placed in host family homes would not be freed for adoption and would not be in the legal custody of a local department of social services. The parents/guardian of children placed in host family homes would continue to have financial responsibility for such children.

The host family home and the host family home agency would be subject to the terms and conditions of the regulations established in a new Part 444 of Title 18. The host family home agency would be subject to the approval, inspection and supervision of OCFS.

The proposed regulations would afford parents/guardians the ability to obtain short term residential care for their children without the need to place the child in public foster care. The care would be provided in an approved host family home which must comply with specific health, safety and clearance standards. The proposed regulations also establish standards relating to the rights of children and the parents/guardian of the children placed in host family homes.

4. Costs:

Costs associated with the proposed regulations include criminal background checks, SCR clearances and fair hearings for applicant families that are rejected. The cost for SCR clearances would be the responsibility of the Host Family Agency and would be considered part of their operating costs. In the absence of any dedicated funding source to support Host Family Agencies, these costs would have no impact on the state. The projected number of fair hearings resulting from the proposed regulations would be so few that no additional state cost is anticipated.

5. Local government mandates:

The proposed regulations would not impose any additional mandates on local departments of social services.

6. Paperwork:

The requirements imposed by the proposed regulations would be recorded by the newly created host family agencies.

7. Duplication:

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

8. Alternatives:

No alternative approaches to implementing the changes to regulation were considered.

9. Federal standards:

The proposed regulations would not conflict with current federal standards. There are no comparable federal programs.

10. Compliance schedule:

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

Regulatory Flexibility Analysis

1. Effect on Small Businesses and Local Governments:

The proposed regulations will not affect local departments of social services in New York State because the program established by the proposed regulations may not be administered by a local department of social services, the children served by a host family home agency are not in the legal custody of a local department of social services and local departments of social services have no legal obligation to purchase the services afforded by a host family home program. The proposed regulations could affect the approximately 83 voluntary authorized agencies in New York State.

2. Compliance Requirements:

The proposed regulations would establish standards for the approval and administration of host family homes. Host family homes would care for children placed by the child's parent(s) with a host family home agency which is a non-profit corporation with the authority to place out children and approved by the Office of Children and Family Services (OCFS). The children who are placed are not in public foster care. Financial responsibility for the children remains with the child's parent(s).

The host family home and the host family home agency would be subject to the terms and conditions of the regulations established by a new Part 444 of Title 18. The host family home agency would be subject to the approval, inspection and supervision of OCFS.

The proposed regulations would establish record keeping and reporting requirements imposed on the host family home agency in relation to the administration of a host family home program. The proposed regulations would preclude a host family home from receiving a child for placement unless and until the host family home is approved following a home study and required clearances. The proposed regulations would establish compliance standards on the host family home and the host family home agency in relation to the care of children and the rights of such children and their parents.

3. Professional Services:

These proposed regulations would not create the need for additional professional services.

4. Compliance Costs:

Costs associated with the proposed regulations include criminal background checks, SCR clearances and fair hearings for applicant families that are rejected. The cost for SCR clearances would be the responsibility of the Host Family Agency and would be considered part of their operating costs.

5. Economic and Technological Feasibility:

These proposed regulations would not have an adverse economic impact on local departments of social service, and would not require the hiring of additional staff.

6. Minimizing Adverse Impact:

It is not anticipated that the proposed regulations would result in an adverse impact on local government agencies or small businesses.

7. Small Business and Local Government Participation:

OCFS has been in contact with Safe Families for Children, a national organization that administers programs similar to those to be established by the proposed regulations.

8. For Rules That Either Establish or Modify a Violation or Penalty:

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

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

The proposed regulations will not affect the 44 local departments of social services that are in rural areas because the programs established by the proposed regulation may not be administered by local departments of social services, the children served by such programs may not be in the legal custody of a local department of social services and local departments of social services are under no obligation to purchase the services of programs administered a host family home program. The proposed regulations may affect the 35 voluntary authorized agencies that are in rural areas.

2. Reporting, recordkeeping and other compliance requirements:

The proposed regulations would establish standards for the approval and administration of host family homes. Such homes would care for children placed by parents with a host family home agency for a temporary period of time. A host family home agency would be a nonprofit corporation with the authority to place out children and approved by the Office of Children and Family Services (OCFS). The children who are placed are not public foster children in the legal custody of a local department of services. Financial responsibility for the children would remain with the parents of the children.

The host family home and the host family agency would be subject to the terms and conditions of the regulations established by a new Part 444 of Title 18. The host family agency would be subject to the approval, inspection and regulation of OCFS.

The proposed regulations would establish record keeping and reporting requirements imposed on host family home agencies in relation to the administration of host family home programs.

3. Costs:

Costs associated with the proposed regulations include criminal background checks, SCR clearances and fair hearings for applicant families that are rejected. The cost for SCR clearances would be the responsibility of the Host Family Agency and would be considered part of their operating costs. In the absence of any dedicated funding source to support Host Family Agencies, these costs would have no impact on the state.

The projected number of fair hearings resulting from the proposed regulations would be so few that no additional state cost is anticipated.

4. Minimizing adverse impact:

It is not anticipated that the proposed regulations will result in an adverse impact on local departments of social services or small businesses that are in rural areas.

5. Rural area participation:

OCFS has been in contact with Safe Families for Children, a national organization that administers programs similar to those anticipated by the proposed regulations in several locations in the United States.

Job Impact Statement

The proposed amendments to regulation will not have a negative impact on jobs or employment opportunities in either public or private child welfare agencies. A full job impact statement has not been prepared for the proposed regulations as it is assumed that the proposed regulations will not result in the loss of any jobs.

Department of Civil Service

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-45-19-00008-A

Filing No. 35

Filing Date: 2020-01-14

Effective Date: 2020-01-29

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

Action taken: Amendment of Appendix 3 of Title 4 NYCRR.

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

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify a position in the labor class.

Text or summary was published in the November 6, 2019 issue of the Register, I.D. No. CVS-45-19-00008-P.

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

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

Assessment of Public Comment

The agency received no public comment.

Education Department

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

ESSA Financial Transparency Reporting Requirements

I.D. No. EDU-04-20-00008-EP

Filing No. 32

Filing Date: 2020-01-14

Effective Date: 2020-01-14

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

Proposed Action: Addition of section 170.14 to Title 8 NYCRR.

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

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

Specific reasons underlying the finding of necessity: The proposed addition of section 170.14 of the Regulations of the Commissioner of Education is necessary to implement the Every Student Succeeds Act (ESSA), which requires that every school district and charter school shall submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds".

The proposed addition of section 170.14 of the Regulations of the Commissioner of Education implements the financial transparency reporting provisions of ESSA by requiring that school districts submit school-level expenditure data to the Department commencing on March 1, 2020 (using 2018-19 school year data) and each March 1 thereafter (using the preceding school year's data). The Department has existing state-required charter school reporting data to satisfy the ESSA financial transparency reporting requirements for the 2018-2019 school year and charter schools shall begin reporting for actual expenditures from the 2019-2020 school year on November 1, 2020 (using 2019-20 school year data) and each November 1 thereafter (using the preceding school year's data).

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for permanent adoption, after expiration of the required 60-day comment period provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the May 2020 Regents meeting. Furthermore, pursuant to SAPA § 203(1), the earliest effective date of the proposed rule, if adopted at the May meeting, would be May 20, 2020, the date the Notice of Adoption would be published in the State Register.

Therefore, emergency action is necessary at the January 2020 meeting for the preservation of the general welfare, in order to timely conform the Regulations of the Commissioner of Education to the financial transparency reporting provisions of ESSA, which requires such reporting to commence with the 2018-19 school year data, and to ensure that procedures are in place for schools to timely submit their school-level expenditure data to the Department.

Subject: ESSA Financial Transparency Reporting Requirements.

Purpose: To implement financial transparency reporting requirements of ESSA.

Text of emergency/proposed rule: A new section 170.14 shall be added to the Regulations of the Commissioner, as follows:

§ 170.14 Every Student Succeeds Act (ESSA) Financial Transparency Reporting Requirements.

(a) Commencing on March 1, 2020 (using 2018-2019 school year data), and each March 1 thereafter (using the preceding school year's data), each school district shall be required to submit expenditure data for each school in the district to the Department in a form and manner prescribed by the Commissioner consistent with this section.

(b) For the 2018-2019 school year, charter schools will have fulfilled their ESSA reporting requirements pursuant to their reporting obligations under section 119.3 of this Title. Commencing on November 1, 2020 (using 2019-2020 school year data), and each November 1 thereafter (using the preceding school year's data), each charter school shall be required to submit school-level expenditure data to the Department in a manner and in a form prescribed by the Commissioner consistent with this section.

(c) The data provided in subdivisions (a) and (b) of this section will be used by the Department to develop an ESSA Financial Transparency Report, which shall display expenditures reported pursuant to subdivision (d) of this section on a per-pupil basis, and shall include other data already collected by the Department through other means, for each school district and charter school, to be included in the New York State report card as prescribed in subdivision (m) of section 100.2 of this Chapter.

(d) Such data shall be based, to the greatest extent possible, on actual expenditures as they occurred in each school in the previous school year and shall include, but not be limited to:

(1) total expenditures (except those described in paragraphs (4) and (5) of this subdivision), disaggregated by Federal funds and combined State and local funds;

(2) total expenditures (except those described in paragraphs (4) and (5) of this subdivision), disaggregated by the following categories of expenditures: instruction, administration, and all other expenditures;

(3) total expenditures (except those described in paragraphs (4) and (5) of this subdivision) in specific program areas, including but not limited to special education, English language learner/multi-lingual learner services, pupil services, BOCES services, community schools programs, and prekindergarten programs;

(4) expenditures excluded from the per-pupil calculation, including transportation expenditures; tuition payments made to charter schools and other entities; debt service expenditures; expenditures in the school food service fund, the public library fund, the debt service fund, the capital fund, the permanent fund, miscellaneous special revenue funds; expenditures for services provided to charter schools and nonpublic schools; and payments to community-based organizations for prekindergarten programs;

(5) Provided, however, that all amounts for all interfund transfers to and from each fund, and the private purpose trust fund shall not be included in this reporting.

(e) After the school-level data required in this section has been submitted to the Commissioner, the Department shall generate an ESSA Financial Transparency report for each school, school district, and charter school using the data submitted pursuant to paragraph (b) of this subdivision with other public school and district level data submitted to the Department. The Department shall also include on the report, if requested by the school district or charter school, a link to the school district's or charter school's website to further explain the data available on the ESSA Financial Transparency report.

(f) The 2018-19 school year reports shall be publicly available no earlier than June 1, 2020, and for the 2019-20 school year and each school year thereafter, such reports shall be available no earlier than April 1 of the subsequent school year.

(g) *The expenditure data provided in paragraph (b) of this subdivision must align, where applicable and to the extent possible, with the data school districts provide in their ST-3 annual financial reports required pursuant to General Municipal Law § 30. Charter schools shall submit financial data in accordance with guidance developed by the Commissioner in consultation with the field.*

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 April 12, 2020.

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

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

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

Section 305(1) and (2) of the Education Law 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 3614 of the Education Law requires school districts to annually submit to the commissioner and the director of the budget a detailed statement of the total funding allocation for each school in the district for the upcoming school budget year.

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

2. LEGISLATIVE OBJECTIVES:

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

3. NEEDS AND BENEFITS:

The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The United States Education Department has provided states with significant flexibility to develop these reports in a way that meets the individual needs of the state. As a result, every school district and charter school in New York State will report per pupil expenditures, disaggregated for each school, pursuant to the regulations and guidelines developed by the New York State Education Department (Department).

This requirement under ESSA will provide important opportunities for school districts, parents, taxpayers, the State, and other stakeholders to cultivate a better understanding of school finances and help spur local discussions about transparency, equity, accountability, confirmation of best practices, and opportunities for improvements in financial management and educational programming.

Over the past two years, the Department has undertaken a rigorous approach of outreach to stakeholders to develop a report template and uniform guidance in submitting expenditure data. Preliminary draft guidance was published in May 2019, and many stakeholders reviewed the document and provided additional feedback that has been reflected in this proposed regulation and the Department guidance.

The report will be divided into the following sections, which will provide the required expenditure data, as well as important contextual information, to inform the reader of each school's and school district's financial and student needs:

- District-level context: Provides district enrollment, student needs, and fiscal capacity;

- School-level context: Provides school enrollment, percentage of economically disadvantaged students, students with disabilities, and English language learners/multi-language learners (ELLs/MLLs); student ethnicity; certified teacher-to-student ratio; average years of teacher experience; and percentage of teachers with 0-3, 4-24, and 25 or more years of experience;

- Cost drivers: Provides student need, fiscal capacity, and regional costs;

- Total Per-Pupil Expenditures: School-level expenditures, compared to other schools with similar grades served across the State, county, and school district, where applicable;

- Per-Pupil Expenditures by Instruction/Administration/Other: School-level and district-level expenditures, including costs for classroom teachers, other instructional salaries and benefits, and administrative salaries and benefits;

- Per-Pupil Expenditures by Local/State and Federal funding sources: School-level and district-level expenditures, including details for Title I Part A, Title II Part A, Title III Part A, Title IV Part A, IDEA, and all other federal funds;

- Per-Pupil Expenditures in selected program detail areas: School-level and district-level expenditures, including special education, ELL/MLL services, pupil services, community school programs, BOCES services, and prekindergarten;

- Total Expenditures and Funds Excluded from Per-Pupil Expenditures: Total dollars expended, including items excluded from the per-pupil amounts such as transportation, charter school tuition, other tuition, debt service, and other categories;

- District Average Fringe Benefit Rates; and

- School district and charter school-developed website link: A link for readers of the report to go to the school district or charter school website for a page developed exclusively for providing additional important information related to this reporting.

School districts have begun reporting expenditure data, which will be combined with other contextual information already collected by the Department into a report that will be available on June 1, 2020. In subsequent years, the report publication date will be April 1.

The proposed amendment sets forth the financial reporting requirements that school districts and charter schools will be required to comply with to meet the requirements of the federal Every Student Succeeds Act (ESSA).

Commencing on March 1, 2020 (using 2018-2019 school year data) and each March 1 thereafter (using the preceding school year's data), school districts shall be required to submit certain school-level expenditure data to the Department in a manner and in a form prescribed by the Commissioner. Commencing on November 1, 2020 (using 2019-20 school year data) and each November 1 thereafter (using the preceding school year's data) charter schools shall be required to submit certain school level expenditure data to the Department in a manner and in a form prescribed by the Commissioner¹. Such data will be used by the Department to develop an ESSA Financial Transparency Report for each school district and charter school.

4. COSTS:

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

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

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

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

Commencing on March 1, 2020 (using 2018-2019 school year data) and each March 1 thereafter (using the preceding school year's data), school districts shall be required to submit certain school-level expenditure data to the Department in a manner and in a form prescribed by the Commissioner. Commencing on November 1, 2020 (using 2019-20 school year data) and each November 1 thereafter (using the preceding school year's data) charter schools shall be required to submit certain school level expenditure data to the Department in a manner and in a form prescribed by the Commissioner². Such data will be used by the Department to develop an ESSA Financial Transparency Report for each school district and charter school.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendment is necessary to establish criteria and proce-

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

9. FEDERAL STANDARDS:

The proposed amendment does not exceed any minimum standards of the federal government for the same or similar subject areas and is necessary to conform the Commissioner's Regulations to the financial transparency reporting provisions of ESSA.

10. COMPLIANCE SCHEDULE:

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

¹ Charter schools currently report actual expenditure data pursuant to section 119.3 of the Commissioner's regulations, which satisfies the ESSA financial transparency reporting requirements for the 2018-2019 school year. Charter schools shall begin reporting actual expenditures pursuant to the process outlined in the proposed amendment commencing in the 2019-2020 school year.

² Charter schools currently report actual expenditure data pursuant to section 119.3 of the Commissioner's regulations, which satisfies the ESSA financial transparency reporting requirements for the 2018-2019 school year. Charter schools shall begin reporting actual expenditures pursuant to the process outlined in the proposed amendment commencing in the 2019-2020 school year.

Regulatory Flexibility Analysis

Small businesses:

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

The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The United States Education Department has provided states with significant flexibility to develop these reports in a way that meets the individual needs of the state. As a result, every school district and charter school in New York State will report per pupil expenditures, disaggregated for each school, pursuant to the regulations and guidelines developed by the New York State Education Department (Department).

Commencing on March 1, 2020 (using 2018-2019 school year data) and each March 1 thereafter (using the preceding school year's data), school districts shall be required to submit certain school-level expenditure data to the Department in a manner and in a form prescribed by the Commissioner. Commencing on November 1, 2020 (using 2019-20 school year data) and each November 1 thereafter (using the preceding school year's data) charter schools shall be required to submit certain school level expenditure data to the Department in a manner and in a form prescribed by the Commissioner¹. Such data will be used by the Department to develop an ESSA Financial Transparency Report for each school district and charter school.

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

Local governments:

1. EFFECT OF RULE:

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

2. COMPLIANCE REQUIREMENTS:

See the response to Question #3, Needs and Benefits in the full Regulatory Impact Statement.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

The proposed rule is necessary to conform the Commissioner's Regulations to the financial transparency reporting requirements of ESSA. The State and LEAs, including charter schools, are required to comply with

ESSA as a condition to their receipt of federal funding under Title I of ESSA, as amended. The proposed rule does not impose any costs beyond those imposed by State and federal statutes.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

6. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to establish criteria and procedures relating to implementing the financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." There were no significant alternatives were considered.

7. LOCAL GOVERNMENT PARTICIPATION:

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

¹ Charter schools currently report actual expenditure data pursuant to section 119.3 of the Commissioner's regulations, which satisfies the ESSA financial transparency reporting requirements for the 2018-2019 school year. Charter schools shall begin reporting actual expenditures pursuant to the process outlined in the proposed amendment commencing in the 2019-2020 school year.

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

The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The United States Education Department has provided states with significant flexibility to develop these reports in a way that meets the individual needs of the state. As a result, every school district and charter school in New York State will report per pupil expenditures, disaggregated for each school, pursuant to the regulations and guidelines developed by the New York State Education Department (Department).

Commencing on March 1, 2020 (using 2018-2019 school year data) and each March 1 thereafter (using the preceding school year's data), school districts shall be required to submit certain school-level expenditure data to the Department in a manner and in a form prescribed by the Commissioner. Commencing on November 1, 2020 (using 2019-20 school year data) and each November 1 thereafter (using the preceding school year's data) charter schools shall be required to submit certain school level expenditure data to the Department in a manner and in a form prescribed by the Commissioner¹. Such data will be used by the Department to develop an ESSA Financial Transparency Report for each school district and charter school.

3. COMPLIANCE COSTS:

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

4. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to establish criteria and procedures relating to implementing financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be

required to submit a financial transparency report for inclusion in its report card that provides “the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds.” There were no significant alternatives and none were considered.

5. RURAL AREA PARTICIPATION:

Copies of the proposed amendments have been provided to the Rural Schools Association for review and comment.

¹ Charter schools currently report actual expenditure data pursuant to section 119.3 of the Commissioner’s regulations, which satisfies the ESSA financial transparency reporting requirements for the 2018-2019 school year. Charter schools shall begin reporting actual expenditures pursuant to the process outlined in the proposed amendment commencing in the 2019-2020 school year.

Job Impact Statement

The purpose of the proposed rule is to establish criteria and procedures implementing financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides “the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds.”

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

NOTICE OF ADOPTION

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

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

Filing Date: 2020-01-14

Effective Date: 2020-01-29

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

Action taken: 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.

Text or summary was published in the January 30, 2019 issue of the Register, I.D. No. EDU-05-19-00008-P.

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

Revised rule making(s) were previously published in the State Register on July 31, 2019 and October 23, 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

Initial Review of Rule

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

Assessment of Public Comment

This assessment summarizes the comments received on the revised proposed part 121 of the Regulations of the Commissioner of the Department of Education, published October 23, 2019. Please refer to the full Assessment of Public Comment for the Department’s complete assessment of public comment.

A commenter asked how schools that work with a third-party contractor to produce the class photographs or yearbooks could comply with the requirements of Education Law 2-d related to marketing since the photography and yearbook companies help notify the students/families about yearbooks and class photos and help the schools with the sales process. Another commenter inquired about whether the release of student information to the company that takes school photographs so that samples

may be sent to parents for them to order is a commercial purpose. The commenter asked how families can be contacted so that they can purchase school photographs. No change.

A commenter wrote that the prohibition on the use, disclosure, or sale of personally identifiable information (PII) for a commercial or marketing purpose could be read to apply to the traditional, school-sanctioned sale of school photos and yearbooks. The commenter stated that it had experienced disruption in its ability to provide efficient Picture Day services to schools in New York, due to concerns raised by schools about their ability to provide student roster data to Lifetouch pursuant to Education Law § 2-d. The commenter wrote that § 121.9 (a)(4) suggests that a purpose expressly authorized in a contract with a third party contractor is allowable even if the purpose is “commercial” by nature while § 121.2(a)’s prohibition of use for any “commercial and marketing purpose” calls into question whether the sale of school photographs to parents is permissible even when expressly contemplated and authorized by the contract between the third-party contractor (photographer) and the educational agency. No change.

A commenter asked who should be appointed as Data Protection Officer (DPO), and whether the DPO should be filled a cabinet level employee. The commenter opined that it should not be the Director of Technology or Chief Information Officer as such an appointment could result in conflicts of interest. No change.

A commenter wrote that the regulation should apply to all staff PII and not just to student PII and APPR data, requested that SED provide guidance documents, and stated that funding for the DPO as it “is a huge undertaking and a full-time job.” No change.

A commenter asked NYSED to address vendor compliance on a statewide basis by approving software for instructional use; requested more time to for the roll-out of the regulations; stated that the Data Privacy Officer is an unfunded mandate and requires budgeting considerations within a 2% tax cap; and opined that the regulation seems to be a “hand slap on districts and parent advocates for their support against INBloom Data Dashboard” as “the state has saddled districts with this restrictive policy.” No change.

A comment was made about a copyrighted image the Department was purported to have used in a public presentation. No change.

Commenter wrote that “these regulations will impact teacher innovation in the instructional realm stifling the use of tools and pedagogy meant to create engaging learning environments.” No change.

A commenter wrote that the regulation is unclear with respect to the ability of districts to permit their students to choose to participate in College Board’s Student Search Service, and that “District confusion about the scope of the regulation will result in the decrease of four-year college-going rates in New York by up to 8,000 students per year, with a disproportionate impact on underrepresented students, and New York families will be cut off from scholarship and college planning information that they have relied upon since 1972.” The writer also stated that “... the College Board does not meet the definition of “third party contractor” and “is not acting as a third-party contractor providing services to educational agencies when educational agencies pay test fees for their students to participate in nationwide administrations of College Board standardized assessments.” No change.

A commenter wrote to “oppose the radically weakening of the student privacy law, Education Law § 2-d, which would occur if these proposed regulations were adopted. This law, originally enacted by the State Legislature in 2014, banned outright the sale of student data or its use for marketing purposes. In contrast, these proposed regulations would encourage the further commercialization and marketing of personal student data by the College Board, the ACT and many other school vendors, with potentially damaging consequences.” No change.

A commenter, writing as a parent of two middle school-aged children growing up in a digital world, asked SED to “hurry to create a comprehensive and intensive data privacy and security plan. This should cover our students’ and parents’ personal information for all New Yorkers.” No change.

Another commenter asked SED not to “cave in to Google and other large corporate interests that seek to have NY lower their data privacy standards in a centralized fashion” and suggests that “all districts should be able to follow the lead of more data-protective districts like that in Irvington, NY which provide a robust data protection plan for their students and their students’ families, NY should be a leader in preparing a comprehensive and intensive data privacy and security plan that pertains to both student and parent/guardian information statewide.” The commenter also suggested that the EU’s GDPR would be a good starting point for SED as it continues its drafting process. No change.

A commenter stated that “data privacy initiatives, school district technology policies, and protections against ransomware attacks is imperative as schools handle a lot of personal data and may not have strong technology teams, leaving them vulnerable to attacks” and further stated

that "... districts should have robust data protection plans that include monitoring all systems that have access to students' testing and assessment data, information from their Google accounts, and students' and parents'/guardians' personally identifiable information (PII)." No change.

Several higher education institutions commented that the proposed rule would create barriers and limit high school students access to post-secondary education. No change.

A commenter stated that many schools and districts around the country provide "directory information to the test administrator for each student" which is used to create labels that are affixed to student answer sheets. This process eliminates the need for students to enter that information themselves, thereby saving time and avoiding data errors. The commenter stated that on the day students take a college entrance exam such as the SAT, ACT, PSAT, "... the students select whether they wish to opt-in to a college search opportunity, agreeing to allow their high school and college information on their answer sheet, along with their contact information and their exam score range, to be available to colleges, universities and scholarship organizations around the country. With student consent, colleges and not-for-profit scholarship organizations may reach out to students to educate them about the college's offerings, admissions process, scholarships, and financial aid." The commenter stated that if the College Board were deemed a third party contractor, and prohibited from sharing information with colleges and scholarship organizations, students under the age of 18 who take the PSATs and SAT (the vast majority of test takers) would need parental consent to receive information about colleges and scholarship opportunities which could "impact the ability of students, particularly in disenfranchised communities, to connect with colleges and scholarship organizations and receive information needed for college planning." No change.

A commenter requested that "a comprehensive and intensive data privacy and security plan as it pertains to students' and parents'/guardians' information state-wide is put into place and effective as soon as possible" and further commented that "we must protect our data and privacy with vigor." No change.

A commenter stated that SED should "consider a process whereby a determination can be made similar to HIPAA's "low probability of compromise" that would allow for minor events not to be classified as a breach reportable to the CPO. The commenter stated that incidents such as a school teacher accidentally sending home student A's daily communication sheet to student B's parent by mistake or a medical order for speech services faxed to the doctor's office on file for a student that is no longer a patient there occur regularly" to "... reduce the administrative burden (on the school and the office of the CPO) if events such as these did not need to be reported to the parents nor the CPO as well." No change.

A commenter wrote that SED has failed to fully address certain concerns raised during earlier rule making comment periods, specifically, that SED did not amend the definition of third-party contractor "to include not only entities that "receive" student, teacher or principal data, but entities that also "have access to" student, teacher, and parent data, including those that "collect", "process", "disclose", "use", or "monetize" this data" and also did not more directly address the use of biometric surveillance technology within the regulations. The commenter asked SED to impose a moratorium on the use of biometric surveillance technology in New York schools. No change.

A commenter wrote that the definitions of "commercial" and "marketing purpose" in the proposed rule goes beyond that of the underlying statute. The commenter asked whether a technology company could use reports "that a particular feature on its product crashes during classroom use ... to fix the crash and prevent it from happening in the future." The commenter also asked if a company that receives student data from a school and needs to "use" the student data to provide the contracted service would be prohibited from receiving remuneration for providing that service. The commenter proposed that SED revise the definition of "Commercial or Marketing Purpose" to mean "... the sale of education records and the personally identifiable information contained therein; the use of education records and the personally identifiable information contained therein for advertising purposes; or to market products or services to students without prior consent of the parent or eligible student, to the extent that such directed materials are for products and services that support an educational purpose or goal." No change.

A commenter wrote that it remains in "full support of the vast majority of proposed provisions but has concerns about the potential impact of these regulations on students' ability to opt in to receive targeted informational materials regarding college options. It stated that it currently receives information about prospective students who have taken various entrance exams such as the SAT, PSAT, or ACT, thereby allowing it to send out targeted informational material to help students learn about their college options. It stated that students must opt in to this service, and can opt out at any time, so this is a purely voluntary program offered for the student's convenience, and that this program helps it reach traditionally

underrepresented students, allowing for streamlined delivery of targeted and relevant information on programs of interest, financial aid, and potential scholarship opportunities. The commenter further stated that the current draft of the rule is silent as to whether this voluntary information disclosure to colleges will continue to be allowed. The commenter wrote that if disallowed, or if school districts interpret that the practice has been disallowed, this will suppress the number of students who successfully opt in to this service and will limit the commenters ability to continue to send targeted advertising materials to inform students of scholarship and educational opportunities." The commenter requested that SED explicitly clarify that this category of voluntary information disclosure to colleges will be allowed to continue. No change.

A commenter stated that if the regulation's adoption "continues to be moved back, then the compliance dates should also be moved back. Another commenter requested an extension of the public comment period. No change.

NOTICE OF ADOPTION

Instructional Time for State Aid Purposes

I.D. No. EDU-31-19-00009-A

Filing No. 31

Filing Date: 2020-01-14

Effective Date: 2020-01-29

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

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

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

Subject: Instructional Time for State Aid purposes.

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

Text or summary was published in the July 31, 2019 issue of the Register, I.D. No. EDU-31-19-00009-EP.

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

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

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

COMMENT: Commenter continues to object to the Department's determination that passing time and homeroom may not count toward the annual instructional time hourly requirement.

RESPONSE: The comment is outside the scope of the proposed amendment and therefore, no response is necessary.

COMMENT: The commenter states that the waiver process contained in the emergency regulations is overly burdensome and requires school districts to notify the Department that they failed to comply with the instructional requirements in 2018-2019. The commenter requests a more streamlined process where school districts would attest that the district will be unable to fully comply with the new instructional time regulations due to safety or scheduling issues and the district promises to be in full compliance with the regulations by the 2022-2023 school year and that districts will meet the 180 day statutory requirement and that instructional hours during the waiver period will not be fewer than that provided in the 2017-2018 school year. A district that completes this attestation would receive an automatic waiver until 2022-23.

RESPONSE: The Department has considered the comment and believes that the current waiver process is streamlined and consistent with the regulatory requirements. Therefore, no change is warranted.

NOTICE OF ADOPTION

Building Condition Surveys and Visual and Periodic Inspections of Public School Buildings

I.D. No. EDU-39-19-00012-A

Filing No. 29

Filing Date: 2020-01-14

Effective Date: 2020-01-29

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

Action taken: Amendment of sections 155.1, 155.2, 155.3, 155.4 and 155.8 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 215, 305, 308, 309, 403-a, 403-b, 408, 409, 409-d, 409-e, 409-f(1), (2), 409-h, 1940(4)(t), 2215(17), 2503, 2554, 2801-a, 3602, 3641, 3713(1), (2), 4402, 4403; Energy Law, section 9-103(8); Environmental Conservation Law, sections 8-0113(8), 8-0117(5); 26 USC 54E, 54F, 142(a), (k), 1397E; Executive Law, section 102(2), art. 2-B, L. 1994, ch. 64; L. 1997, ch. 436; L. 2002, ch. 231; L. 2016, ch. 54; and L. 2019, ch. 59, part YYY

Subject: Building Condition Surveys and Visual and Periodic Inspections of Public School Buildings.

Purpose: To align the Commissioner's Regulations with amendments made to Education Law sections 409-9d, 409-e and 3641.

Text or summary was published in the September 25, 2019 issue of the Register, I.D. No. EDU-39-19-00012-P.

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

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

Initial Review of Rule

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

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Addition of Subject Areas to the Limited Extension and SOCE for Certain Teachers of Students with Disabilities

I.D. No. EDU-43-19-00011-A

Filing No. 30

Filing Date: 2020-01-14

Effective Date: 2020-01-29

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

Action taken: Amendment of sections 80-3.15 and 80-4.3 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 210, 215, 3001, 3004 and 3009

Subject: Addition of Subject Areas to the Limited Extension and SOCE for Certain Teachers of Students with Disabilities.

Purpose: To enable more qualified teachers of students with disabilities to seek the limited extension and SOCE.

Text or summary was published in the October 23, 2019 issue of the Register, I.D. No. EDU-43-19-00011-P.

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

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

Initial Review of Rule

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

Assessment of Public Comment

Since publication of the Notice of Proposed Rule Making in the State Register on October 23, 2019, the State Education Department (SED) received the following comment on the proposed amendments. Below is an assessment of the public comment received.

1. COMMENT: Two commenters are fully in support of adding General Science and Languages Other Than English to the subject areas for the statement of continued eligibility (SOCE) and limited extension. They point out that the Students with Disabilities (SWD) content extension exists for biology, chemistry, earth science, and physics, and the requirements for it are 18 credits in the content area and the Content Specialty Test (CST). Therefore, a special education teacher holding the SWD content extension in one of the sciences would be eligible to teach a self-contained Regents-level high school science special class with 18 credits in the content area. However, 48 credits are required to teach a middle school science special class; they would need 30 credits of biology,

chemistry, earth science, and physics in the base science certificate and then another 18 credits in two sciences other than the base science certificate for the General Science extension. Commenters state that this is disproportionate and not reasonable. There is already a shortage of special education science teachers, and this would only exacerbate the problem.

Commenters suggest creating a SWD subject area extension for general science where the valid base certificate would be either the Permanent Special Education certificate or the Initial/Professional SWD Grades 5-9/7-12 Generalist/Content Specialist certificates. The content requirements could be 18 credits in either two or three areas of science and perhaps even a passing score on any one of the four available science CSTs.

DEPARTMENT RESPONSE: The commenters are supportive of the proposed regulatory amendment to add general science and languages other than English to the list of subject areas for the limited extension and SOCE. They suggest adding general science to the list of subject areas for the subject area extension for special education teachers in grades 5-9 and 7-12, allowing these teachers to teach general science by completing 18 semester hours of specified science college coursework instead of 48 semester hours of specified science college coursework as required for the General Science extension. Although the suggestion is beyond the scope of the proposal, the Department will take it under consideration. No change is necessary.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Residency Program Requirement for Dental Licensure

I.D. No. EDU-04-20-00005-P

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

Proposed Action: Amendment of section 61.18 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6506, 6507, 6601, 6604 and 6605-a

Subject: Residency Program Requirement for Dental Licensure.

Purpose: Adds dental anesthesiology to the list of accredited residency programs in a specialty of dentistry.

Text of proposed rule: Subdivision (b) of section 61.18 of the Regulations of the Commissioner of Education is amended, as follows:

(b) Residency program. To be acceptable to the department for purposes of licensure under section 6604 of the Education Law, a residency program shall meet the requirements of this section.

(1) The residency program shall be a postdoctoral clinical dental residency program in either general dentistry, or a specialty of dentistry as defined in paragraph (2) of this subdivision, of at least one year's duration in a hospital or dental facility accredited for teaching purposes by an acceptable national accrediting body, which is completed successfully by the applicant prior to the submission to the department of the application for licensure.

(2) The accredited residency program in a specialty of dentistry shall be in the specialty of endodontics, oral and maxillofacial surgery, orthodontics and dentofacial orthopedics, pediatric dentistry, periodontics, prosthodontics, oral and maxillofacial pathology, oral and maxillofacial radiology, *dental anesthesiology* or another specialty of dentistry, as determined by the department, for which at least 50 percent of the accredited residency program consists of clinical training in one or more of the following areas: general dentistry, endodontics, oral and maxillofacial surgery, orthodontics and dentofacial orthopedics, pediatric dentistry, periodontics, prosthodontics, oral and maxillofacial pathology, oral and maxillofacial radiology, *and/or dental anesthesiology*.

(3) . . .

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

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

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

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

Section 6506 of the Education Law authorizes the Board of Regents to supervise the admission to and the practice of the professions.

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

Section 6601 of the Education Law defines the practice of the profession of dentistry.

Section 6604 of the Education Law establishes the requirements for licensure as a dentist and authorizes standards for experience requirements for such licensure to be included in regulations promulgated by the Commissioner of Education.

Section 6605-a of the Education Law establishes the requirements for obtaining dental anesthesia certificates.

2. LEGISLATIVE OBJECTIVES:

Subdivision (3) of section 6604 of the Education Law provides the Department with the authority to establish the experience requirements for dental licensure, provided that such experience must consist of satisfactory completion of a clinically-based postdoctoral general practice or specialty dental residency program, of at least one year's duration, in a hospital or dental facility accredited for teaching purposes by a national accrediting body approved by the Department, and provided, further that any such residency program must include a formal outcome assessment evaluation of the resident's competence to practice dentistry acceptable to the Department.

The American Dental Association's (ADA) Council on Dental Accreditation (CODA) was established in 1975 and is nationally recognized as the sole organization to accredit dental and dental-related education programs conducted at the post-secondary level. Dental Anesthesiology residency training programs have been accredited by CODA for more than a decade.

Additionally, the ADA established the National Commission on Recognition of Dental Specialties and Certifying Boards (NCRDSCB) to evaluate the process and criteria by which specialties and specialty certifying boards are recognized. NCRDSCB is an independent branch of the ADA and has its own distinct mission. NCRDSCB is independent in its decision-making process to ensure that bias and conflicts of interest are avoided. NCRDSCB also provides an objective evaluation of dental specialties and their certifying boards based on transparent standards that protect and help the public ascertain the importance of educationally qualified and board certified dental specialists.

On March 11, 2019, NCRDSCB voted to recognize the new specialty of dental anesthesiology, joining nine other ADA-recognized dental specialties, 25 years after the first application for this specialty was submitted to the ADA by the American Society of Dentists Anesthesiologists.

In order to obtain a dental general anesthesia certificate from a dental anesthesia residency program, dentist anesthesiologists must complete a minimum of 800 cases of deep sedation/general anesthesia with a minimum of 300 endotracheal intubations, including 50 nasal intubations and 25 other advanced airway techniques. Additionally, since dentist anesthesiologist specialists frequently manage small children and patients with special needs, who often require extensive dental procedures, dentist anesthesiologists are required to provide anesthesia for at least 125 children aged 7 years or younger and for at least 75 patients with special needs.

Currently, section paragraph (2) of subdivision (b) of section 61.18 of the Regulations of the Commissioner of Education states that the accredited dental residency programs in a specialty of dentistry shall be in the specialty of endodontics, oral and maxillofacial surgery, orthodontics and dentofacial orthopedics, pediatric dentistry, periodontics, prosthodontics, oral and maxillofacial pathology, oral and maxillofacial radiology or another specialty of dentistry, as determined by the Department, for which at least 50 percent of the CODA accredited residency program consists of clinical training in one or more of the aforementioned dental specialties.

As of January 1, 2019, dental anesthesiology is now a three-year, instead of a two-year, specialty training program. Presently, unless a dentist is already licensed prior to entering a dental anesthesiology training program, after completion of their three-year specialty program, residents must go back and complete a one-year general practice residency in order to be licensed to practice in this State. As a result, most of these residents do not seek licensure in New York State, instead they move out of state to obtain licensure elsewhere. However, it should be noted that four of the seven dental anesthesiology programs in the United States are in New York State. Thus, this State is losing qualified dental licensure applicants, with dental anesthesiology specialty training, because dental anesthesiology is not currently on the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure.

At the same time, the greater demand for the delivery of increasingly complex dental procedures by operating dentists has given rise to a similar

demand for a separate dentist anesthesia specialist to concentrate solely on providing the anesthetic, during such procedures in order to enhance patient safety.

The proposed amendment of paragraph (2) of subdivision (b) of section 61.18 of the Regulations of the Commissioner of Education addresses these issues by adding dental anesthesiology to the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure. The proposed amendment is further intended to improve access to dental anesthesiology services in this State.

3. NEEDS AND BENEFITS:

Currently, unless an individual is already licensed as a dentist prior to entering a dental anesthesiology training program, after completion of his/her three-year specialty program, he/she must go back and complete a one-year general practice residency in order to be licensed to practice in this State. As a result, most of these individuals do not seek licensure in New York State, instead they move out of state to obtain licensure elsewhere. This is occurring despite the fact that four of the seven dental anesthesiology programs in the United States are located in this State. Thus, New York State is continuously losing qualified dental licensure applicants, with dental anesthesiology specialty training, because dental anesthesiology is not currently on the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure.

Additionally, at the same time, there is increasing demand for the delivery of more complexed dental procedures by operating dentists, which has, in turn, given rise to a similar increase in demand for a separate dentist anesthesia specialist to concentrate solely on providing the anesthetic, during such procedures, in order to enhance patient safety.

The proposed amendment of paragraph (2) of subdivision (b) of section 61.18 of the Regulations of the Commissioner of Education is designed to address these issues by adding dental anesthesiology to the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure. The proposed amendment is further intended to improve access to both dental and dental anesthesiology services in New York State, while ensuring public protection.

4. COSTS:

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

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

(c) Cost to private regulated parties: The proposed amendment does not impose any additional costs on either higher education institutions or any of the dental anesthesiology specialty training programs referenced above or the students/residents enrolled in them.

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

There are no new forms, reporting requirements, or other recordkeeping associated with the proposed amendment.

7. DUPLICATION:

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

8. ALTERNATIVES:

The proposed amendment of paragraph (2) of subdivision (b) of section 61.18 of the Regulations of the Commissioner of Education adds dental anesthesiology to the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure in order to remove a potential barrier to licensure for otherwise well qualified dental licensure candidates, who have completed accredited dental anesthesiology residency programs, which will increase the number of licensed dentists in this State and improve the public's access to both dental and dental anesthesiology services, while ensuring public protection.

There are no significant alternatives to the proposed amendment and none were considered.

9. FEDERAL STANDARDS:

No Federal standards apply to the subject matter of this rule making. The Federal government does not regulate the experience requirements for applicants for licensure as a dentist in New York State. Since there are no applicable federal standards, the proposed amendment does not exceed any minimum federal standards for the same or similar subject areas.

10. COMPLIANCE SCHEDULE:

If adopted at the May 2020 Regents meeting, the proposed amendment will become effective on May 20, 2020. It is anticipated that regulated parties will be able to comply with the proposed amendment by the effective date.

Regulatory Flexibility Analysis

The purpose of the proposed amendment of the proposed amendment of paragraph (2) of subdivision (b) of section 61.18 of the Regulations of the Commissioner of Education adds dental anesthesiology to the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure in order to remove a potential barrier to licensure for otherwise well qualified dental licensure candidates, who have completed accredited dental anesthesiology residency programs. It is anticipated that the proposed amendment will increase the number of licensed dentists in this State and improve the public's access to dental anesthesiology services, while ensuring public protection.

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

Rural Area Flexibility Analysis

The purpose of the proposed amendment of the proposed amendment of paragraph (2) of subdivision (b) of section 61.18 of the Regulations of the Commissioner of Education adds dental anesthesiology to the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure in order to remove a potential barrier to licensure for otherwise well qualified dental licensure candidates, who have completed accredited dental anesthesiology residency programs. It is anticipated that the proposed amendment will increase the number of licensed dentists in this State and improve the public's access to dental anesthesiology services, while ensuring public protection.

The proposed amendment to the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure to include dental anesthesiology is applicable to individuals seeking dental licensure in New York State. One of the purposes of the proposed amendment is to increase access to both dental and dental anesthesiology services in New York State, including rural areas of this State. Thus, the proposed amendment does not adversely impact entities in rural areas of New York State. Accordingly, no further steps were needed to ascertain the impact of the proposed amendment on entities in rural areas and none were taken. Thus, a rural flexibility analysis is not required and one has not been prepared.

Job Impact Statement

It is not anticipated that the proposed amendment will impact jobs or employment opportunities. This is because the proposed amendment of paragraph (2) of subdivision (b) of section 61.18 of the Regulations of the Commissioner of Education adds dental anesthesiology to the list of accredited residency programs in a specialty of dentistry that can be used to meet the residency program requirement for dental licensure in order to remove a potential barrier to licensure for otherwise well qualified dental licensure candidates, who have completed accredited dental anesthesiology residency programs, which will increase the number of licensed dentists in this State and improve the public's access to dental anesthesiology services, while ensuring public protection.

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

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Financial Transparency and Data Reporting Requirements for Charter Schools

I.D. No. EDU-04-20-00006-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 119.3 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 206, 207, 305 and 2857

Subject: Financial Transparency and Data Reporting Requirements for Charter Schools.

Purpose: To establish criteria and procedures relating to charter financial transparency reporting to ensure compliance with ESSA.

Text of proposed rule: Section 119.3 of the Regulations of the Commissioner of Education is amended to read as follows:

Section 119.3. Charter school reporting requirements

No later than the first day of August of each year, each charter school shall submit to the Board of Regents and to the charter entity an annual report for the preceding school year, which shall include a charter school report card comprising the data set forth in subdivisions (a)-(c)] (d) of this section.

(a) *Basic school information, forms and records.* Each charter school shall report to the commissioner, in a time and format prescribed by the commissioner, basic school information data, including but not limited to the data required of other public schools, required by Federal law or regulation, and any other data elements prescribed by the commissioner.

(b) [Basic educational] *Student and staff data.* Each charter school shall report to the commissioner the following data at a time and in a format prescribed by the commissioner:

(1) student enrollment by grade, gender, and race/ethnicity, and other subgroup populations as defined by the Department;

(2) ...

(3) professional qualifications of each teacher [and], classes taught by each teacher, and any other staff data elements required for state and federal reporting purposes, data required by section 80-1.9 of this Chapter, and other such data as prescribed by the commissioner;

(4) [the number of]data concerning students with limited English proficiency;

(5) ...

(6) data on technological and media resources; [and]

(7) student attendance and suspension data; and

(8) any additional information prescribed by the commissioner comparable to the data required of the public schools or required by Federal or State law or regulation.

[(b)] (c) Report of academic performance. Each charter school shall report to the commissioner the following data, in a format prescribed by the commissioner:

(1)...

(i) ...

(ii) [Identification of race/ethnicity. Each student record submitted for the 2002-03 and 2003-04 school years must indicate to which of the following racial/ethnic groups the student belongs: American Indian or Alaskan Native, Black (not Hispanic origin), Asian or Pacific Islander, Hispanic or White (not Hispanic origin). Beginning with the 2004-05 school year, each student record must contain information in the format required by the commissioner and indicating whether the student is Hispanic and indicating to which of the following racial groups the student belongs: White, Black or African American, Asian, American Indian or Alaskan Native, Native Hawaiian or other Pacific Islander.

(iii)] Before submitting each file, the principal of the charter school shall certify that the [file] data submitted is complete and accurate and that the principal has had an opportunity to review the summary report for the charter school, based on the file and generated using Department-approved software.

[(iv)] (iii) The charter school files on record in the Department on the dates specified by the commissioner shall be used for all public reporting, including that pursuant to this section and for determining school/district accountability pursuant to section 100.2(p) of this Title.

[(v)](iv) The student files shall contain any additional information the commissioner may deem necessary and must be reported in a manner set forth by the department.

(2) ...

(3) ...

(4) student attendance and suspension data;

(5) ...

(6) any additional information prescribed by the commissioner comparable to data required of the public schools or required by Federal or State law or regulation.

[(c)] (d) Report of fiscal performance. [Each] For school years prior to the 2019-2020 school year, each charter school shall report the following data, in a format prescribed by the commissioner:

(1) Revenues.

(i) Revenues from State sources, which shall mean any State-funded grants or other apportionments paid directly to the charter school by the State of New York.

(ii) Revenues from Federal sources, which shall mean any federally funded grants or other apportionments paid directly to the charter school by the Federal government or by the State of New York.

(iii) Basic operating revenues received from public school districts, which shall mean payments received by the charter school from public school districts based on the product of the adjusted expense per pupil and the current year resident enrollment in the charter school for all public school districts with resident pupils attending the charter school as such

product is defined in section 119.1(d)(3)(i) of this Part, or based on any such reduced amounts payable to the charter school by a public school district pursuant to an agreement between the charter school and the charter entity as set forth in the charter.

(iv) Revenues received from public school districts as State aid attributable to pupils with disabilities, which shall mean any payments received from public school districts representing State aid attributable to a student with a disability attending a charter school as defined in section 119.1(b)(8) of this Part.

(v) Revenues received from public school districts as Federal aid attributable to pupils with disabilities, which shall mean any payments received from public school districts representing Federal aid attributable to a student with a disability attending a charter school as defined in section 119.1(b)(8) of this Part.

(vi) Other revenues from other public school districts, which shall mean any payments received from public school districts other than those revenues defined in subparagraph (iii), (iv) or (v) of this paragraph.

(vii) All other revenues, which shall mean any revenues received by the charter school other than those revenues defined in subparagraph (i), (ii), (iii), (iv), (v) or (vi) of this paragraph.

(2) Expenditures.

(i) Salaries, which shall mean the sum of the compensation paid to employees of the charter school for services performed in relation to those activities defined in paragraph (3) of this subdivision exclusive of the amounts paid for employee benefits. Salaries shall be reported by specific activity.

(ii) Employee benefits, which shall mean the charter school employer's share of any retirement, social security, workers' compensation, life insurance, unemployment insurance, disability insurance, hospital insurance, medical insurance, dental insurance, union welfare benefits or other benefits provided to the employees of the charter school as a condition of employment.

(iii) Other expense for specific activities, which shall mean any expenditures of the charter school related to those activities defined in paragraph (3) of this subdivision exclusive of salaries, employee benefits, debt service, operation and maintenance, capital expenditures, or expenditures for school lunch. Such other expense shall be reported by specific activity.

(iv) Debt service, which shall mean any expenditures for principal and interest on long term and short term obligations issued by the charter school.

(v) School lunch, which shall mean any expenditures associated with providing breakfast, milk or lunch to pupils attending the charter school.

(vi) Capital expense, which shall mean any capital outlay expenditures related to construction projects associated with the charter school.

(3) Salaries and other expense for specific activities shall be reported by the following activity classifications:

(i) General administration, which shall mean the administration and management of the charter school including, but not restricted to activities of the offices of the chief school officer, the treasurer, the finance or business officer, the purchasing unit, the employee personnel officer, the records management officer, or a public information and services officer. General administration also includes those administrative and management services provided by other organizations or corporations on behalf of the charter school for which the charter school pays a fee or other compensation. Direct administration of the instructional programs and services of the charter school and direct supervision of the instructional staff should not be included as general administration.

(ii) Instructional supervision, which shall mean the direct administration and management of the instructional programs and services of the charter school and the direct supervision of instructional staff, including, but not restricted to such functions as the office of a building principal, curriculum development, curriculum supervision, instructional research, planning and evaluation, and in-service training of the instructional staff of the charter school.

(iii) All other instruction, which shall mean those activities and functions related to the instructional programs and services of the charter school that are not related to instructional supervision, including, but not restricted to teaching of regular pupils, school library and audiovisual services, educational television, and computer assisted instruction.

(iv) Pupil services, which shall mean all pupil personnel services provided by the charter school, including, but not restricted to the functions of an attendance office, a guidance office, pupil health services, pupil psychological services, social work services, co-curricular activities, and interscholastic athletics.

(v) Services for pupils with disabilities, which shall mean those special education programs and services provided by the charter school to pupils with disabilities as specified in an individualized education program recommended by a committee on special education and approved by the board of education.

(vi) Pupil transportation services, which shall mean transportation services provided by the charter school to pupils attending the charter school, including, but not restricted to transportation to and from the charter school and the child's residence, transportation on field trips, and transportation to extracurricular activities or interscholastic events.

(vii) Community services, which shall mean community recreation programs, youth programs and other civic services provided by the charter school.

(viii) Operation and maintenance, which shall mean the repair, operating and maintenance services and programs required to maintain safe, secure and healthy facilities and learning environments for the charter school staff and students.

(4) Measures of per pupil expenditures.

(i) Enrollment, which shall mean enrollment for the preceding school year as defined in section 119.1(b)(3) of this Part.

(ii) Total expenditures, which shall mean the sum of all expenditures reported for the school year for general administration, instructional supervision, all other instruction, pupil services, services for pupils with disabilities, pupil transportation services, community services, operation and maintenance, employee benefits, debt service, school lunch, and capital expense.

(iii) Expenditures per pupil, which shall mean the quotient of total expenditures divided by enrollment, rounded to the next highest whole dollar.

(e) Report of fiscal performance. For the 2019-2020 school year and thereafter, each charter school shall submit school-level expenditure data to the Department pursuant to section 170.14 of this Chapter commencing on November 1, 2020 (using 2019-2020 school year data) and each November 1 thereafter (using the preceding school year's data) in accordance with the provisions of section 170.14 of this Chapter, or as otherwise prescribed by the commissioner.

[(d)] (f) To satisfy the local report card requirements under section 1111(h)(2) of the No Child Left Behind Act, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. section 6311(h)(2), each charter school receiving Federal funding under title I must meet the requirements set forth in section 100.2(m)(4) of this Title.

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

Data, views or arguments may be submitted to: David M. Frank, NYS Education Department, Charter School Office, 89 Washington Avenue, 5N Mezzanine, Albany, NY 12234, (518) 471-1762, email: regcomments@nysed.gov

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

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

Section 206 of the Education Law provides that the regents, any committee thereof, the commissioner, the deputy and any associate and assistant commissioner and the counsel of the department may take testimony or hear proofs relating to their official duties, or in any matter which they may lawfully investigate.

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

Section 305(1) and (2) of the Education Law 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 2857(2) of the Education Law provides that each charter school must submit to the Board of Regents and to the charter entity an annual report, one component of which is a charter school report card. The statute specifies that the charter school report card include measures of the school's comparative academic and fiscal performance, as prescribed in regulations of the Commissioner of Education.

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

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is consistent with the above statutory authority and is necessary to establish criteria and procedures to ensure State and local educational agency compliance with the financial transparency

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

3. NEEDS AND BENEFITS:

The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides “the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds.” The United States Education Department has provided states with significant flexibility to develop these reports in a way that meets the individual needs of the state. As a result, every school district and charter school in New York State will report per pupil expenditures, disaggregated for each school, pursuant to the regulations and guidelines developed by the New York State Education Department (Department).

This requirement under ESSA will provide important opportunities for school districts, parents, taxpayers, the State, and other stakeholders to cultivate a better understanding of school finances and help spur local discussions about transparency, equity, accountability, confirmation of best practices, and opportunities for improvements in financial management and educational programming.

Over the past two years, the Department has undertaken a rigorous approach of outreach to stakeholders—including independent and network charter schools, charter support and advocacy organizations, charter school authorizers, and auditing and back-office financial support organizations working with charter schools—to develop a report template. The Department will continue to work with charter school stakeholders such as those listed above to develop charter-specific uniform guidance for submitting expenditure data.

The fiscal transparency report for charter schools will closely mirror the report for school districts, with changes made to ensure that the charter context is considered. Similar to the report for school districts, the report for charter schools will be divided into multiple sections that will provide the required expenditure data as well as important contextual information that will inform the reader of the charter school’s financial and student needs. Additional details on the report will be provided in the Regents Item regarding regulatory changes to ESSA Fiscal Transparency reporting for school districts, also presented at the January 2020 Board of Regents meeting.

Charter schools will submit school-level expenditure data to the Department, pursuant to Commissioner’s Regulation Section 170.14, through the ESSA Fiscal Transparency Portal commencing on November 1, 2020 (using 2019-2020 school year data) and each November 1 thereafter (using the preceding school year’s data). Similar to the approach being taken with school districts, the charter school expenditure data will be combined with other contextual information already collected by the Department into a report that will be available in 2021 and thereafter.

Education Law Section 2857(2) requires that a public charter school submit to the charter entity and to the Board of Regents an annual report by the first day of August of each year for the preceding school year. The annual report must be made publicly available by the school, must be posted on the school’s website, must include certain components, and must be in the form prescribed by the Commissioner. In 2000, the Board of Regents promulgated data reporting regulations to address the requirements set forth in Section 2857(2). In 2003, the Board of Regents voted to amend the regulations to provide additional clarification, and to update the reporting requirements to conform with the provisions of the No Child Left Behind (NCLB) Act of 2001 relating to school/district accountability and data and reporting requirements. No additional updates have been made since the 2003 amendments.

Due to changes in the reporting requirements and templates issued by NYSED without a corresponding amendment to the regulations, including new federal data reporting requirements prescribed by ESSA, charter schools have expressed confusion regarding the requirements and expectations of the Department. Some schools also fail to report certain data that is not specified in the current regulations. These reporting inconsistencies may have accountability, fiscal and other implications for the schools involved.

4. COSTS:

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

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

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

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

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any program, service, duty,

or responsibility on local governments beyond those imposed by State and federal statutes.

6. PAPERWORK:

The proposed amendment requires charter schools to submit school-level expenditure data to the Department, pursuant to Commissioner’s Regulation Section 170.14, through the ESSA Fiscal Transparency Portal commencing on November 1, 2020 (using 2019-2020 school year data) and each November 1 thereafter (using the preceding school year’s data). Similar to the approach being taken with school districts, the charter school expenditure data will be combined with other contextual information already collected by the Department into a report that will be available in 2021 and thereafter.

7. DUPLICATION:

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

8. ALTERNATIVES:

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

9. FEDERAL STANDARDS:

The proposed amendment does not exceed any minimum standards of the federal government for the same or similar subject areas and is necessary to conform the Commissioner’s Regulations to the financial transparency reporting provisions of ESSA.

10. COMPLIANCE SCHEDULE:

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

Regulatory Flexibility Analysis

Small businesses:

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

The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides “the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds.” The United States Education Department has provided states with significant flexibility to develop these reports in a way that meets the individual needs of the state. As a result, every school district and charter school in New York State will report per pupil expenditures, disaggregated for each school, pursuant to the regulations and guidelines developed by the New York State Education Department (Department).

Charter schools will submit school-level expenditure data to the Department, pursuant to Commissioner’s Regulation Section 170.14, through the ESSA Fiscal Transparency Portal commencing on November 1, 2020 (using 2019-2020 school year data) and each November 1 thereafter (using the preceding school year’s data). Similar to the approach being taken with school districts, the charter school expenditure data will be combined with other contextual information already collected by the Department into a report that will be available in 2021 and thereafter.

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

Local governments:

1. EFFECT OF RULE:

The proposed amendment applies to each charter schools in the State.

2. COMPLIANCE REQUIREMENTS:

See the response to Question #3, Needs and Benefits in the full Regulatory Impact Statement.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

The proposed rule is necessary to conform the Commissioner’s Regulations to the financial transparency reporting requirements of ESSA. The State and LEAs, including charter schools, are required to comply with ESSA as a condition to their receipt of federal funding under Title I of

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

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

6. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to establish criteria and procedures relating to implementing charter school financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." There were no significant alternatives were considered.

7. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed amendment were solicited from charter schools.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

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

The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." The United States Education Department has provided states with significant flexibility to develop these reports in a way that meets the individual needs of the state. As a result, every school district and charter school in New York State will report per pupil expenditures, disaggregated for each school, pursuant to the regulations and guidelines developed by the New York State Education Department (Department).

Charter schools will submit school-level expenditure data to the Department, pursuant to Commissioner's Regulation Section 170.14, through the ESSA Fiscal Transparency Portal commencing on November 1, 2020 (using 2019-2020 school year data) and each November 1 thereafter (using the preceding school year's data). Similar to the approach being taken with school districts, the charter school expenditure data will be combined with other contextual information already collected by the Department into a report that will be available in 2021 and thereafter.

3. COMPLIANCE COSTS:

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

4. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to establish criteria and procedures relating to implementing charter school financial transparency reporting provisions of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds." There were no significant alternatives and none were considered.

5. RURAL AREA PARTICIPATION:

Copies of the proposed amendments have been provided to the Charter School Association whose membership include charter schools located in rural areas within the State.

Job Impact Statement

The purpose of the proposed rule is to establish criteria and procedures implementing charter school financial transparency reporting provisions

of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802). The Every Student Succeeds Act (ESSA) requires that every school district and charter school will be required to submit a financial transparency report for inclusion in its report card that provides "the per-pupil expenditures of Federal, State, and local funds, including actual personnel expenditures and actual non-personnel expenditures of Federal, State, and local funds, disaggregated by source of funds."

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

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Time Extension of Initial, Transitional and Provisional Certificates

I.D. No. EDU-04-20-00007-P

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

Proposed Action: Amendment of section 80-1.6 of Title 8 NYCRR.

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

Subject: Time Extension of Initial, Transitional and Provisional Certificates.

Purpose: To provide educators with a Time Extension after the issuance of their first Initial or Provisional certificate.

Text of proposed rule: Clause (b) of section 80-1.6 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(b) For holders of a provisional certificate *or* provisional renewal in the pupil personnel service, *or* for holders of an initial certificate, initial reissuance or transitional certificate in the classroom teaching service or school leadership applying for their first time extension on or after March 1, 2017, the time validity of the expired certificate may be extended *once per applicable transitional certificate and once after the issuance of the first provisional or initial certificate, per certificate title (educators would not be able to earn a time extension on both the initial certificate and initial reissuance or the provisional certificate and provisional renewal, per certificate title)*, for a period not to exceed three years from the expiration date of such certificate, except as provided in subdivision (c) of this section, upon application by the holder of the certificate:

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

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

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

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law 207 (not subdivided) 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 3001 establishes the qualifications of teachers in the classroom.

Education Law section 3003 establishes the qualifications of superintendents.

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

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

2. LEGISLATIVE OBJECTIVES:

Consistent with the above statutory authority, the purpose of the proposed amendments to Section 80-1.6 of the Regulations of the Commissioner of Education allows educators who hold an Initial certificate,

Initial Reissuance, Provisional certificate, or Provisional Renewal to receive one Time Extension after the issuance of their first Initial or Provisional certificate. The Time Extension would add three years to the expiration date of either the Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal. Educators would not be able to earn a Time Extension on both the Initial certificate and Initial Reissuance or the Provisional certificate and Provisional Renewal per certificate title.

3. NEEDS AND BENEFITS:

Permanent certificate during the five-year validity period of their Initial or Provisional certificate, respectively, have the option to apply for an Initial Reissuance, Provisional Renewal, or Time Extension. They may receive only one five-year Initial Reissuance or Provisional Renewal.

To earn the Initial Reissuance, teachers and school building leaders must:

- have less than three years of experience;
- pass the Content Specialty Test in the subject area of the certificate sought or School Building Leader assessment, as appropriate, within one year before or after the Initial Reissuance application date; and
- have completed 50 hours of acceptable Continuing Teacher and Leader Education (CTLE) and/or professional learning within one year before or after the application date.

The Provisional Renewal is available to pupil personnel service professionals (e.g., school counselors) who have completed all requirements for the Permanent certificate with the exception of the experience requirement and/or academic requirements, depending on the certificate title.

Educators can also receive a one-time Time Extension, which adds three years to the expiration date of Initial and Provisional certificates and to the expiration date of certain Transitional certificates.

In some cases, educators are only eligible for the Time Extension because they cannot meet the requirements for the Initial Reissuance/Provisional Renewal (e.g., Initial certificate holders who have more than three years of experience). In other cases, educators can meet the requirements for the Time Extension and Initial Reissuance/Provisional Renewal simultaneously and must choose the one for which they will apply first.

Educators who are eligible for both the Time Extension and Initial Reissuance/Provisional Renewal can add the maximum amount of time to the validity period of their certificate by first applying for the Time Extension. By applying for the Time Extension first, they can, if needed, apply for the Initial Reissuance/Provisional Renewal at a later date as follows: (1) Initial/Provisional certificate (five years), (2) Time Extension (three years), and then (3) Initial Reissuance/Provisional Renewal (five years).

However, if these educators apply first for the Initial Reissuance/Provisional Renewal, the Time Extension cannot add time to the expiration date of the Initial Reissuance/Provisional Renewal. The Time Extension can only add time to the expiration date of the Initial/Provisional certificate pursuant to Section 80-1.6 of the Commissioner's Regulations. Therefore, if educators earn the Initial/Provisional certificate (5 years) and then the Initial Reissuance/Provisional Renewal (5 years), the Time Extension is not an option for extending the validity period of their certificate.

The Department is proposing to allow educators who hold an Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal to receive one Time Extension after the issuance of their first Initial or Provisional certificate. The Time Extension would add three years to the expiration date of either the Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal. Educators would not be able to earn a Time Extension on both the Initial certificate and Initial Reissuance or the Provisional certificate and Provisional Renewal per certificate title.

This revision would enable educators who hold the Initial Reissuance/Provisional Renewal, but have not received a Time Extension, to earn a Time Extension that would add three years to the expiration date of the Initial Reissuance/Provisional Renewal. Educators who are eligible for both the Time Extension and Initial Reissuance/Provisional Renewal simultaneously would be able to apply for either one first, without foregoing the option of the other one, while completing the requirements for the Professional/ Permanent certificate, respectively. These educators would have more flexibility because the order of the extensions would no longer matter.

Educators who hold a Transitional certificate that is not identified as "nonrenewable" in Part 80 of the Commissioner's Regulations will continue to have the option of one three-year Time Extension per certificate title.

4. COSTS:

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

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

(c) Cost to private regulated parties: There are no additional costs to private regulated parties.

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

5. LOCAL GOVERNMENT MANDATES:

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

6. PAPERWORK:

There are no new forms, reporting requirements, or other recordkeeping associated with the proposed amendment.

7. DUPLICATION:

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

8. ALTERNATIVES:

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

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

A Notice of Proposed Rule Making will be published in the State Register on January 29, 2020. Following the 60-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendment will be presented to the Board of Regents for adoption at its May 2020 meeting. If adopted at the May 2020 meeting, the proposed amendment will become effective on May 20, 2020.

Regulatory Flexibility Analysis

The purpose of the proposed amendment to Section 80-1.6 of the Regulations of the Commissioner of Education is to allow educators who hold an Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal to receive one Time Extension after the issuance of their first Initial or Provisional certificate. The Time Extension would add three years to the expiration date of either the Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal. Educators would not be able to earn a Time Extension on both the Initial certificate and Initial Reissuance or the Provisional certificate and Provisional Renewal per certificate title.

This revision would enable educators who hold the Initial Reissuance/Provisional Renewal, but have not received a Time Extension, to earn a Time Extension that would add three years to the expiration date of the Initial Reissuance/Provisional Renewal. Educators who are eligible for both the Time Extension and Initial Reissuance/Provisional Renewal simultaneously would be able to apply for either one first, without foregoing the option of the other one, while completing the requirements for the Professional/ Permanent certificate, respectively. These educators would have more flexibility because the order of the extensions would no longer matter.

Educators who hold a Transitional certificate that is not identified as "nonrenewable" in Part 80 of the Commissioner's Regulations will continue to have the option of one three-year Time Extension per certificate title.

The amendments do 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 amendments that they will not affect small businesses or local governments, no further steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed amendments apply to all educators who hold an Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal 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 is to allow educators who hold an Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal to receive one Time Extension after the issuance of their first Initial or Provisional certificate. The Time Extension would add three years to the expiration date of either the Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal. Educators would not be able to earn a Time Extension on both the Initial certificate and Initial Reissuance or the Provisional certificate and Provisional Renewal per certificate title.

This revision would enable educators who hold the Initial Reissuance/Provisional Renewal, but have not received a Time Extension, to earn a Time Extension that would add three years to the expiration date of the Initial Reissuance/Provisional Renewal. Educators who are eligible for both the Time Extension and Initial Reissuance/Provisional Renewal simultaneously would be able to apply for either one first, without foregoing

ing the option of the other one, while completing the requirements for the Professional/ Permanent certificate, respectively. These educators would have more flexibility because the order of the extensions would no longer matter.

Educators who hold a Transitional certificate that is not identified as "nonrenewable" in Part 80 of the Commissioner's Regulations will continue to have the option of one three-year Time Extension per certificate title.

3. COSTS:

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

4. MINIMIZING ADVERSE IMPACT:

The Department believes that uniform standards for teacher 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:

Comments on the proposed amendment were solicited from the New York State United Teachers whose membership include educators who live or work in rural areas.

Job Impact Statement

The purpose of the proposed amendment to § 80-1.6 of the Regulations of the Commissioner of Education is to allow educators who hold an Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal to receive one Time Extension after the issuance of their first Initial or Provisional certificate. The Time Extension would add three years to the expiration date of either the Initial certificate, Initial Reissuance, Provisional certificate, or Provisional Renewal. Educators would not be able to earn a Time Extension on both the Initial certificate and Initial Reissuance or the Provisional certificate and Provisional Renewal per certificate title.

This revision would enable educators who hold the Initial Reissuance/ Provisional Renewal, but have not received a Time Extension, to earn a Time Extension that would add three years to the expiration date of the Initial Reissuance/Provisional Renewal. Educators who are eligible for both the Time Extension and Initial Reissuance/Provisional Renewal simultaneously would be able to apply for either one first, without foregoing the option of the other one, while completing the requirements for the Professional/ Permanent certificate, respectively. These educators would have more flexibility because the order of the extensions would no longer matter.

Educators who hold a Transitional certificate that is not identified as "nonrenewable" in Part 80 of the Commissioner's Regulations will continue to have the option of one three-year Time Extension per certificate title.

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.

REVISED RULE MAKING NO HEARING(S) SCHEDULED

Requirements for Licensure as an Architect

I.D. No. EDU-39-19-00009-RP

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

Proposed Action: Amendment of sections 69.1, 69.2 and 69.3 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 6504, 6506, 6507 and 7304

Subject: Requirements for Licensure as an Architect.

Purpose: To more closely align the Commissioner's Regulations with national standards for licensure as an architect.

Text of revised rule: 1. Section 69.1 of the Regulations of the Commissioner of Education is amended, as follows:

69.1 Professional study and experience requirements for architecture.

(a) Definition. Unless otherwise provided, acceptable accrediting agency means an accrediting agency which is recognized by the United States Commissioner of Education as a reliable authority for the purpose of accreditation at the postsecondary level, and which applies its criteria for granting accreditation in a fair, consistent and nondiscriminatory manner.

(b) Licensure requirement. To meet the professional education and experience requirements for licensure as an architect in this State, the applicant shall submit evidence of either:

(1)

(i) graduation from a professional program in architecture registered by the department, accredited by an acceptable accrediting agency, or determined by the department to be the equivalent of a registered or accredited program; and

(ii) receipt of the degree of bachelor of architecture or [master of architecture] *higher*, or the equivalent as determined by the department, from a school offering a program which meets the requirements of subparagraph (i) of this paragraph; and

(iii) ...

(2) ...

(3) *For purposes of this subdivision, all experience earned shall be at least one month in duration and one year of architectural work experience shall mean an aggregate total of twelve calendar months of full-time employment. Full-time shall be defined as at least 35 hours of experience earned per week, excluding overtime. Any portion of the experience requirement may be completed during periods of time that are not concurrent with full-time attendance at an institution of higher education.*

(c) The department may accept a [second professional] *masters' or higher degree in architecture, or a masters' or higher degree in architecturally related studies acceptable to the department, in lieu of not more than one year of work experience.*

2. Section 69.2 of the Regulations of the Commissioner of Education is amended, 2019, as follows:

69.2 Licensing examinations.

(a) ...

(b) ...

(c) [Rescorings and reviews. Multiple choice or other objective divisions of the examination will be rescored upon written request of the candidate. Candidates who have failed the graphic divisions of the examination may review those divisions in accordance with the provisions of section 59.5(g) of this Title.

(d) Admission to examination. To meet the professional education and experience requirements for admission to the licensing examination, an applicant shall submit evidence of completion of either:

(1) [(i) graduation from a professional program in architecture] *the third year of a professional bachelor or master of architecture program, if the only degree received, or the first year of a professional master of architecture or higher program following receipt of an undergraduate degree* registered by the department, accredited by an acceptable accrediting agency as defined in section 69.1 of this Part, or determined by the department to be the equivalent of a registered or accredited program; [and] or

[(ii) receipt of the degree of bachelor of architecture or master of architecture, or the equivalent as determined by the department, from a school offering a program which meets the requirements of subparagraph (i) of this paragraph; or]

(2) completion of experience in architectural work acceptable to the State Board for Architecture or a combination of education and experience totaling [9] 7 years which is determined by the department to be the equivalent of the education and experience credit described in section 69.1(b)(1) of this Part.

3. Section 69.3 of the Regulations of the Commissioner of Education is amended, as follows:

69.3 Endorsement.

[For endorsement of a license to practice architecture issued by another jurisdiction, the applicant shall present evidence of having met all the requirements of sections 59.6 and 69.1 of this Title; except an architect licensed in another state or jurisdiction as the result of successful completion of only the professional examination in use before 1983 may be granted licensure upon presentation of evidence of at least five years of work experience, provided that such experience occurs following licensure in such state or jurisdiction and occurs within the seven years immediately preceding licensure by endorsement in this State and such experience is of a grade and character satisfactory to the State Board for Architecture, or upon completion of those parts of the written examination not previously passed.]

(a) *Endorsement of licenses of other states. A license to practice architecture issued by another state or jurisdiction of the United States may be endorsed for practice in New York State if the applicant submits the following to the department:*

(1) *evidence satisfactory to the State Board for Architecture of at least five years of professional experience acceptable to such board, provided that such experience occurs following licensure in such jurisdiction and within the seven years immediately preceding application for licensure by endorsement in New York State; and*

(2) *evidence of meeting the examination requirements prescribed in section 69.2 of this Part; and*

(3) *evidence acceptable to the department of good standing as a licensee in each jurisdiction in which the applicant is licensed to practice architecture; and*

(4) an attestation of good moral character.

(b) *Endorsement of licenses of Canadian provinces.* A license to practice architecture issued by a Canadian province may be endorsed for practice in New York State if the applicant submits the following to the Department:

(1) evidence satisfactory to the State Board for Architecture of at least five years of professional experience acceptable to such board, provided that such experience occurs following licensure in such jurisdiction and within the seven years immediately preceding application for licensure by endorsement in New York State; and

(2) evidence of meeting the examination requirements prescribed in section 69.2 of this Part or, if the candidate does not meet the examination requirements prescribed in section 69.2 of this part, passing a practical examination satisfactory to the State Board for Architecture; and

(3) evidence acceptable to the department of good standing as a licensee in each jurisdiction in which the applicant is licensed to practice architecture; and

(4) an attestation of good moral character.

(c) *Special endorsement provisions.* An applicant with a license to practice architecture in another state or jurisdiction of the United States as the result of successful completion of the professional examination in use before 1983 may be granted licensure upon presentation of evidence of at least five years of work experience, provided that such experience occurs following licensure in such state or jurisdiction and occurs within the seven years immediately preceding licensure by endorsement in this State and such experience is of a grade and character satisfactory to the State Board for Architecture, or upon completion of those parts of the written examination not previously passed. Such an applicant shall also submit the following to the Department:

(1) evidence acceptable to the Department of good standing as a licensee in each jurisdiction in which the applicant is licensed to practice architecture; and

(2) an attestation of good moral character.

Revised rule compared with proposed rule: Substantial revisions were made in sections 69.1(b)(3) and 69.2(c)(1).

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

Data, views or arguments may be submitted to: Robert Lopez, NYS Education Department, 89 Washington Avenue, 2M, Albany, NY 12234, (518) 473-8486, email: REGCOMMENTS@nysed.gov

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

Revised Regulatory Impact Statement

Since the publication of a Notice of Proposed Rule Making in the State Register on September 25, 2019, two revisions were made in order to clarify the text of the proposed regulation as follows:

In section 69.1(b)(3), the words "all experience earned shall be at least one month in duration" were moved from the end of the paragraph to the beginning of the paragraph. This revision makes it clear that for any experience to be acceptable for licensure purposes, it must be at least one month in duration.

In section 69.2(c)(1), the wording for the requirements for admission to examination was revised to read: "the third year of a professional bachelor or master of architecture program, if the only degree received, or the first year of a professional master of architecture or higher program following receipt of an undergraduate degree..." (emphasis added). This non-substantial revision makes it clear that, in addition to permitting students to take the licensure examination after the third year of a bachelor of architecture program, students who, complete a third year of a professional master of architecture program, if the only degree received, or who complete the first year of a professional master of architecture or higher program, following receipt of an undergraduate degree, are likewise permitted to take the licensure examination.

The above revisions do not require any changes to the previously published Regulatory Impact Statement.

Revised Regulatory Flexibility Analysis

Since the publication of a Notice of Proposed Rule Making in the State Register on September 25, 2019, two revisions were made to the proposed regulation as set forth in the Statement Concerning the Regulatory Impact Statement submitted herewith.

These revisions do not require any changes to the previously published Statement in Lieu of Regulatory Flexibility Analysis for Small Businesses and Local Governments.

Revised Rural Area Flexibility Analysis

Since the publication of a Notice of Proposed Rule Making in the State Register on September 25, 2019, two revisions were made to the proposed

regulation as set forth in the Statement Concerning the Regulatory Impact Statement submitted herewith.

These revisions do not require any changes to the previously published Rural Area Flexibility Analysis.

Revised Job Impact Statement

Since the publication of a Notice of Proposed Rule Making in the State Register on September 25, 2019, two revisions were made to the proposed regulation as set forth in the Statement Concerning the Regulatory Impact Statement submitted herewith.

The purpose of the revised proposed amendment is to more closely align the New York State requirements for licensure as an architect with national standards and to streamline the licensure by endorsement process for this profession.

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

Assessment of Public Comment

Since publication of a Notice of Proposed Rule Making in the State Register on September 25, 2019, the State Education Department received the following comment.

1. COMMENT:

A commenter noted concerns regarding the granting of earlier access for candidates to take the Architect Registration Examination® (ARE®) while in college, finding the change to be counterproductive, ineffectual and misleading. The commenter suggested that this change will lead to architects who do not have the full expertise and knowledge of architecture and will lead to the public's view that a licensed architect is not necessarily an expert and proficient in the field. The commenter blames the current ability of a candidate to take the ARE® upon graduation, and while in college, if the proposed amendments are adopted, as a basis for creating a class of licensed architects who are simply good at taking tests, but know little to nothing about architecture.

DEPARTMENT RESPONSE:

Passage of the ARE® is but one of several requirements that an applicant must satisfy to become a licensed architect in New York State. If the proposed amendment is adopted, the education and experience requirements for licensure remain unchanged. Therefore, the Department has determined that no changes to the proposed rule are necessary at this time.

Department of Environmental Conservation

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Regulations Governing Commercial Fishing of Quota Managed Species

I.D. No. ENV-04-20-00004-EP

Filing No. 28

Filing Date: 2020-01-14

Effective Date: 2020-01-14

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

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

Statutory authority: Environmental Conservation Law, sections 11-0303, 13-0105, 13-0339, 13-0340, 13-0340-b, 13-0340-e and 13-0340-f

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

Specific reasons underlying the finding of necessity: This rule making is necessary for the general welfare and public safety, and it would allow New York to adopt a Cooperative Multi-state Possession and Landing Program ("Program") which would allow eligible commercial fishermen to: (1) possess weekly limits for quota-managed species for multiple cooperating states (NY, CT, and RI) onboard the vessel simultaneously while fishing, transiting or landing, and (2) in one trip land their weekly limits with the cooperating states. Currently, a vessel can only possess a

single state's limit, regardless of where they are authorized to land. In order to land fish in another state, the vessel would have to then travel back out to sea, repeat fishing operations, and steam back to shore. Under the proposed rule, vessels would remain restricted to landing a state's limit at the appropriate port but could then land additional fish onboard in the ports of other states where they are permitted without having to make separate fishing trips.

The normal rule making process would not promulgate these regulations by January 1, 2020, the start of the Winter Period for the fluke fishery, and would result in New York's commercial fishermen losing the opportunity to participate in the Program. Failure to adopt these amendments as an emergency would place New York's commercial fishermen at a disadvantage compared to fishermen in Connecticut and Rhode Island who will be able to possess multiple trip limits onboard their vessel at the same time.

Environmental Conservation Law § 13-0105(1)(b)(6) requires DEC to "minimize waste and reduce discard mortality of marine fishery resources." This Program would meet help satisfy this legislative directive and thus contribute to the general welfare of New York commercial fishermen by: (1) reducing discards (i.e. fish that are thrown overboard after being caught because the fishermen's harvest limit has been reached), (2) reducing fuel use, and (3) decreasing the risk associated with commercial fishing by eliminating the need for fishermen to undertake multiple trips to catch multiple state limits.

DEC is adopting this amendment as an emergency measure so that it will be in effect by January 1, 2020 for the reasons discussed above and for the benefits it will provide to New York's commercial fishermen.

Subject: Regulations governing commercial fishing of quota managed species.

Purpose: To improve efficiency, reduce waste, and increase safety in marine commercial fisheries.

Text of emergencyproposed rule: 6 NYCRR Part 40 is amended to read as follows:

A new paragraph 40.1(a)(7) is added to read as follows:

(7) "Multi-state possession limit" means the sum of: (i) the commercial trip limit in New York State for a designated quota-based species and (ii) the commercial trip limit for the same species in cooperating states from which the Program participant has privileges to land the designated quota-based species.

A new paragraph 40.1(a)(8) is added to read as follows:

(8) "Cooperating states" means states other than New York that have enacted reciprocal rules enabling commercial fishermen licensed by that state to participate in the Program, and that have provided notice to the department of intent to cooperatively participate in the Program.

A new paragraph 40.1(a)(9) is added to read as follows:

(9) "Program" means the Cooperative Multi-State Possession and Landing Program, which at the discretion of the Department, allows the holder of a commercial food fish license, in accordance with this section, to simultaneously possess trip limits for the designated quota-based species for New York and other cooperating states and land the appropriate trip limit for that species in each of the cooperating states.

A new subdivision 40.1(y) is added to read as follows:

(y) Cooperative Multi-State Possession and Landing Program

(1) Eligibility.

(i) To be eligible to participate in the Program, a person must have:

(a) a valid marine commercial food fishing license issued by the department;

(b) a valid summer flounder commercial permit if the person intends to possess and land summer flounder;

(c) a current privilege to land the designated quota-based species in at least one cooperating state;

(d) no conviction or administrative penalty for violations of state commercial fishing regulations or laws within any cooperating state, or for violations of New York's commercial fishing regulations or laws, within the past three years; and

(e) demonstrated compliance with commercial fishing reporting requirements as provided in NYCRR 40.1(c)(1)(i) of this title.

(ii) To be eligible to land in New York State with a multi-state possession limit on board the vessel, the person shall have on board the vessel official documentation verifying their authorization to participate in the Program(s) of any cooperating state(s) in which the license holder plans to land the remainder of the multi-state possession limit.

(2) Applications.

(i) To be considered for admission into the Program, a person shall complete and submit an application form, issued by the department, to the Department's Division of Marine Resources. The application form may require the following information:

(a) name of applicant;

(b) address;

(c) license and permit numbers for commercial fishing licenses issued by the department, including those specific to summer flounder if necessary, and any cooperating states as applicable;

(d) name, make, model, vessel identification number, and home port of the commercial fishing vessel that will be used for all fishing conducted under the auspices of the Program;

(e) federal permit number;

(f) federal operator's license;

(g) New York port(s) of landing;

(h) port of landing in any cooperating state for which the applicant is privileged to land the quota-based species that is the subject of the Program;

(i) acknowledgement of all Program requirements to meet and maintain eligibility; (j) acknowledgement that failure to comply with any Program requirement shall result in immediate revocation of the privilege to participate in the Program; and

(k) any other information that the Department determines is relevant to the applicant's eligibility to participate in the program.

(ii) The Program is only applicable to the quota-based species and period of time as specified by the department as part of the application form.

(3) Substantive requirements.

(i) If an applicant is deemed eligible to participate in the Program by the department, then the applicant shall be considered a Program participant, as confirmed by a letter from the department. Program participants must reapply annually to participate in the Program.

(ii) Program participants must strictly adhere to all applicable commercial fishing regulations, including the multi-state possession limit, as specified in 6 NYCRR Part 40, Marine Fish, and any applicable directives promulgated pursuant to the department's authority.

(iii) Each Program participant shall be granted a multi-state possession limit for the specified quota-based species at the beginning of the period designated by the Program.

(iv) Program participants will be subject to the following requirements during each fishing trip to maintain Program privileges:

(a) Program participants may only retain their multi-state possession limit when fishing on a permitted vessel associated with that Program participant's authorization;

(b) Program designated species catch intended for landing in New York and any cooperating state(s) must be stored such that the catch intended for each state is physically separated; catch intended for each state must be stored in separate totes and identified with a written sign as to the intended port of landing;

(c) all landings of the Program designated species in New York and any cooperating states must occur between the hours of 0600-2000; and

(d) Program participants intending to land summer flounder in New York must call the department (contact information will be provided in the application materials) at least two hours prior to landing, and provide intended port and facility of landing, estimated time of landing, total weight of summer flounder to be landed in New York, and intended ports of landing and total weight for any summer flounder to be landed in cooperating states.

(v) The department may revoke, in writing, the Program privileges of any Program participant should the department determine that such Program participant:

(a) has been issued an infraction, misdemeanor summons, or notice of violation(s) of any state or federal commercial fishing regulations;

(b) did not report landings as required in NYCRR 40.1(c)(1)(i) of this title;

(c) exceeded the multi-state possession limit that the Program participant has been granted;

(d) violated any provision of Article 13 of the New York Environmental Conservation Law or any Regulation of New York State Agencies promulgated thereunder including but not limited to this title; or

(e) has Program privileges revoked by a cooperating state.

(vi) In the event that a Program participant's privileges are revoked, the permitted vessel associated with that program participant's authorization is no longer eligible to participate in the Program.

(vii) Any Program participant, whose Program privileges have been revoked by the department, may, within 30 days of receipt of the revocation notice, submit a written appeal addressed to Director, Division of Marine Resources, NYS Department of Environmental Conservation, 205 N. Belle Mead Road, Suite 1, E. Setauket, NY 11733. Such appeal shall include a written statement addressing the grounds for revocation, as stated by the department in the revocation notice, and explaining why those grounds are not accurate. Should the Director determine that the revocation of Program privileges was appropriate, the former Program participant may not apply for admittance into the Program for a period of five years from the date of revocation.

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 April 12, 2020.

Text of rule and any required statements and analyses may be obtained from: John Maniscalco, Department of Environmental Conservation, Marine Resources, 205 N. Belle Mead Rd., Suite 1, East Setauket, NY 11733, (631) 444-0437, email: john.maniscalco@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.

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:

Environmental Conservation Law (ECL) §§ 11-0303, 13-0105, 13-0339, 13-0340, 13-0340-b, 13-0340-e, and 13-0340-f authorize the New York State Department of Environmental Conservation (Department) to establish by regulation the open season, size, catch limits, possession and sale restrictions, and manner of taking for bluefish, fluke, scup, black sea bass, and all quota managed species.

2. Legislative objectives:

ECL section 13-0105 states that it shall be the policy of New York to maintain the long-term health and abundance of marine fisheries resources, providing, among other things, viable business opportunities for commercial fishing that minimizes waste and reduces the number of discards.

3. Needs and benefits:

This rule making would establish a Cooperative Multi-State Possession and Landing Program ("Program") which would allow eligible commercial fishermen to: (1) possess weekly limits for quota-managed species for multiple cooperating states (New York, Connecticut, and Rhode Island) onboard the vessel simultaneously while fishing, transiting or landing, and (2) in one trip land their weekly limits with the cooperating states. Currently, a vessel can only possess a single state's limit, regardless of where they are authorized to land. In order to land fish in another state, the vessel would have to then travel back out to sea, repeat fishing operations, and steam back to shore. Under the proposed rule, vessels would remain restricted to landing a state's limit at the appropriate port but could then land additional fish onboard in the ports of other states where they are permitted without having to make separate fishing trips.

Adoption of these amendments on an emergency basis is necessary in order to avoid placing New York's commercial fishermen at a disadvantage compared to commercial fishermen from Connecticut and Rhode Island who have already adopted the necessary regulations to implement the Program. The normal rule making process would not have these amendments adopted before the start of the Winter Period fishing season for fluke on January 1, 2020. Implementing this Program would benefit the general welfare by improving fishing opportunities for eligible commercial fishermen, minimizing safety risks by decreasing time spent at sea, decrease discards (i.e. fish that have already been caught but must be thrown overboard due to a fishermen harvesting more than their daily trip limit), and burn less fuel.

4. Costs:

There are no new costs to state and local governments from this action. The Department will incur limited costs associated with both the implementation and administration of these rules.

5. Local government mandates:

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

6. Paperwork:

None.

7. Duplication:

The amendment does not duplicate any state or federal requirement.

8. Alternatives:

"No action" alternative: failure to adopt the proposed regulations would result in some New York fishermen foregoing an opportunity to fish more efficiently while fishermen from Connecticut and Rhode Island benefit from similar programs implemented in their respective states.

9. Federal standards:

The amendments to Part 40 are in compliance with the Atlantic States Marine Fishery Commission (ASMFC) and Mid-Atlantic Fishery Management Council's (MAFMC) Fishery Management Plans for multiple quota managed species.

10. Compliance schedule:

Compliance with the proposed regulation is required upon the effective date of the rule. Regulated parties will be notified of the changes to the regulations through publication in the State Register, appropriate news releases, and through the Department's website.

Regulatory Flexibility Analysis

1. Effect of rule:

This rule making would establish a Cooperative Multi-State Possession and Landing Program ("Program") which would allow commercial fishermen to: (1) possess weekly limits for quota-managed species for multiple cooperating states (New York, Connecticut, and Rhode Island) onboard the vessel simultaneously while fishing, transiting or landing, and (2) in one trip, land their weekly limits with the cooperating states. Currently, a vessel can only possess a single state's limit, regardless of where they are authorized to land. In order to land fish in another state, the vessel would have to then travel back out to sea, repeat fishing operations, and steam back to shore. Under the proposed rule, vessels would remain restricted to landing a state's limit at the appropriate port but could then land additional fish onboard in the ports of other states where they are permitted without having to make separate fishing trips.

The Department would have the discretion to establish, and discontinue if necessary, a Program, with cooperating states that allows for possession and landing of a multi-state limit for a specific quota managed species during a specified portion of the year.

2. Compliance requirements:

None.

3. Professional services:

None.

4. Compliance costs:

None.

5. Economic and technological feasibility:

The proposed regulations would not require any expenditure on the part of affected businesses to comply with the changes.

6. Minimizing adverse impact:

This rule making would not impose any adverse impacts on the regulated community. This rulemaking would improve opportunities for eligible fishermen, reduce safety risks, decrease discards and burn less fuel.

7. Small business and local government participation:

The quota-based fisheries impacted by this proposed rule are jointly managed by the Atlantic States Marine Fishery Commission (ASMFC) and the Mid-Atlantic Fishery Management Council (MAFMC). Regulations adopted by the Department must be consistent with the compliance requirements of the Fishery Management Plans (FMPs) developed by ASMFC and MAFMC. The general public, including small businesses and local governments, were invited to submit comments during the FMP amendment process and will similarly be able to submit comments during this 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 Department will conduct an initial review of the rule within three years as required by SAPA § 207(1)(b).

Rural Area Flexibility Analysis

The Department of Environmental Conservation 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. Quota-based fisheries occur entirely within the marine and coastal district, and are 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 of 6 NYCRR Part 40, a Rural Area Flexibility Analysis is not required.

Job Impact Statement

1. Nature of impact:

This rule making would establish a Cooperative Multi-State Possession and Landing Program ("Program") which would allow commercial fishermen to: (1) possess weekly limits for quota-managed species for multiple cooperating states (New York, Connecticut, and Rhode Island) onboard the vessel simultaneously while fishing, transiting or landing, and (2) in one trip, land their weekly limits with the cooperating states. Currently, a vessel can only possess a single state's limit, regardless of where they are authorized to land. In order to land fish in another state, the vessel would have to then travel back out to sea, repeat fishing operations, and steam back to shore. Under the proposed rule, eligible vessels would remain restricted to landing a state's limit at the appropriate port but could then

land additional fish onboard in the ports of other states where they are permitted without having to make separate fishing trips.

Implementing this Program would improve fishing opportunities for eligible commercial fishermen, minimize safety risks by decreasing time spent at sea, decrease discards, and burn less fuel.

2. Categories and numbers affected:

In 2018, New York State issued 910 Food Fish Licenses to state residents and 39 licenses to non-residents. Approximately half of the non-resident Food Fish Licenses went to residents of Connecticut and Rhode Island. The number of fishermen eligible to participate in the Program depends upon the species to be harvested, and to a lesser extent, the time of year in which the program is active.

The initial trial multi-state limit program would allow possession of fluke limits for multiple states during the winter fishery (January through April). In order to land fluke, a commercial fisherman must also hold a fluke permit in New York and at least one other cooperating state. This limits the possible number of participants to only those fishermen from New York, Connecticut and Rhode Island that possess multiple state fluke permits and a vessel that can fish during the stormier winter months; approximately 10 New York residents, 5 Connecticut residents, and 7 Rhode Island residents would be eligible to participate in the trial program. The existence of corporate Food Fish Licenses that include a Commercial Fluke Permit suggest that these numbers could see limited change. Future programs could impact other species or other fishing seasons.

3. Regions of adverse impact:

There are no anticipated regions of adverse impact. The proposed amendment would benefit residents of the marine and coastal district by increasing opportunity and efficiency for eligible fishermen while decreasing the amount of discarded fish and fuel used.

4. Minimizing adverse impact:

There are no anticipated adverse impacts. The Department will continue to carefully monitor commercial landings of all quota managed species, especially landings associated with a multi-state limit program, to ensure that overharvest does not occur.

5. Self-employment opportunities:

Commercial harvesters, marinas, seafood dealers and other related businesses are, in many cases, small businesses, owned and often operated by a single owner. The commercial fishing industry is mostly self-employed. This rule will not have a negative effect upon opportunities for businesses related to the commercial harvest of quota managed species such as fluke, scup, bluefish and black sea bass. Failure to adopt this rule making will prevent eligible New York commercial fishermen from taking advantage of the opportunity for increased efficiency and reduced waste that may be available to fishermen in other cooperating states.

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

The Department will conduct an initial review of the rule within three years as required by SAPA § 207(b).

proved blood assay for the detection of latent tuberculosis infection), [prior to employment or affiliation and no less than every year thereafter for negative findings] *and annual assessments thereafter*. Positive findings shall require appropriate clinical follow-up [but no repeat tuberculin skin test or blood assay]. The medical staff shall develop and implement policies regarding positive [outcomes] findings, including procedures for facilitating and documenting treatment for latent TB infection where indicated. Annual TB assessment shall include education, individual risk assessment, and follow-up tests as indicated;

Subparagraph (iv) of paragraph (10) of subdivision (b) of section 405.3 is amended to read as follows:

(iv) for all personnel prior to employment or affiliation, except for personnel with no clinical or patient contact responsibilities who are located in a building or site with no patient care services, *an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test* (either tuberculin skin test or Food and Drug Administration (FDA) approved blood assay for the detection of latent tuberculosis infection), [prior to employment or affiliation and no less than every year thereafter for negative findings] *and annual assessments thereafter*. Positive findings shall require appropriate clinical follow-up [but no repeat tuberculin skin test or blood assay]. The medical staff shall develop and implement policies regarding positive [outcomes] findings, including procedures for facilitating and documenting treatment for latent TB infection where indicated. Annual TB assessment shall include education, individual risk assessment, and follow-up tests as indicated.

Subclause (1) of clause (a) of subparagraph (v) of paragraph (1) of subdivision (c) of section 415.26 is amended to read as follows:

(1) *for all personnel prior to employment or affiliation, except for personnel with no clinical or patient contact responsibilities who are located in a building or site with no patient care services, an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test* (either tuberculin skin test or Food and Drug Administration (FDA) approved blood assay for the detection of latent tuberculosis infection), [prior to employment or affiliation and no less than every year thereafter for negative findings] *and annual assessments thereafter*. Positive findings shall require appropriate clinical follow-up [but no repeat tuberculin skin test or blood assay]. The medical staff shall develop and implement policies regarding positive [outcomes] findings, including procedures for facilitating and documenting treatment for latent TB infection where indicated. Annual TB assessment shall include education, individual risk assessment, and follow-up tests as indicated; and

Paragraph (4) of subdivision (d) of section 751.6 is amended to read as follows:

(4) for all personnel prior to employment or affiliation, except for personnel with no clinical or patient contact responsibilities who are located in a building or site with no patient care services, *an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test* (either tuberculin skin test or Food and Drug Administration (FDA) approved blood assay for the detection of latent tuberculosis infection), [prior to employment or affiliation and no less than every year thereafter for negative findings] *and annual assessments thereafter*. Positive findings shall require appropriate clinical follow-up [but no repeat tuberculin skin test or blood assay]. The medical staff shall develop and implement policies regarding positive [outcomes] findings, including procedures for facilitating and documenting treatment for latent TB infection where indicated. Annual TB assessment shall include education, individual risk assessment, and follow-up tests as indicated; and

Paragraph (4) of subdivision (c) of section 763.13 is amended to read as follows:

(4) *for all personnel prior to employment or affiliation, except for personnel with no clinical or patient contact responsibilities who are located in a building or site with no patient care services, an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test* (either tuberculin skin test or Food and Drug Administration (FDA) approved blood assay for the detection of latent tuberculosis infection), [prior to assuming patient care duties and no less than every year thereafter for negative findings] *and annual assessments thereafter*. Positive findings shall require appropriate clinical follow-up [but no repeat tuberculin skin test or blood assay]. The agency shall develop and implement policies regarding follow-up of positive test results, including procedures for facilitating and documenting treatment for latent TB infection where indicated. Annual TB assessment shall include education, individual risk assessment and follow-up tests as indicated; and

Paragraph (4) of subdivision (d) of section 766.11 is amended to read as follows:

(4) *for all personnel prior to employment or affiliation, except for personnel with no clinical or patient contact responsibilities who are located in a building or site with no patient care services, an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test* (either tuberculin skin test or Food and Drug Administration (FDA) ap-

Department of Health

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Reducing Annual Tuberculosis Testing of Health Care Workers

I.D. No. HLT-04-20-00002-P

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

Proposed Action: Amendment of sections 404.12, 405.3, 415.26, 751.6, 763.13, 766.11, 794.3 and 1001.11 of Title 10 NYCRR.

Statutory authority: Public Health Law, sections 2803, 3612, 4010 and 4662

Subject: Reducing Annual Tuberculosis Testing of Health Care Workers.

Purpose: To replace annual tuberculosis testing of health care workers.

Text of proposed rule: Subparagraph (iv) of paragraph (2) of subdivision (b) of section 404.12 is amended to read as follows:

Section 404.12 Staffing

(iv) for all personnel prior to employment or affiliation, except for personnel with no clinical or patient contact responsibilities who are located in a building or site with no patient care services, *an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test* (either tuberculin skin test or Food and Drug Administration (FDA) ap-

proved blood assay for the detection of latent tuberculosis infection), [prior to assuming patient care duties and no less than every year thereafter for negative findings] *and annual assessments thereafter*. Positive findings shall require appropriate clinical [follow up but no repeat tuberculin skin test or blood assay] *follow-up*. The agency shall develop and implement policies regarding follow-up of positive test results, *including procedures for facilitating and documenting treatment for latent TB infection where indicated*. Annual TB assessment shall include education, individual risk assessment, *and follow-up tests as indicated*; and

Paragraph (4) of subdivision (d) of section 794.3 is amended to read as follows:

(4) *for all personnel prior to employment or affiliation, except for personnel with no clinical or patient contact responsibilities who are located in a building or site with no patient care services, an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test (either tuberculin skin test or Food and Drug Administration (FDA) approved blood assay for the detection of latent tuberculosis infection), [prior to employment or voluntary service, and no less than every year thereafter for negative findings] and annual assessments thereafter*. Positive findings shall require appropriate clinical follow-up [but no repeat tuberculin skin test or blood assay]. The hospice shall develop and implement policies regarding follow-up of positive test results, *including procedures for facilitating and documenting treatment for latent TB infection where indicated*. Annual TB assessment shall include education, individual risk assessment, *and follow-up tests as indicated*;

Paragraph (4) of subdivision (g) of section 1001.11 is amended to read as follows:

(4) *for all personnel prior to employment or affiliation, except for personnel with no clinical or patient contact responsibilities who are located in a building or site with no patient care services, an initial individual tuberculosis (TB) risk assessment, symptom evaluation, and TB test (either tuberculin skin test or [whole] Food and Drug Administration (FDA) approved blood assay for [tuberculosis screening] the detection of latent tuberculosis infection), [prior to assuming patient care duties and no less than every year thereafter for negative findings] and annual assessments thereafter*. Positive findings shall require appropriate clinical [follow up but no repeat skin test] *follow-up*. The residence shall develop and implement policies regarding [follow up] *follow-up* of positive test results, *including procedures for facilitating and documenting treatment for latent TB infection where indicated*. Annual TB assessment shall include education, individual risk assessment, *and follow-up tests as indicated*.

Text of proposed rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of Program Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqa@health.ny.gov

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

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

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

Regulatory Impact Statement

Statutory Authority:

Public Health Law (PHL) §§ 2803, 3612(5), and 4010 authorizes the Public Health and Health Planning Council (PHHPC) to adopt and amend rules and regulations, subject to the approval of the Commissioner, to implement the purposes and provisions of PHL Articles 28, 36 and 40, respectively, including the establishment of uniform standards governing the operation of health care facilities, certified home health agencies (CHHAs) and hospices.

PHL §§ 3612(7) and 4662 authorize the Commissioner to adopt and amend regulations to implement the purposes and provisions of PHL Articles 36 and 46-B, respectively, including the establishment of uniform standards governing the operation of licensed home care services agencies (LHSCAs) and assisted living residences (ALRs).

Legislative Objectives:

The legislative objectives of PHL Articles 28, 36, 40, and 46-B includes the protection of the health of the residents of the State by assuring the efficient provision of health services of the highest quality by a range of providers, including hospitals, hospices, CHHAs, LHSCAs and ALRs.

Needs and Benefits:

Current requirements for annual tuberculosis screening in health care settings were established in the 1990s at the time of large outbreaks and sustained transmission of tuberculosis in New York State (NYS). The requirements were subsequently updated to allow use of U.S. Food and Drug Administration-approved blood tests as an alternative option to tuberculin skin tests, and to exempt certain personnel in non-clinical settings, but the serial testing requirement was not changed. Over the past two decades, with improved infection control, diagnostic testing and treatment of persons with tuberculosis (TB) disease, incidence has decreased.

Evaluation of persons at risk for TB to detect and treat latent infection, including contacts with infectious TB, is also ongoing in all settings including health care facilities.

Recent systematic reviews have documented that U.S. health care personnel have a low rate of TB infection on baseline testing and very low rate of tuberculin skin test conversions. Persons retested after apparent conversion in the absence of documented close contact to infectious tuberculosis were often negative on subsequent tests. The Centers for Disease Control and Prevention (CDC), with the National Tuberculosis Controllers Association and in coordination with occupational health and infection control associations, updated recommendations in 2019 which discourage routine serial testing, and instead focused on evaluating individual risk and encouraging treatment for persons with untreated latent tuberculosis infection.

In NYS, providing universal annual tuberculosis education and individual risk assessment, followed up as needed with appropriate testing, clinical evaluation, and encouragement of optimal treatment, is expected to benefit health care personnel, minimize risk of transmission from health care personnel to others, and refocus occupational health and infection control efforts. Thus, the requirement to be tested “no less than every year” for negative findings is no longer necessary and is being eliminated from these regulations.

Furthermore, in June 2019, CDC issued a Health Advisory providing notification of a nationwide shortage of one of the two purified protein derivative solution products for tuberculin skin testing. The CDC advisory also stated that annual TB testing of health care personnel was not recommended unless there is a known exposure or ongoing transmission. To align regulations with current best medical practices and CDC guidelines, and to prevent unnecessary disruption of health care providers, it is necessary to adopt these proposed regulations.

Costs for the Implementation of and Continuing Compliance with these Regulations to the Regulated Entity:

The proposed amendments will reduce requirements for testing of employees, and as such will result in a reduction in costs for regulated entities.

Cost to State and Local Government:

State agencies and local government units that operate health care facilities will see a reduction in costs associated with serial testing of employees.

Cost to the Department of Health:

The Department of Health will see a reduction in costs associated with serial testing of employees at health care facilities operated by the Department.

Local Government Mandates:

This amendment does not impose any new programs, services, duties or responsibilities on local government.

Paperwork:

These amendments will decrease the record keeping currently required of covered entities since annual testing will no longer be required, only assessments.

Duplication:

These amendments will not conflict with any state or federal rules.

Alternative Approaches:

An alternative would be to maintain current requirements for regular serial testing for TB. This is not advisable or practicable given the current shortage of tuberculin skin testing solutions.

Federal Requirements:

These amendments reflect current guidelines issued by the Centers for Disease Control and Prevention.

Compliance Schedule:

This proposal will go into effect upon publication of a Notice of Adoption in the New York State Register.

Regulatory Flexibility Analysis

Effect of Rule:

These regulations would require small businesses and local governments that operate hospitals, hospices, CHHAs, LHSCAs or ALRs, to revise policies for tuberculosis testing that ensure adequate baseline assessments, and that replace serial testing with annual individual risk assessment and education, with further testing as indicated. Impacted health care providers can consider using serial TB screening of certain groups who might be at increased occupational risk for TB exposure (e.g. pulmonologists or respiratory therapists) or in certain settings if transmission has occurred in the past (e.g. emergency departments). Policies would also require clear procedures for offering and documenting treatment of TB infection. As this proposed rule will reduce the need for TB testing, the overall effect of the rule will be to reduce costs for regulated entities.

Compliance Requirements:

All hospitals, hospices, CHHAs, LHSCAs and ALRs must revise policies for tuberculosis testing to ensure adequate baseline assessments, and replace serial testing with annual individual risk assessment and education, with further testing as indicated and provide documentation to demonstrate compliance as part of ongoing occupational health records.

Professional Services:

There are no additional professional services required as a result of this regulation.

Compliance Costs:

The State will develop overall guidance. Health care providers may have initial implementation costs related to changes in diagnostic test products, assessment procedures, risk assessment forms, and education and databases, but this rule change will result in a permanent reduction of costs once implemented.

Economic and Technological Feasibility:

This proposal is economically and technically feasible, as it does not require any special technology and does not impose an unreasonable financial burden on health care institutions or local health departments.

Minimizing Adverse Impact:

This amendment does not create any adverse effect on regulated parties.

Small Business and Local Government Participation:

Health care provider organizations, individual institutions, local health departments and the public are invited to comment during the Codes and Regulations Committee meeting of the Public Health and Health Planning Council.

Cure Period:

This regulation allows a cure period of 90 days, to allow health care entities and local health departments to modify procedures in order to comply. Full implementation is expected to occur over a one year period as successive groups of persons are screened according to the revised protocols.

Rural Area Flexibility Analysis**Effect of Rule:**

These regulations would require hospitals, hospices, CHHAs, LHCSAs and ALRs in rural areas, to revise policies for tuberculosis testing that ensure adequate baseline assessments, and that replace serial testing with annual individual risk assessment and education, with further testing as indicated. Impacted health care providers in rural areas can consider using serial TB screening of certain groups who might be at increased occupational risk for TB exposure (e.g. pulmonologists or respiratory therapists) or in certain settings if transmission has occurred in the past (e.g. emergency departments). Policies would also require clear procedures for offering and documenting treatment of TB infection. As this proposed rule will reduce the need for TB testing, the overall effect of the rule will be to reduce costs for regulated entities in rural areas.

Compliance Requirements:

All hospitals, hospices, CHHAs, LHCSAs and ALRs must revise policies for tuberculosis testing to ensure adequate baseline assessments, and replace serial testing with annual individual risk assessment and education, with further testing as indicated and provide documentation to demonstrate compliance as part of ongoing occupational health records.

Professional Services:

There are no additional professional services required as a result of this regulation.

Compliance Costs:

The State will develop overall guidance. Health care providers may have initial implementation costs related to changes in diagnostic test products, assessment procedures, risk assessment forms, and education and databases, but this rule change will result in a permanent reduction of costs once implemented.

Economic and Technological Feasibility:

This proposal is economically and technically feasible, as it does not require any special technology and does not impose an unreasonable financial burden.

Minimizing Adverse Impact:

The Department will work with institutions, occupational health groups and local health departments to provide guidance, respond to questions and share best practices.

Public and Local Government Participation:

Health care organizations and facilities, health care personnel, local health departments and the public are invited to comment during the Codes and Regulations Committee meeting of the Public Health and Health Planning Council.

Job Impact Statement

No Job Impact Statement is required pursuant to section 201-a(2)(a) of the State Administrative Procedure Act (SAPA). It is apparent, from the nature of the proposed amendment, that it will have no impact on jobs and employment opportunities.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Applied Behavior Analysis

I.D. No. HLT-04-20-00003-P

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

Proposed Action: Addition of section 505.39 to Title 18 NYCRR.

Statutory authority: Social Services Law, section 365-a

Subject: Applied Behavior Analysis.

Purpose: To include Applied Behavior Analysis in the Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) benefit.

Text of proposed rule: Pursuant to the authority vested in the Commissioner of Health by Section 365-a of the Social Services Law (SSL), Section 505.39 of Title 18 (Social Services) of the Official Compilation of Codes, Rules and Regulations of the State of New York is added, to be effective upon publication of a Notice of Adoption in the New York State Register, to read as follows:

Section 505.39 Applied Behavior Analysis**(a) Definitions.**

(1) *Applied Behavior Analysis* or "ABA," as defined in section eighty-eight hundred one of NYS education law, means the design, implementation, and evaluation of environmental modifications, using behavioral stimuli and consequences, to produce socially significant improvement in human behavior, including the use of direct observation, measurement, and functional analysis of the relationship between environment and behavior.

(2) *A licensed behavior analyst* is an individual licensed to practice applied behavior analysis under article one hundred sixty-seven of the education law.

(3) *A certified behavior analyst assistant* is an individual certified under article one hundred sixty-seven of NYS education law who provides ABA and works under the supervision of a licensed behavior analyst.

(b) General.

(1) *Medical assistance* shall include applied behavior analysis where such service is provided by a Licensed Behavior Analyst (LBA) or Certified Behavior Analyst Assistant (CBAA) working under the supervision of an LBA, or other individual specified under article one hundred sixty-seven of NYS education law, for the behavior health treatment for persons with autism spectrum disorders and related disorders.

(c) Payment policy.

(1) *Payment for applied behavior analysis (ABA) services* shall be made to ABA providers at rates or fees established by the Department of Health and approved by the Division of the Budget.

Text of proposed rule and any required statements and analyses may be obtained from: Katherine Ceraolo, DOH, Bureau of Program Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqa@health.ny.gov

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

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

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

Regulatory Impact Statement**Statutory Authority:**

Social Services Law (SSL) section 365-a and Public Health Law (PHL) section 201(l)(v) provide that the Department is the single State agency responsible for supervising the administration of the State's medical assistance ("Medicaid") program and for adopting such regulations, which shall be consistent with law, and as may be necessary to implement the State's Medicaid program. SSL section 365-a authorizes Medicaid coverage for specified medical care, services and supplies, together with such medical care, services and supplies as authorized in the regulations of the Department. The statutory authority for Section 505.39 of Title 18 (Social Services) is found in Social Services Law (SSL) 365-a(3)(b).

Legislative Objectives:

The legislative objective of SSL section 365-a(3)(b) is to set forth the requirements for care and treatment of disabilities and conditions discovered and diagnosed by the early and periodic screening required by SSL section 365-a(3)(a), which include Autism Spectrum Disorder (ASD) and related disorders.

Needs and Benefits:

The amendment is implementing a 2019-2020 budget initiative. The amendment will add medical assistance for Applied Behavior Analysis (ABA) for Medicaid members (fee for service and managed care) with a

diagnosis of Autism Spectrum Disorder (ASD) and related disorders, and define the practitioners authorized to provide ABA services. These services and practitioners are currently covered by Child Health Plus and all major commercial payors. The amendment will allow Medicaid to cover ABA services which are covered by Child Health Plus and all major commercial payors and align the Medicaid program with the Department of Financial Services and their coverage policy on ABA. This will allow a continuity of care across all payors. The amendment also aligns the Medicaid program with CMS guidance that authorizes Medicaid programs to pay for treatment modalities for individuals with ASD. Potential benefits of leveraging ABA include continuity of care and access as children age out of Early Intervention and increased outcomes to those who have ASD.

Costs:

Costs to the state are estimated to be \$13.1 million annually.

Local Government Mandates:

There are no duties or responsibilities imposed by the proposed rule on local governments.

Paperwork:

This rule imposes no new reporting requirements, forms, or other paperwork.

Duplication:

There are no relevant rules or other legal requirements of the federal or state governments that duplicate, overlap, or conflict with this rule.

Alternatives:

A statutory amendment was considered; however, it was determined unnecessary because ABA meets the definition of an Early and Periodic Screening, Diagnostic, and Treatment defined in SSL 365-a(3)(b).

Federal Standards:

There are no federal standards associated with this rule.

Compliance Schedule:

The amendment, section 505.39 of Title 18 (Social Services), will become effective upon publication of a Notice of Adoption in the New York State Register.

Regulatory Flexibility Analysis

A regulatory flexibility analysis is not required for this proposal since it will not impose any adverse economic impact or reporting, recordkeeping or other compliance requirements on small businesses or local governments.

Rural Area Flexibility Analysis

A rural flexibility analysis is not required for this proposal since it will not impose any adverse economic impact or reporting, recordkeeping or other compliance requirements on rural areas.

Job Impact Statement

A Job Impact Statement is not included because the proposed regulatory amendments will not have an adverse effect on jobs and employment opportunities.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Nursing Home Case Mix Rationalization

I.D. No. HLT-04-20-00011-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 86-2.40(m) of Title 10 NYCRR.

Statutory authority: Public Health Law, section 2808

Subject: Nursing Home Case Mix Rationalization.

Purpose: To authorize the Department of Health to change the case mix acuity process for all nursing homes.

Text of proposed rule: New subparagraphs (i) and (ii) are added to paragraph (6) of subdivision (m) of section 86-2.40 and paragraphs (7), (8), (9), and (10) of subdivision (m) of section 86-2.40 are amended to read as follows:

(6) Subsequent case mix adjustments to the direct component of the price for rate periods effective after January 1, 2012 shall be made in July and January of each calendar year and shall use Medicaid-only case mix data applicable to the previous case mix period.

(i) For the case mix period beginning July 1, 2019, the case mix adjustment to the direct component of the price for the July 1, 2019 rate period shall use all Medicaid-only case mix data submitted to CMS applicable to the August 2018 – March 2019 period.

(ii) For the case mix periods beginning on and after January 1, 2020, the case mix adjustment to the direct component of the price shall be made in January and July of each calendar year and shall use all

Medicaid-only case mix data submitted to CMS applicable to the previous six-month period (e.g., April – September for the January case mix adjustment; October – March for the July case mix adjustment).

(7) Case mix adjustments to the direct component of the price for facilities for which facility specific case mix data is unavailable or insufficient shall be equal to the [base year] previous case mix of the peer group applicable to such facility.

(8) The adjustments and related patient classifications for each facility shall be subject to audit review by the Office of the Medicaid Inspector General[,], and/or other agents as authorized by the Department.

(9) [The operator of a proprietary facility, an officer of a voluntary facility, or the public official responsible for the operation of a public facility shall submit to the Department a written certification, in a form as determined by the Department, attesting that all of the “minimum data set” (“MDS”) data reported by the facility for each census roster submitted to the Department is complete and accurate.]

For case mix periods beginning on and after July 1, 2019, the operator of a proprietary facility, an officer of a voluntary facility, or the public official responsible for the operation of a public facility shall submit to the Department a written certification, in a form as determined by the Department, attesting that all of the “minimum data set” (“MDS”) data reported by the facility and submitted to CMS is complete and accurate.

[(10) In the event the MDS data reported by a facility results in a percentage change in the facility’s case mix index of more than five percent, then the impact of the payment of the Medicaid rate adjustment attributable to such a change in the reported case mix may be limited to reflect no more than a five percent change in such reported data, pending a prepayment audit of such reported MDS data, provided, however, that nothing in this paragraph shall prevent or restrict post-payment audits of such data as otherwise provided for in this subdivision.]

Text of proposed rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of Program Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqa@health.ny.gov

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

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

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

Regulatory Impact Statement

Statutory Authority:

Section 2808 of the Public Health Law authorizes the Department to issue regulations relating to rates of reimbursement for nursing homes. The statutory authority for this regulation is contained in subdivision 2-b of section 2808 of the Public Health Law, which authorizes the Department to issue regulations concerning the operating component of rates of Medicaid reimbursement for nursing homes.

Legislative Objectives:

The objective of Public Health Law § 2808 is to enable the Department to set appropriate rates of reimbursement for nursing homes. To this end, the proposed regulations will amend section 86-2.40 of Title 10 (Health) of the Official Compilation of Codes, Rules and Regulation of the State of New York and codify the Department’s revised methodology for establishing nursing home Medicaid rate of payment for patient acuity.

Needs and Benefits:

Current regulations do not specify the amount of data that the Department should use when determining the case mix for nursing homes. The Department has been concerned that past methodologies have not yielded accurate case mix calculations and, for this reason, informed nursing homes that it would begin using larger data sets within the case mix period to determine case mixes, for purposes of calculating rates for periods beginning July 1, 2019. Although not required, these regulations codify the range of data that the Department uses for determining case mix, which was previously determined as a matter of policy.

Additionally, facilities will no longer be required to upload census data separately from the Minimum Date Set (“MDS”) data. The streamlining of the MDS process will reduce administrative burdens on the provider and increase accuracy in Medicaid rates of payment.

Finally, current regulations give the Department discretion to cap changes in a facility’s case mix index at 5%. The Department does not intend to exercise this discretion and, therefore, is repealing this provision.

Costs:

The Department began using larger data sets for determining case mix for the period beginning July 1, 2019. The Department expects that the gross Medicaid impact to nursing homes will be \$246 million through the adjustment to case mix methodology, as reflected in the Medicaid “scorecard” approved by the Legislature as part of the 2019-2020 Budget for New York State. These regulations do not impose any additional costs.

Costs for the Implementation of, and Continuing Compliance with the Regulation to the Regulated Entity:

There will be no additional costs to private regulated parties. The only data requested from providers are standard periodic reports which are already being completed by providers.

Costs to State and Local Governments:

There are no additional costs to the State or local governments as a result of this proposed regulation.

Costs to the Department of Health:

There will be no additional costs to the Department of Health as a result of this proposed regulation.

Local Government Mandates:

There will be no additional mandates as a result of this proposed regulation.

Paperwork:

There will be no additional paperwork as a result of this proposed regulation.

Duplication:

The proposed regulation does not duplicate any existing laws or regulations.

Alternatives:

The option of not issuing these regulations was considered. However, that alternative was rejected, as the Department should use broader samples of data to obtain the most accurate representation of the case mix in nursing homes.

Federal Standards:

The proposed regulation does not exceed any minimum standards of the federal government for the same or similar subject area.

Compliance Schedule:

There is no compliance element to the proposed regulations. The regulations will be effective upon publication of a Notice of Adoption in the New York State Register.

Regulatory Flexibility Analysis

Effect of Rule:

For the purpose of this regulatory flexibility analysis, small businesses were considered to be nursing homes (NH) with 100 or fewer full-time equivalents. Based on recent data collected from nursing homes cost reports statewide, approximately 63 nursing homes were identified as employing fewer than 100 employees. These regulations codify the range of data that the Department uses for determining case mix, which was previously determined as a matter of policy. Additionally, facilities will no longer be required to upload census data separately from the Minimum Data Set ("MDS") data. The streamlining of the MDS process will reduce administrative burdens on the provider and increase accuracy in Medicaid rates of payment. Finally, current regulations give the Department discretion to cap changes in a facility's case mix index at 5%. The Department does not intend to exercise this discretion and, therefore, is repealing this provision.

This rule will have no direct effect on local governments.

Compliance Requirements:

This proposed rule will streamline reporting requirements and reduce administrative burdens for all nursing homes.

The rule will have no direct effect on local governments.

Professional Services:

No additional professional services will be required.

Compliance Costs:

There will be no additional costs to private regulated parties as a result of this rule. The only data requested from providers are standard periodic reports which are already being completed by providers.

Economic and Technological Feasibility:

There are no new economic and technological requirements imposed as a result of this proposed regulation. Use of existing technology will allow small businesses to comply with no additional cost while the streamlined data requirement will reduce costs.

Minimizing Adverse Impact:

This regulation seeks to clarify the data collection process for case mix adjustments in nursing homes rate. All data submitted by nursing homes will be used without requiring a census collection. It will also smooth the rates for facilities allowing for more accurate forecasting. In addition, local districts' share of Medicaid costs is statutorily capped; therefore, there will be no adverse impact to local governments as a result of this proposal.

Small Business and Local Government Participation:

The State filed a Federal Public Notice, published in the State Register, prior to the effective date of the change. The Notice provided a summary of the action to be taken and instructions as to where the public, including small businesses and local governments, could locate copies of the corresponding proposed State Plan Amendment. The Notice further invited the public to review and comment on the related proposed State Plan Amendment. In addition, contact information for the Department of Health was provided for anyone interested in further information.

Rural Area Flexibility Analysis

No rural area flexibility analysis is required pursuant to section 202-bb(4)(a) of the State Administrative Procedure Act. The proposed amend-

ment does not impose an adverse impact on facilities in rural areas. In fact, the proposed rule will streamline reporting requirements and reduce administrative burdens for all nursing homes, including those in rural areas.

Job Impact Statement

No Job Impact Statement is required pursuant to section 201-a(2)(a) of the State Administrative Procedure Act. It is apparent, from the nature of the proposed amendment, that it will not have a substantial adverse impact on jobs and employment opportunities.

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

State Aid for Public Health Services: Counties and Cities

I.D. No. HLT-04-20-00012-P

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

Proposed Action: Amendment of Part 40 of Title 10 NYCRR.

Statutory authority: Public Health Law, section 619

Subject: State Aid for Public Health Services: Counties and Cities.

Purpose: Clarifying State Aid payments for maintaining a cooling tower program.

Text of proposed rule: The heading and subdivision (a) of section 40-2.57 are amended to read as follows:

Section 40-2.57 Environmental and occupational health exposure investigation, assessment and response; performance standards.

(a) responding to reports of exposure to chemical and [non-infectious] non-communicable biological hazards attributable to environmental and occupational settings. Such responses shall include, at a minimum, preliminary evaluation and exposure investigation; appropriate environmental, biological, clinical or epidemiological monitoring; appropriate public health interventions to reduce and/or eliminate exposures; public or professional information and education; and consultation and referral as needed; and

New section 40-2.59 is added to read as follows:

Section 40-2.59 Cooling Towers; performance standards.

The local health department shall maintain a program that ensures cooling towers are operated pursuant to the New York State Public Health Law and Subpart 4-1 of the State Sanitary Code (10 NYCRR Subpart 4-1).

Text of proposed rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of Program Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqa@health.ny.gov

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:

Public Health Law (PHL) § 619 authorizes the Commissioner to adopt regulations to effectuate the provisions and purposes of the State Aid program under PHL Article 6.

Legislative Objectives:

The objective of PHL § 619 is the establishment of standards for the provision of State aid to municipalities to ensure that core public health services are provided in an efficient and effective manner.

Needs and Benefits:

To obtain State Aid, a local health department (LHD) must investigate, assess and respond to exposures to chemical and biological hazards within their jurisdiction. This proposed regulation simply amends existing requirements to reflect current technical terminology and to clarify that the obligations of this section apply to both environmental and occupational settings.

In addition, to obtain State Aid, LHDs must implement a program to ensure that cooling towers are operated in accordance Subpart 4-1 of the State Sanitary Code (SSC). This proposed regulation clarifies and expressly defines this requirement which is currently imposed as part of the environmental health exposure investigation, assessment and response standards under section 40-2.57 of this Title.

Costs:

Costs to the Regulated Parties:

There are no new costs associated with the proposed regulation as the amendments simply clarify existing State Aid requirements applicable to LHDs.

Costs to State and Local Governments:

There will be no additional costs to Local Governments as the proposed regulation simply clarifies existing State Aid requirements applicable to LHDs.

There will be no additional costs to the State as the State has been reimbursing LHD's for Part 4-1 services since the creation and implementation of Part 4 in 2016.

Local Government Mandates:

The proposed amendments do not impose any new mandates, duties or responsibilities on any county, city, town, village, school district, fire district or special district.

Paperwork:

The proposed regulation does not impose any new paperwork requirements.

Duplication:

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

Alternatives:

The proposed amendments to the regulation simply clarify existing State Aid requirements applicable to LHDs. The Department could continue to reimburse the cooling tower performance standard through 10 NYCRR § 40-2.57 Environmental health exposure investigation, assessment and response; performance standard. However, the proposed regulations will ensure clarity regarding performance standards for State Aid reimbursement.

Federal Standards:

Currently there are no applicable federal regulatory requirements.

Compliance Schedule:

The regulation will become effective upon the publication of the Notice of Adoption in the New York State Register.

Regulatory Flexibility Analysis

No regulatory flexibility analysis is required pursuant to section 202-(b)(3)(a) of the State Administrative Procedure Act. The proposed amendment does not impose an adverse economic impact on small businesses or local governments, and it does not impose reporting, record keeping or other compliance requirements on small businesses or local governments.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis for these amendments is not being submitted because the amendments will not impose any adverse impact or significant reporting, record keeping or other compliance requirements on public or private entities in rural areas. There are no professional services, capital, or other compliance costs imposed on public or private entities in rural areas as a result of the proposed amendments.

Job Impact Statement

A Job Impact Statement for these amendments is not being submitted because it is apparent from the nature and purposes of the amendments that they will not have a substantial adverse impact on jobs and/or employment opportunities.

Office of Mental Health

NOTICE OF ADOPTION

Personalized Recovery Oriented Services (PROS)

I.D. No. OMH-43-19-00008-A

Filing No. 27

Filing Date: 2020-01-13

Effective Date: 2020-01-29

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

Action taken: Amendment of Part 512 of Title 14 NYCRR.

Statutory authority: Mental Hygiene Law, sections 7.09(b), 31.04(a) and 43.02(b)

Subject: Personalized Recovery Oriented Services (PROS).

Purpose: To allow PROS participants to receive Clinic Treatment from an article 31 Clinic operated by the same agency.

Text or summary was published in the October 23, 2019 issue of the Register, I.D. No. OMH-43-19-00008-P.

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

Text of rule and any required statements and analyses may be obtained from: Sara Paupini, Office of Mental Health, 44 Holland Avenue, Albany, NY 12229, (518) 474-1331, email: sara.paupini@omh.ny.gov

Revised Job Impact Statement

A Job Impact Statement is not submitted with this notice because the purpose of the amendment is to provide integrated services and increase the participants ability to stay with a current treatment provider. It is evident from the rule making that there will be no adverse impact on jobs and employment opportunities.

Assessment of Public Comment

The agency received no public comment.

Department of Motor Vehicles

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Alcohol and Drug Rehabilitation Programs - Restricted Use License Eligibility Provision

I.D. No. MTV-04-20-00001-P

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

Proposed Action: Amendment of Part 81 of Title 15 NYCRR.

Statutory authority: Vehicle and Traffic Law, sections 215(a) and 1196(7)(a)

Subject: Alcohol and Drug Rehabilitation Programs - Restricted Use License eligibility provision.

Purpose: Conforms regulation with statute.

Text of proposed rule: A new paragraph (14) is added to subdivision (b) of section 81.1 to read as follows:

(14) *National Motor Vehicle Title Information System (NMVTIS). NMVTIS was created by the Federal "Anti Car Theft Act" of 1992 (Public Law 102-519) and the "Anti Car Theft Improvements Act" of 1996 (Public Law 104-152) to prevent auto theft and vehicle fraud by creating a national title information data sharing system. NMVTIS requires all 50 states to provide title and branding information. NMVTIS also requires various businesses engaged in the acquisition, dismantling and destruction of vehicles to report vehicle information.*

A new subdivision (k) is added to section 81.2 to read as follows:

(k) *A vehicle dismantler, upon being notified of approval for registration by the Department of Motor Vehicles (DMV), must register with the National Motor Vehicle Title Information System (NMVTIS) and obtain a NMVTIS "Reporting ID Number" within 30 days of being notified of approval. A unique NMVTIS Reporting ID Number must be obtained for every dismantling facility and be provided to the Division of Vehicle Safety Services in a manner prescribed by the Division during the registration process. Failure to obtain and provide a NMVTIS "Reporting ID Number" as required by this subdivision may, after an opportunity to be heard, result in the suspension or revocation of the registration issued pursuant to section 415-a of the Vehicle and Traffic Law and/or a civil penalty as provided for in section 415-a(6)(b) of such Law.*

A new subdivision (g) is added to section 81.3 to read as follows:

(g) *Application Requirements. A scrap processor, upon being notified of approval for certification by the Division of Vehicle Safety Services must register with the National Motor Vehicle Title Information System (NMVTIS) and obtain a NMVTIS "Reporting ID Number" within 30 days of being notified of approval. A unique NMVTIS Reporting ID Number must be obtained for every processing facility and be provided to the Division of Vehicle Safety Services in a manner prescribed by the Division during the certification process. Failure to obtain and provide a NMVTIS "Reporting ID Number" as required by this subdivision may, after an opportunity to be heard, result in the suspension or revocation of that certification and/or a civil penalty as provided for in section 415-a(6)(b) of such Law.*

Paragraph (3) of subdivision (a) of section 81.8 is amended to read as follows:

(3) *Scrap processors. A scrap processor who acquires a junk and salvage vehicle shall follow the procedure set forth in this subdivision, except that a scrap processor shall not purchase any material which may have been a vehicle or a major component part of a vehicle, if recognizable as such, from any person other than a dealer registered pursuant to section 415 of the Vehicle and Traffic Law, an insurance company, a governmental agency, a manufacturer of motor vehicles, a person in whose name a certificate of title or other ownership document has been issued for*

such vehicle, a person alleging ownership and utilizing form MV-35, signed and properly completed, for a vehicle at least eight model years old and worth [\$750] \$1,250 or less, or a person registered or certified or issued an identification number pursuant to this Part. This restriction shall not apply to a major component part included in a mixed load, which is a load consisting of more than 50 percent non-vehicular scrap. A scrap processor must take possession of any certificate of title or form MV-35 used as proof of ownership of a vehicle the scrap processor is buying. *All vehicles acquired must be entered on a multiple entry form for salvage vehicles (form MV-907M), to which the proof of ownership for the vehicle must be attached. All vehicles entered onto the form must be reported, under the unique National Motor Vehicle Title Information System (NMVTIS) ID that corresponds with the processing facility, to NMVTIS or any successor, in conformance with their reporting requirements, or within 60 days of acquiring the vehicle whichever is shorter. All forms 907-M and accompanying ownership documents must be retained by the facility for five years and in a manner that allows for retrieval of the documents on demand by an agent of the Commissioner of Motor Vehicles and/or any law enforcement agency during normal business hours.* [The scrap processor must send certificates of title and completed forms MV-35 to the Department of Motor Vehicles within 15 days.]

Paragraph (8) of subdivision (a) of section 81.8 is amended to read as follows:

(8) A vehicle dismantler, within 15 days after acquiring a motor vehicle or trailer, must determine whether or not the vehicle will be sold to a scrap processor. If the vehicle is to be sold to a scrap processor, a salvage certificate (form MV-907A) is not required. Instead, the vehicle is entered in the Book of Registry and on a Multiple Entry Form for Salvage Vehicles (form MV-907M), to which the proof of ownership for the vehicle must be attached. *All vehicles entered onto the form must be reported, under the unique National Motor Vehicle Title Information System (NMVTIS) ID that corresponds with the dismantling facility, to NMVTIS, or any successor, in conformance with their reporting requirements, or within 60 days of acquiring the vehicle whichever is shorter. All forms 907-M and accompanying ownership documents must be retained by the facility for five years and in a manner that allows for retrieval of the documents on demand by an agent of the Commissioner of Motor Vehicles and/or any law enforcement agency during normal business hours.* [No later than the last day of each month, the form must be mailed to the address shown on the form.]

Subdivision (h) of section 81.14 is amended to read as follows:

(h) Retention period. Except for proofs of ownership required to be submitted to the Department of Motor Vehicles or required to be given to the transferee, all required records must be kept for a period of at least five years from the time the vehicle or major component part has left the possession of any person required to keep records pursuant to this section. However, *and only pertaining to vehicles acquired prior to the effective date of paragraph (14) of subdivision (b) of section 81.1, no records shall be required to be kept for a vehicle or major component part which has left the possession of any person required to keep records if the vehicle or major component part is ten or more model years old.*

Text of proposed rule and any required statements and analyses may be obtained from: Heidi Bazicki, Department of Motor Vehicles, 6 Empire State Plaza, Room 522A, Albany, NY 12228, (518) 474-0871, email: dmv.sm.legal@dmv.ny.gov

Data, views or arguments may be submitted to: Christine M. Legorius, Department of Motor Vehicles, 6 Empire State Plaza, Rm. 522A, Albany, NY 12228, (518) 474-0871, email: dmv.sm.legal@dmv.ny.gov

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 215(a) of the Vehicle and Traffic Law (VTL) authorizes the Commissioner of Motor Vehicles to promulgate regulations which shall regulate and control the exercise of the powers of the Department of Motor Vehicles (DMV). Section 429(1)(b) of the VTL authorizes the Commissioner to promulgate regulations regarding the electronic filing of certain information related to junk or salvage vehicles.

2. Legislative objectives: Chapter 531 of the Laws of 2015 provides for the Commissioner to waive, by regulation, the delivery of documents related to junk and salvage vehicles or, in the alternative, to allow such requirements to be satisfied by the electronic filing of the necessary information by or on behalf of the person to whom such requirements apply. This proposed rule meets this legislative objective by establishing the requirements for electronic filing.

3. Needs and benefits: Section 429 of the VTL currently requires that vehicle dismantlers and scrap processors mail form MV-907M, related to the disposition of junk and salvage vehicles, to the Department of Motor

Vehicles. Chapter 531 of the Laws of 2015 authorizes the Commissioner to obtain the information contained in such document from the National Motor Vehicle Title Information System (NMVTIS), to which dismantlers and scrap processors currently electronically transmit such information.

Form MV-907M (Disposition for Junk and Salvage Vehicles- Multiple Entry Form) is used by a registered vehicle dismantler or scrap processor to record the destruction of multiple vehicles. A vehicle listed on the MV-907M may never be titled again, nor may the vehicle and its component parts be transferred to any entity other than a scrap processor. A vehicle listed on a MV-907M is considered destroyed and may not be listed in the inventory of a dismantler after the date noted on the MV-907M.

NMVTIS was established in 1992 and is administered by the United States Department of Justice. NMVTIS is used to protect states and consumers from title fraud, ensure that junk or salvage vehicles are not later re-sold, and that the vehicle identification numbers from destroyed vehicles cannot be used for stolen vehicles. NMVTIS is an electronic system to which every state and business engaged in the disposition of junk, salvage related vehicles must report certain information. Per federal requirements, such businesses currently electronically report the information on the MV-907M to NMVTIS after such business obtains an identifying number from NMVTIS. Most businesses use a third party consolidator to perform this service. This proposal requires the dismantlers and scrap processors to obtain a unique NMVTIS number for each business facility that is regulated by DMV. This will allow DMV to map NMVTIS data to the specific regulated business.

This rule will eliminate the requirement for vehicle dismantlers and scrap processors to mail form MV-907M and related documentation for each vehicle thereon to the Department of Motor Vehicles and will provide for a more efficient process that benefits the consumer, vehicle dismantlers, scrap processors and the Department in detecting title fraud.

The current process requires vehicle dismantlers and scrap processors to enter vehicle information on form MV-907M, with the appropriate proof of ownership attached. Vehicle dismantlers and scrap processors must then mail form MV-907M and related vehicle documentation to the Department of Motor Vehicles Title Bureau by the last day of each month. Dismantlers and scrap processors must also submit vehicle information to NMVTIS electronically.

The proposed rule would require vehicle dismantlers and scrap processors to electronically submit to NMVTIS the information currently recorded on form MV-907M, in accordance with the reporting requirements of NMVTIS. DMV would then acquire this information from NMVTIS. In addition, for auditing purposes, vehicle dismantlers and scrap processors would be required to retain the completed original form MV-907M and all relevant ownership documents for a minimum of five years, in accordance with Section 81.14 (h). The MV-907M may not be eliminated in its entirety, however, because it is mandated by VTL section 429 and provides vital information to law enforcement.

The Department of Motor Vehicles will benefit from this rule because acquiring data electronically from NMVTIS will reduce the workload and resources now dedicated to processing MV-907M paperwork.

Vehicle dismantlers and scrap processors will benefit from the elimination of duplicate reporting—electronically to NMVTIS and mailing paper to DMV. Additionally, costs and employee resources currently associated with the mailing of the paper MV-907M data to the DMV will be eliminated.

4. Costs: This rule will have no fiscal impact upon the public, the DMV, or local governments. Scrap processors and vehicle dismantlers will continue to be required to pay a third party data consolidator in order to report this information, in accordance with NMVTIS requirements. This is not a new requirement. The regulation will require that the businesses maintain the paper records and have them available for DMV inspection.

5. Local government mandates: This rule does not impose any new mandates or responsibilities upon local governments.

6. Paperwork: This rule does not impose any new paperwork or reporting requirements. In fact, it eliminates one of the steps currently required. Scrap processors and vehicle dismantlers will no longer be required to mail Forms MV-907M to the DMV. Instead, the forms and related attachments will be retained on file at the respective facility for five years as required in part by Section 81.14 (h).

7. Duplication: The proposal does not duplicate or conflict with any State or Federal rule.

8. Alternatives: The alternative is to continue to require the needless submission of paper form MV-907M.

This proposal was shared with the affected industry and the Department received responses from the Institute of Scrap Recycling Industries (ISRI) and Tabs Consulting Group. Tabs requested that the Department create its own electronic filing system so that dismantlers and scrap processors would not have to file with NMVTIS. The Department declines to implement this proposal, because it would consume significant ITS and Department resources to create a new system; it makes no sense to do so when such a system already exists in NMVTIS.

ISRI requested that the Department eliminate a proposal to require a VIN etching or photograph of VINs in scrapped vehicles, due to the difficult and burdensome nature of such task. The Department agrees that the burden of the requirement exceeds the benefits and has removed it from the proposed rulemaking. ISRI also requested that we increase the maximum worth of the scrap vehicles from \$750 to \$1,250 to provide consistency with another provision of Part 81. We have done so. However, we decline to change the text to provide that \$1,250 applies to the "scrap metal value," as opposed to the intrinsic value of the motor vehicle. A \$40,000 luxury car may have a scrap value of \$1,000. Finally, ISRI requests that dismantlers and scrap processors be able to store records electronically or in paper form. We decline to offer this option. Scanned documents are often difficult to read and authenticate, and may be incomplete. Original paper documents are generally complete and of greater use for DMV's investigators.

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

10. Compliance schedule: The Department anticipates that all affected parties will be able to achieve the proposed immediate compliance date upon adoption of the rule.

Regulatory Flexibility Analysis

1. Effect of rule: The Department estimates that there are approximately 225 certified scrap processors and 585 registered vehicle dismantlers in New York affected by this rule, which will remove a regulatory mandate. This proposed rule does not impact local governments.

2. Compliance requirements: Vehicle dismantlers and scrap processors will no longer be required to send DMV form MV-907M, but would be required to retain the original completed form MV-907M and all relevant ownership documents for a minimum of five years. Upon request of any agent of the commissioner or of any police officer (and during its regular business hours), a vehicle dismantler or scrap processor shall produce such records and permit said agent or police officer to examine them. The five year retention period conforms to the requirements of NYCRR Part 81.14(h) in that all required records must be kept for a period of at least five years.

Vehicle dismantler and scrap processor businesses are already required to obtain an identifying number from the National Motor Vehicle Title Information System (NMVTIS). This proposal requires the dismantlers and scrap processors to obtain a unique NMVTIS number for each business facility that is regulated by DMV. This will allow DMV to map NMVTIS data to the specific regulated business. Vehicle dismantlers and scrap processors are already required by federal law to electronically submit the data recorded on form MV-907M, regarding the acquisition and disposition of the junk and salvage vehicles, in accordance with the reporting requirements of NMVTIS.

3. Professional services: This regulation would not require the businesses to obtain new professional services beyond any that they may already use. Scrap processors and vehicle dismantlers are currently required by federal law to pay a third party data consolidator in order to report certain information to NMVTIS. This is not a new requirement.

4. Compliance costs: Scrap processors and vehicle dismantlers are currently required by federal law to pay a third party data consolidator in order to report certain information, to NMVTIS. This is not a new requirement. Vehicle dismantlers and scrap processors would be required to retain the original completed form MV-907M and all relevant ownership documents for a minimum of five years.

5. Economic and technological feasibility: The proposed rule will eliminate the requirement for vehicle dismantlers and scrap processors to submit form MV-907M to the Department of Motor Vehicles using traditional mail, in that data will be transmitted electronically.

6. Minimizing adverse impact: See #7 below.

7. Small business and local government participation: This proposal was shared with the affected industry and the Department received responses from the Institute of Scrap Recycling Industries (ISRI) and Tabs Consulting Group. Tabs requested that the Department create its own electronic filing system so that dismantlers and scrap processors would not have to file with NMVTIS. The Department declines to implement this proposal, because it would consume significant ITS and Department resources to create a new system; it makes no sense to do so when such a system already exists in NMVTIS, and is inefficiently duplicative of federal requirements.

ISRI requested that the Department eliminate a proposal to require a VIN etching or photograph of VINs in scrapped vehicles, due to the difficult and burdensome nature of such task. The Department agrees that the burden of the requirement exceeds the benefits and has removed it from the proposed rulemaking. ISRI also requested that we increase the maximum worth of the scrap vehicles from \$750 to \$1,250 to provide consistency with another provision of Part 81. We have done so. However, we decline to change the text to provide that \$1,250 applies to the "scrap metal value," as opposed to the intrinsic value of the motor vehicle. A

\$40,000 luxury car may have a scrap value of \$1,000. Finally, ISRI requests that dismantlers and scrap processors be able to store records electronically or in paper form. We decline to offer this option. Scanned documents are often difficult to read and authenticate, and may be incomplete. Original paper documents are generally complete and of greater use for DMV's investigators and law enforcement.

Rural Area Flexibility Analysis and Job Impact Statement

A rural area flexibility analysis and a job impact statement are not required for this rulemaking proposal because it will not adversely affect rural areas or job creation.

This proposal establishes procedures regarding the electronic filing of information maintained by dismantlers and scrap processors. Due to its focus, this rule will not impose an adverse economic impact on rural areas or on employment opportunities.

Public Service Commission

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Petition for Waiver of the Requirements of Opinion No. 76-17 and 16 NYCRR Part 96 Regarding Individual Metering of Living Units

I.D. No. PSC-04-20-00010-P

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

Proposed Action: The Commission is considering the petition of Comunilife Woodhull HDFC for waiver of the individual metering requirements contained in Opinion No. 76-17 and 16 NYCRR Part 96 at 179 Throop Avenue, Brooklyn, New York.

Statutory authority: Public Service Law, sections 2, 4(1), 30, 32-48, 52, 53, 65(1), 66(1), (2), (3), (4), (12) and (14)

Subject: Petition for waiver of the requirements of Opinion No. 76-17 and 16 NYCRR Part 96 regarding individual metering of living units.

Purpose: To consider the petition of Comunilife Woodhull HDFC for waiver of Opinion No. 76-17 and 16 NYCRR Part 96.

Substance of proposed rule: The Commission is considering the petition by Comunilife Woodhull HDFC for waiver of the individual metering requirements contained in Opinion No. 76-17 and 16 NYCRR Part 96 at Woodhull Residence, located on the campus of Woodhull Hospital at 179 Throop Avenue, Brooklyn, New York (Woodhull Residence) and in the service territory of Consolidated Edison Company of New York, Inc. (Con Edison).

The residence contains 54 studio units of supportive housing for patients of the hospital who have behavioral health issues, are eligible for discharge, but do not have permanent housing. According to the petitioner, the residential building is designed to support individuals with medical, mental health, and physical disabilities, particularly patients of Woodhull Hospital, whose psychiatric team will refer prospective tenants. An additional 35 living units are available to persons whose income is at or below 60 percent of the area median income, with preference given to certain applicants with disabilities.

By seeking authority to not submeter the individual living units at Woodhull Residence, Comunilife Woodhull HDFC requests authorization to take electric service from Con Edison and unmetered electricity would be provided to tenants.

The full text of the petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

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

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

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-E-0631SP2)

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

Transfer of the Indian Point Site, Nuclear Waste, and Decommissioning and Site Restoration Funds from Entergy to Holtec

I.D. No. PSC-04-20-00014-P

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

Proposed Action: The Commission is considering the Petition of Entergy and Holtec requesting the Commission disclaim jurisdiction over, abstain from reviewing, or review and approve a transaction transferring the Indian Point site and facilities from Entergy to Holtec.

Statutory authority: Public Service Law, sections 5(1), (2) and 70

Subject: Transfer of the Indian Point site, nuclear waste, and decommissioning and site restoration funds from Entergy to Holtec.

Purpose: To protect the public interest.

Substance of proposed rule: The Public Service Commission (Commission) is considering the Joint Petition of Entergy Nuclear Indian Point 2, LLC; Entergy Nuclear Indian Point 3, LLC; and Nuclear Asset Management Company, LLC for a Declaratory Ruling Disclaiming Jurisdiction Over or Abstaining from Review of the Proposed Transfers or, in the Alternative, an Order Approving the Proposed Transfers Pursuant to Section 70 of the New York Public Service Law (the Petition). The Petition was filed on November 22, 2019, by Entergy Nuclear Indian Point 2, LLC (ENIP2); Entergy Nuclear Indian Point 3, LLC (ENIP3); and Nuclear Asset Management Company, LLC (NAMCo) (collectively, Petitioners). The Petition relates to a proposed two-part transaction through which ownership of the Indian Point site and associated nuclear power facilities, nuclear waste, and nuclear decommissioning and site restoration funds (generally, Indian Point) will be transferred from its current ownership by subsidiaries of Entergy Corporation (Entergy) to ownership by subsidiaries of Holtec International (Holtec).

The Indian Point site includes, among other things, three facilities, Indian Point Nuclear Generating Unit 1 (IP Unit 1), Indian Point Nuclear Generating Unit 2 (IP Unit 2), and Indian Point Nuclear Generating Unit 3 (IP Unit 3). Spent nuclear fuel is, and will continue to be, stored in two spent fuel pools at the site, as well as in dry storage casks on the site. Currently, ENIP2 owns IP Unit 1 and IP Unit 2, while ENIP3 owns IP Unit 3. Both ENIP2 and ENIP3 are indirect wholly-owned subsidiaries of Entergy. Entergy Nuclear Operations, Inc. (ENOI) is an indirect wholly-owned subsidiary of Entergy which operates and maintains Indian Point pursuant to licenses from the Nuclear Regulatory Commission (NRC). ENIP2, ENIP3, and ENOI are electric corporations subject to the jurisdiction of the Commission; all three corporations are subject to the lightened regulation regime pursuant to previous Commission Rulings. IP Unit 1 and IP Unit 2 were transferred from ownership by Consolidated Edison Company of New York, Inc. to ownership by ENIP2 through an agreement approved, subject to conditions, by the Commission.

IP Unit 1 was permanently shut down in October 1974. Pursuant to a settlement agreement entered into by the State of New York, several state agencies including the Department of Public Service, the Attorney General of the State of New York, Riverkeeper, Inc., ENIP2, ENIP3, and ENOI, IP Unit 2 and IP Unit 3 will cease operations no later than April 30, 2020 and April 30, 2021, respectively. In addition, ENIP2 and ENIP3 submitted a Retirement Notice to the Commission stating that they will retire IP Unit 2 and IP Unit 3 no later than April 30, 2020 and April 30, 2021, respectively.

The two-part transaction contemplated in the Petition is targeted to occur in May 2021 if all conditions precedent in the Membership Interest Purchase and Sale Agreement have been satisfied at that point. The conditions precedent include, inter alia, the issuance of Required Regulatory Approvals, the cessation of reactor operations, and the removal of all nuclear fuel from the IP Unit 2 and IP Unit 3 reactors into the site's spent nuclear fuel pools.

The first part of the two-part transaction contemplated in the Petition is an internal reorganization involving the transfer of Indian Point and other assets and liabilities from ENIP2 and ENIP3 to two limited liability

companies whose membership interests will ultimately be owned by another limited liability holding company, Merchant Properties, LLC, which will be an indirect wholly-owned subsidiary of Entergy.

The second part of the two-part transaction is a transfer of the membership interests in Merchant Properties, LLC to NAMCo, a wholly-owned subsidiary of Holtec. This will result in NAMCo, and therefore Holtec, indirectly owning Indian Point and the related assets and liabilities formerly owned by ENIP2 and ENIP3. NAMCo will subsequently merge with Merchant Properties, LLC, resulting in NAMCo directly owning Holtec Indian Point 2, LLC and Holtec Indian Point 3, LLC, which will directly own the portions of Indian Point and assets and liabilities formerly owned by ENIP2 and ENIP3, respectively.

Holtec also indirectly owns Holtec Decommissioning International, LLC (HDI), which jointly owns, as the majority owner, Comprehensive Decommissioning International, LLC (CDI). The minority owner of CDI is SNC-Lavalin Group, through its subsidiary Kentz USA Inc. If the transaction is consummated, HDI will oversee and manage decommissioning, site restoration, and spent fuel management operations at Indian Point. CDI will act as the Decommissioning General Contractor for Indian Point pursuant to a Decommissioning General Contractor Agreement between HDI and CDI.

The Petition was accompanied by a redacted copy of the Membership Interest Purchase and Sale Agreement as Exhibit 1, the resumes of relevant employees of Holtec and Holtec subsidiaries as Exhibit 2, a Schedule and Financial Information for Decommissioning as Exhibit 3, an Environmental Assessment Form as Exhibit 4, and a proposed Notice Pursuant to State Administrative Procedure Act as Exhibit 5. An unredacted copy of the Membership Interest Purchase and Sale Agreement was submitted to the Commission's Records Access Officer with a request for exemption from disclosure. Furthermore, on December 20, 2019, Petitioners filed the Post Shutdown Decommissioning Activities Report (PSDAR) including Site-Specific Decommissioning Cost Estimate (DCE) for Indian Point Nuclear Generating Units 1, 2, and 3 that includes HDI's description and representation of its proposed decommissioning and site restoration activities at Indian Point.

In the Petition, the Petitioners request that the Commission either: (a) issue a declaratory ruling finding that the Commission does not have jurisdiction over the proposed Transfers on the basis that Indian Point will no longer be electric plant subject to the jurisdiction of the Commission at the time of the Transfers; (b) issue a declaratory ruling finding that the proposed Transfers do not require review under New York State Public Service Law (PSL) § 70 because they involve only internal restructuring and a transfer of membership interests between merchant parties upstream from the entity that owns and operates the facility at issue; or (c) issue an Order approving the proposed Transfers under PSL § 70 based on a finding that the Transfers are in the public interest.

The Petitioners assert that the Commission has used a three-prong test to determine whether proposed transactions between merchant entities should be approved pursuant to PSL § 70 and that the proposed Transfers satisfy that test. Specifically, the Petitioners assert that the Transfers present no market power issues, that Holtec will have financial wherewithal to decommission the Indian Point site through the three Indian Point Nuclear Decommissioning Trust Funds, and that Holtec has the technical qualifications and decommissioning expertise necessary to decommission Indian Point and perform site restoration. Furthermore, the Petitioners assert that the Transfers will allow decommissioning and site restoration at Indian Point to be undertaken using Holtec's "DECON" plan, which will allow partial site release by the end of 2036, decades sooner than if Entergy retained Indian Point and decommissioned the site over 60 years. The Petitioners assert that the Transfers, by allowing Holtec to implement the DECON plan, will provide substantial benefits to Indian Point employees, the local communities, and New York State. The Petitioners also request that, should the Commission determine review of the proposed Transfers under PSL § 70 is necessary, the Commission determine that the Transfers will not have a significant adverse impact on the environment, adopt a negative declaration pursuant to the State Environmental Quality Review Act, and undertake no further environmental review.

The Commission seeks comment on whether the Petition should be granted in whole or in part, whether any conditions should accompany a grant of the Petition in whole or in part, and whether the Commission should take any other action related to the Petition or the Petitioners. In particular, comment is sought regarding: (a) whether the Transfers should be reviewed pursuant to PSL § 70; (b) whether the three-pronged test described in the Petition is the appropriate standard for reviewing the Transfers pursuant to PSL § 70; and (c) whether the Transfers should be approved pursuant to PSL § 70, including whether the Transfers are in the public interest. Commenters should consider addressing specific issues including, but not limited to: (a) the financial wherewithal of Holtec and its subsidiaries to take ownership of Indian Point and the associated assets and liabilities and to take responsibility for decommissioning and site res-

toration at Indian Point; (b) the technical fitness of Holtec and its subsidiaries, including HDI and CDI, to decommission and perform site restoration at Indian Point; (c) the cost estimates and decommissioning and site restoration plans provided in the Petition, its Exhibits, and the PSDAR and DCE; (d) whether additional information or assurances are needed regarding site restoration; (e) risk of shortfalls or bankruptcy and means to address such risks and impacts on the trust funds, decommissioning, and site restoration; (f) the sufficiency of the Petition, its Exhibits, and the PSDAR and DCE in addressing the Petitioners' responsibilities under relevant laws, regulations, guidance, and orders, including, but not limited to, the Commission order approving the sale of IP Unit 1 and IP Unit 2 to Entergy and its subsidiaries and the Commission rulings approving lightened regulation for ENIP2, ENIP3, and ENOI; and (g) status of any money that may remain in the trust funds after decommissioning and site restoration is complete.

Initial comments are due on or before April 7, 2020, with reply comments to be submitted on or before April 28, 2020.

The full text of the Petition and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole, in part, and/or with conditions, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Michelle L. Phillips, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.gov

Public comment will be received until: April 7, 2020.

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-0730SP1)

and section 325-1.25 of Part 325 of this Chapter as well as adding an effective date of January 1, 2020.

Section 442.3: Deletes the existing text and replaces with: Bills for durable medical equipment, medical/surgical supply, or orthotic or prosthetic appliance shall be paid in accordance with the fee schedule established by section 442.2 of this Part and section 13-g of the Workers' Compensation Law. Objections to and resolution of billing disputes shall be in the format and according to the process prescribed by the Chair and as set forth in section 13-g of the Workers' Compensation Law and section 325-1.25 of Part 325 of this Chapter.

Final rule as compared with last published rule: Nonsubstantive changes were made in section 442.3.

Text of rule and any required statements and analyses may be obtained from: Heather MacMaster, Workers' Compensation Board, Office of General Counsel, 328 State Street, Schenectady, NY 12305, (518) 486-9564, email: regulations@wcb.ny.gov

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

A revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement are not required because the changes made to the last published rule do not necessitate revision to the previously published document. These changes do not affect the meaning of any statements in the document.

Initial Review of Rule

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

Assessment of Public Comment

The agency received no public comment.

Workers' Compensation Board

NOTICE OF ADOPTION

Resolution of Medical Billing Disputes

I.D. No. WCB-45-19-00010-A

Filing No. 33

Filing Date: 2020-01-14

Effective Date: 2020-01-29

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

Action taken: Amendment of sections 300.19, 325-1.25, 440.8, 442.3; and repeal of section 325-1.24 of Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, sections 13-g, 117 and 141

Subject: Resolution of medical billing disputes.

Purpose: Incorporate the 2019 changes to WCL section 13-g into existing regulations.

Substance of final rule: Section 300.19: Amended to add third-party administrator, to define medical bills as any authorized medical provider of Medical Care (as defined in section 325-1.25), to add new provider types, conform arbitration paragraphs to the statute and delete (n) through (o) and add an effective date of January 1, 2020.

Section 325-1.25: Add employer and third-party administrator throughout, defines Medical Care, adds new provider types, simplifies billing dispute process to eliminate "continuous course of treatment" concept and extend time to file from 90 days to 120 days, and adds an effective date of January 1, 2020.

Section 440.8: Deletes the existing text and replaces with: Bills for prescribed medicine shall be paid in accordance with the fee schedule established by section 440.5 of this Part and section 325-1.25 of Part 325 of this Chapter. Objections to a bill for prescribed medicine shall be filed in accordance with section thirteen-g of the Workers' Compensation Law

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Bridge Authority, New York State		
SBA-01-20-00004-P	A proposal to amend the NYS Bridge Authority toll schedule	Poughkeepsie Grand Hotel, 40 Civic Center Plaza, Palm Court Rm., Poughkeepsie, NY—March 9, 2020, 7:00 p.m.
SBA-01-20-00005-P	Toll collection and violations	Poughkeepsie Grand Hotel, 40 Civic Center Plaza, Palm Court Rm., Poughkeepsie, NY—March 9, 2020, 7:00 p.m.
Environmental Conservation, Department of		
ENV-53-19-00016-P	Certain substances that contain hydrofluorocarbons, highly-potent greenhouse gases	<p>Department of Environmental Conservation, 625 Broadway, Public Assembly Rm. 129A/B, Albany, NY—March 4, 2020, 12:30 p.m.</p> <p>Henrietta Public Library, 625 Calkins Rd., Community Rm., Rochester, NY—March 6, 2020, 12:30 p.m.</p> <p>Department of Environmental Conservation, Region 2 Office, 47-40 21st St., 8th Fl., Rm. 834A/834B, Long Island City, NY—March 9, 2020, 12:30 p.m.</p>

ACTION PENDING INDEX

The action pending index is a list of all proposed rules which are currently being considered for adoption. A proposed rule is added to the index when the notice of proposed rule making is first published in the *Register*. A proposed rule is removed from the index when any of the following occur: (1) the proposal is adopted as a permanent rule; (2) the proposal is rejected and withdrawn from consideration; or (3) the proposal's notice expires.

Most notices expire in approximately 12 months if the agency does not adopt or reject the proposal within that time. The expiration date is printed in the second column of the action pending index. Some notices, however, never expire. Those notices are identified by the word "exempt" in the second column. Actions pending for one year or more are preceded by an asterisk(*).

For additional information concerning any of the proposals

listed in the action pending index, use the identification number to locate the text of the original notice of proposed rule making. The identification number contains a code which identifies the agency, the issue of the *Register* in which the notice was printed, the year in which the notice was printed and the notice's serial number. The following diagram shows how to read identification number codes.

Agency code	Issue number	Year published	Serial number	Action Code
AAM	01	12	00001	P

Action codes: P — proposed rule making; EP — emergency and proposed rule making (expiration date refers to proposed rule); RP — revised rule making

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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AGING, OFFICE FOR THE

AGE-34-19-00014-P 08/20/20	Limits on Administrative Expenses and Executive Compensation	To bring this rule into compliance with current law in New York State
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AGRICULTURE AND MARKETS, DEPARTMENT OF

AAM-33-19-00003-P 08/13/20	State aid to districts	To conform Part 363 to S&WCL Sec. 11-a statutory amendments and to make technical amendments.
AAM-47-19-00002-P 11/19/20	Golden Nematode (<i>Globodera Rostochiensis</i>) Quarantine	To lift the Golden Nematode quarantine in portions of the Towns of East Hampton and Riverhead in Suffolk County.

AUDIT AND CONTROL, DEPARTMENT OF

AAC-49-19-00002-P 12/03/20	Relates to interest rate of estimated earnings; filing of documents; maximum loan amount; and electronic signatures	Update and conform regulations relating to interest; filing of documents; maximum loan amount; and electronic signatures
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BRIDGE AUTHORITY, NEW YORK STATE

SBA-01-20-00004-P exempt	A proposal to amend the NYS Bridge Authority Toll Schedule.	To amend toll schedule for vehicular bridges controlled by the NYS Bridge Authority in order to provide additional revenue.
SBA-01-20-00005-P 03/09/21	Toll collection and violations.	To amend toll collection procedures and implement toll violation enforcement on NYSBA bridges.

CHILDREN AND FAMILY SERVICES, OFFICE OF

*CFS-51-18-00010-RP 03/18/20	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
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Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-36-19-00004-ERP	09/03/20	Removal of non-medical exemption from vaccination regulations for child day care programs	To remove the non-medical exemption from vaccination regulations for child day care programs
CFS-39-19-00005-EP	09/24/20	Implement federal statutory requirements to include enhanced background checks, annual inspections, annual training and safety.	Implement federal statutory requirements to include enhanced background checks, annual inspections, annual training and safety.
CFS-39-19-00007-EP	09/24/20	Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.	Implement statutory requirements to include enhanced background checks, annual inspections, annual training and safety.
CFS-42-19-00002-P	10/15/20	Permissible disclosure of records maintained by OCFS.	To amend existing regulations regarding the permissible disclosure of records by OCFS.
CFS-46-19-00002-P	11/12/20	Behavioral health services, elimination of room isolation and authority to operate de-escalation rooms	To implement standards for behavioral health services and the operation of de-escalation rooms and to eliminate room isolation
CFS-49-19-00001-P	12/03/20	Limits on executive compensation	To remove the soft cap limit on executive compensation
CFS-04-20-00009-P	01/28/21	Host Family Homes	The proposed regulations would establish standards for the approval and administration of host family homes.
CIVIL SERVICE, DEPARTMENT OF			
CVS-06-19-00001-P	02/06/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-25-19-00006-P	06/18/20	Jurisdictional Classification	To classify positions in the non-competitive class.
CVS-34-19-00011-P	08/20/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-42-19-00010-P	10/15/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-42-19-00014-P	10/15/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-42-19-00020-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00021-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00023-P	10/15/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-42-19-00024-P	10/15/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-45-19-00003-P	11/05/20	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-45-19-00004-P	11/05/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-45-19-00005-P	11/05/20	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-45-19-00006-P	11/05/20	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-45-19-00007-P	11/05/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class and to delete positions from the non-competitive class
CVS-45-19-00009-P	11/05/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-51-19-00002-P	12/17/20	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-51-19-00003-P	12/17/20	Jurisdictional Classification	To classify a position in the exempt class
CVS-51-19-00004-P	12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00005-P	12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00006-P	12/17/20	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-19-00007-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00008-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00009-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00010-P	12/17/20	Jurisdictional Classification	To delete positions from the non-competitive class
CVS-51-19-00011-P	12/17/20	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-51-19-00012-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00013-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-19-00014-P	12/17/20	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-03-20-00003-P	01/21/21	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-03-20-00004-P	01/21/21	Jurisdictional Classification	To classify a position in the exempt class
CVS-03-20-00005-P	01/21/21	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-03-20-00006-P	01/21/21	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-03-20-00007-P	01/21/21	Jurisdictional Classification	To delete positions from and classify positions in the exempt class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CORRECTION, STATE COMMISSION OF			
CMC-35-19-00002-P	08/27/20	Disciplinary and administrative segregation of inmates in special housing.	Prohibit the segregation of vulnerable inmates, and to standardize allowable uses and duration of special housing segregation.
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
CCS-21-19-00014-P	05/21/20	Adolescent Offender Facilities	To reclassify two existing correctional facilities to adolescent offender facilities.
CCS-35-19-00001-P	08/27/20	Special Housing Units	Revisions have been made in order to be in compliance with new laws regarding special housing units and solitary confinement use
CCS-50-19-00002-P	12/10/20	Raise the Age	To update each correctional facility's regulation as a direct result of the Raise the Age legislation
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-30-19-00010-ERP	07/23/20	Use of Force	Set forth use of force reporting and recordkeeping procedures
EDUCATION DEPARTMENT			
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-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-39-19-00008-ERP	09/24/20	The Education, Experience, Examination and Endorsement Requirements for Licensure as an Architect	To more closely align New York's requirements for architects with national standards and to streamline the endorsement process.
EDU-39-19-00009-RP	09/24/20	Requirements for Licensure as an Architect	To more closely align the Commissioner's Regulations with national standards for licensure as an architect.
EDU-43-19-00012-EP	10/22/20	Annual Professional Performance Reviews of Classroom Teachers and Building Principals	Necessary to implement part YYY of chapter 59 of the Laws of 2019
EDU-43-19-00013-P	10/22/20	Requirements for Chiropractic Education Programs and Education Requirements for Licensure as a Chiropractor	To conform educational requirements for the profession of chiropractic to the national preprofessional education standards
EDU-47-19-00005-P	11/19/20	Physical Education Requirements for a Diploma and Transfer Credits for Students Earning Credit in an Educational Program.	To implement Raise the Age legislation pursuant to Part WWW of Chapter 59 of the Laws of 2017.
EDU-47-19-00006-EP	11/19/20	Permit physicians licensed in another state or territory to provide medical services to athletes and team personnel in New York	To align the Regulations of the Commissioner with chapter 519 of the Laws of 2018 and chapter 199 of the Laws of 2019

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-47-19-00007-EP	11/19/20	Profession of Registered Dental Assisting.	To conform the Regulations of the Commissioner with Chapter 390 of the laws of 2019.
EDU-52-19-00007-P	12/23/20	Update Provisions Relating to Pupil Transportation	To update provisions of the Commissioner's Regulations relating to pupil transportation
EDU-52-19-00008-EP	12/23/20	Restricted License for Clinical Laboratory Technologist	Implement Chapter 227 of 2019 by adding toxicology to the category of restricted licenses for clinical laboratory technologists
EDU-52-19-00009-EP	12/23/20	Continuing Education in the Profession of Public Accountancy	Implement the provisions of chapter 413 of the Laws of 2018
EDU-52-19-00010-EP	12/23/20	Duties and responsibilities of the counsel of the State Education Department	To designate counsel as the deputy commissioner of education as specified in Education Law, section 101
EDU-04-20-00005-P	01/28/21	Residency Program Requirement for Dental Licensure	Adds dental anesthesiology to the list of accredited residency programs in a specialty of dentistry.
EDU-04-20-00006-P	01/28/21	Financial Transparency and Data Reporting Requirements for Charter Schools	To establish criteria and procedures relating to charter financial transparency reporting to ensure compliance with ESSA.
EDU-04-20-00007-P	01/28/21	Time Extension of Initial, Transitional and Provisional Certificates	To provide educators with a Time Extension after the issuance of their first Initial or Provisional certificate.
EDU-04-20-00008-EP	01/28/21	ESSA Financial Transparency Reporting Requirements.	To implement financial transparency reporting requirements of ESSA.
ELECTIONS, STATE BOARD OF			
SBE-22-19-00003-EP	05/28/20	Process for Early Voting	Establishing Process for Early Voting
SBE-02-20-00002-P	01/14/21	Combine the 10 Day Post Primary Filing with the July 15th disclosure statement	This amendment combines the 10 Day Post Primary Filing with the July 15th disclosure statement that political committees file
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
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.
ENV-24-19-00002-P	08/18/20	Hazardous Waste Management Regulations (FedReg5)	To amend regulations pertaining to hazardous waste management
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-36-19-00001-P	11/07/20	Waste Fuels	Update permit references, rule citations, monitoring, record keeping, reporting requirements, and incorporate federal standards.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-36-19-00002-P	11/07/20	New Aftermarket Catalytic Converter (AMCC) standards	Prohibit sale of federal AMCCs and update existing AMCC record keeping and reporting requirements
ENV-36-19-00003-P	11/07/20	Stationary Combustion Installations	Update permit references, rule citations, monitoring, record keeping, reporting requirements, and lower emission standards.
ENV-36-19-00014-P	11/19/20	Distributed generation sources located in New York City, Long Island and Westchester and Rockland counties	Establish emission control requirements for sources used in demand response programs or as price-responsive generation sources
ENV-37-19-00003-P	09/10/20	Clarifying determination of jurisdiction under the Endangered and Threatened Fish and Wildlife regulations	To improve the review of projects by removing some project types that are known not to cause harm from the review stream
ENV-38-19-00001-P	09/17/20	Animals dangerous to health or welfare	To expand the list of animals which pose a risk to health or welfare of the people of the state or indigenous fish and wildlife
ENV-39-19-00003-P	12/05/20	Part 219 applies to various types of incinerators and crematories operated in New York State.	This rule establishes emission limits and operating requirements for various types of incinerators.
ENV-42-19-00003-P	10/15/20	Amendments to Great Lakes sportfishery regulations in 6NYCRR Part 10	Proposed amendments are intended to improve high quality sportfisheries and associated economic benefits
ENV-43-19-00006-P	01/07/21	Class I and Class SD waters	To clarify best usages of Class I and SD waters were/are "secondary contact recreation and fishing" and "fishing," respectively
ENV-43-19-00010-P	01/06/21	Repeal and replace 6 NYCRR Part 622 and amend 6 NYCRR Part 624, Part 621 and Part 620	To incorporate procedural and legal developments, develop consistency & reflect current practice in DEC hearings
ENV-48-19-00008-P	01/26/21	Plastic Bag Reduction, Reuse and Recycling	The objectives of this rulemaking are to provide clarity to Titles 27 and 28 so that they can both be effectively implemented
ENV-53-19-00016-P	03/09/21	Certain substances that contain hydrofluorocarbons, highly-potent greenhouse gases	Remove greenhouse gas emission sources that endanger public health and the environment
ENV-04-20-00004-EP	01/28/21	Regulations governing commercial fishing of quota managed species.	To improve efficiency, reduce waste, and increase safety in marine commercial fisheries.

FINANCIAL SERVICES, DEPARTMENT OF

*DFS-17-16-00003-P	exempt	Plan of Conversion by Commercial Travelers Mutual Insurance Company	To convert a mutual accident and health insurance company to a stock accident and health insurance company
*DFS-25-18-00006-P	exempt	Plan of Conversion by Medical Liability Mutual Insurance Company	To convert a mutual property and casualty insurance company to a stock property and casualty insurance company
DFS-33-19-00004-P	08/13/20	Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards for Full and Fair Disclosure	To set forth minimum standards for the content of health insurance identification cards.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
FINANCIAL SERVICES, DEPARTMENT OF			
DFS-43-19-00017-P	10/22/20	INDEPENDENT DISPUTE RESOLUTION FOR EMERGENCY SERVICES AND SURPRISE BILLS	To require notices and consumer disclosure information related to surprise bills and bills for emergency service to be provided
DFS-44-19-00011-P	10/29/20	Principle-Based Reserving	To prescribe minimum principle-based valuation standards
DFS-47-19-00003-P	11/19/20	Banking Division Assessments	Set forth the basis for allocating costs and expenses attributable to the operation of the Banking Division for FSL assessments
DFS-48-19-00002-P	11/26/20	SUPERINTENDENT'S REGULATIONS: INFORMATION SUBJECT TO CONFIDENTIAL TREATMENT	Provide rules concerning publication or disclosure of information subject to confidential treatment
DFS-51-19-00015-P	12/17/20	Minimum Standards for Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure	Clarifying discriminatory activities prohibited by and coverages included within preventive care and screenings under the IL
DFS-53-19-00013-EP	12/30/20	Rules Governing the Procedures for Adjudicatory Proceedings Before the Department of Financial Services	To unify and clarify the procedures for adjudicatory proceedings before the Department of Financial Services
DFS-53-19-00014-EP	12/30/20	Charges for Professional Health Services	To delay the effective date of the workers' compensation fee schedules for no-fault reimbursement.
DFS-53-19-00015-EP	12/30/20	Supplementary Uninsured/Underinsured Motorist Coverage	To comport with statutory amendments to Chapter 59, Part III of the Laws of 2019 and Insurance Law Section 3420(f)
DFS-01-20-00002-P	01/07/21	Certification of Compliance, Due Date	To amend the date by which Covered Entities must submit a certification of compliance, from February to April.
DFS-03-20-00011-EP	01/21/21	Valuation of Life Insurance Reserves; Recognition of the 2001 CSO Mortality Table and the 2017 CSO Mortality Table, et al	Prescribes 2001 CSO ultimate mortality for guaranteed issue policies issued on or after 1/1/20 and extends 2015 reserve relief
GAMING COMMISSION, NEW YORK STATE			
SGC-01-20-00006-P	01/07/21	Permit Thoroughbred horses with digital tattoos to race in New York	To promote the integrity of racing and derive a reasonable return for government
GENERAL SERVICES, OFFICE OF			
GNS-40-19-00005-P	10/01/20	Facility Use	To add "plastic knuckles" and remove "gravity knife" from the definition of "deadly weapon"
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-30-19-00006-RP	07/23/20	Maximum Contaminant Levels (MCLs)	Incorporating MCLs for perfluorooctanoic acid (PFOA), perfluorooctanesulfonic acid (PFOS) and 1,4-dioxane.
HLT-36-19-00006-P	09/03/20	Limits on Executive Compensation	Removes "Soft Cap" prohibition on covered executive salaries.

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Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-40-19-00002-EP	10/01/20	Required Signage Warning Against the Dangers of Illegal Products	To require sellers of legal e-liquids and e-cigarette products to post warning signs regarding illegal products
HLT-40-19-00004-P	10/01/20	Drug Take Back	To implement the State's drug take back program to provide for the safe disposal of drugs
HLT-43-19-00005-P	10/22/20	Transitional Adult Home Admission Standards for Individuals with Serious Mental Illness	Delineate a clear pre-admissions process for determining whether a prospective resident is a person with serious mental illness
HLT-45-19-00001-P	11/05/20	Medical Use of Marihuana	To allow NYS hemp growers to sell hemp-derived cannabidiol to the Registered Organizations to reduce the cost of manufacturing.
HLT-45-19-00002-P	11/05/20	Licensed Home Care Services Agencies (LHCASAs)	To implement changes to public need & financial feasibility review for applications for HCSAs licensure & change of ownership.
HLT-46-19-00003-P	11/12/20	Tanning Facilities	To prohibit the use of indoor tanning facilities by individuals less than 18 years of age
HLT-47-19-00008-P	11/19/20	Hospital Medical Staff - Limited Permit Holders	To repeal extra years of training required for limited permit holders to work in New York State hospitals.
HLT-47-19-00009-P	11/19/20	Empire Clinical Research Investigator Program (ECRIP)	To expand the types of & change the time frames for past research grants that qualify staff to supervise the ECRIP project.
HLT-48-19-00003-EP	11/26/20	Secondary Syringe Exchange in New York State	To reduce the spread of blood-borne pathogens, to reduce or eliminate other harms associated with contaminated syringes
HLT-51-19-00001-P	12/17/20	Women, Infants and Children (WIC) Program	To support implementation of eWIC; clarify rules for violations, penalties & hearings & conform vendor authorization criteria.
HLT-53-19-00001-P	12/30/20	Prohibition on the Sale of Electronic Liquids with Characterizing Flavors	To prohibit the sale of electronic liquids with characterizing flavors
HLT-53-19-00011-P	12/30/20	Cardiac Services	To amend existing Certificate of Need requirements for approval of adult cardiac surgery centers.
HLT-53-19-00012-P	12/30/20	Consumer Directed Personal Assistance Program Reimbursement	To establish a program to pay home care services & establish a methodology framework for the payment of FI administrative costs.
HLT-04-20-00002-P	01/28/21	Reducing Annual Tuberculosis Testing of Health Care Workers	To replace annual tuberculosis testing of health care workers.
HLT-04-20-00003-P	01/28/21	Applied Behavior Analysis	To include Applied Behavior Analysis in the Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) benefit.
HLT-04-20-00011-P	01/28/21	Nursing Home Case Mix Rationalization	To authorize the Department of Health to change the case mix acuity process for all nursing homes.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-04-20-00012-P	01/28/21	State Aid for Public Health Services: Counties and Cities	Clarifying State Aid payments for maintaining a cooling tower program.
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 of low-income housing tax credits.
HCR-48-19-00001-P	11/26/20	The subject of these amendments is the change in the location of DHCR's Office Of Legal Affairs (OLA).	The purpose is to inform the public of the change in DHCR's Office of Legal Affairs' location.
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-46-19-00004-P	11/12/20	NY State Public Employees Occupational Safety and Health Standards	To incorporate by reference updates to OSHA standards into the NY State Public Employee Occupational Safety and Health Standards
LAB-03-20-00012-P	01/21/21	Minimum Wage Tip Allowances	Amendment of regulations governing tip allowances in the Miscellaneous Industries Wage Order
LONG ISLAND POWER AUTHORITY			
*LPA-08-01-00003-P	exempt	Pole attachments and related matters	To approve revisions to the authority's tariff
*LPA-41-02-00005-P	exempt	Tariff for electric service	To revise the tariff for electric service
*LPA-04-06-00007-P	exempt	Tariff for electric service	To adopt provisions of a ratepayer protection plan
*LPA-03-10-00004-P	exempt	Residential late payment charges	To extend the application of late payment charges to residential customers
*LPA-15-18-00013-P	exempt	Outdoor area lighting	To add an option and pricing for efficient LED lamps to the Authority's outdoor area lighting
*LPA-37-18-00013-P	exempt	The net energy metering provisions of the Authority's Tariff for Electric Service	To implement PSC guidance increasing eligibility for value stack compensation to larger projects
*LPA-37-18-00017-P	exempt	The treatment of electric vehicle charging in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on electric vehicle supply equipment.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
LONG ISLAND POWER AUTHORITY			
*LPA-37-18-00018-P exempt	The treatment of energy storage in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on the NY Energy Storage Roadmap.
LPA-47-19-00017-P exempt	VDER, net metering, and community distributed generation	To update the Authority's tariff for consistency with the Public Service Commission, Department of Public Service, and CLCPA.
MENTAL HEALTH, OFFICE OF			
OMH-46-19-00005-P 11/12/20	Definition of "Case record, clinical record, medical record or patient record"	To clarify that the agency does not consider the provision to apply to the definition of "record" as set forth in MHL 9.01
OMH-47-19-00001-P 11/19/20	Limits on Executive Compensation	To eliminate "soft cap" restrictions on compensation.
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-04-20-00001-P 01/28/21	Alcohol & Drug Rehabilitation Programs - Restricted Use License eligibility provision	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
POWER AUTHORITY OF THE STATE OF NEW YORK			
*PAS-01-10-00010-P exempt	Rates for the sale of power and energy	Update ECSB Programs customers' service tariffs to streamline them/include additional required information

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
POWER AUTHORITY OF THE STATE OF NEW YORK			
PAS-42-19-00008-P exempt	Rates for the Sale of Power and Energy	To align rates and costs
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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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 receivable by Rochester Gas and Electric Corporation	To include in its tariff provisions for the purchase of ESCO accounts receivable
*PSC-46-04-00012-P exempt	Service application form by Consolidated Edison Company of New York, Inc.	To revise the form and make housekeeping changes
*PSC-46-04-00013-P exempt	Rules and guidelines governing installation of metering equipment	To establish uniform statewide business practices
*PSC-02-05-00006-P exempt	Violation of the July 22, 2004 order by Dutchess Estates Water Company, Inc.	To consider imposing remedial actions against the company and its owners, officers and directors
*PSC-09-05-00009-P exempt	Submetering of natural gas service by Hamlet on Olde Oyster Bay	To consider submetering of natural gas to a commercial customer
*PSC-14-05-00006-P exempt	Request for deferred accounting authorization by Freeport Electric Inc.	To defer expenses beyond the end of the fiscal year
*PSC-18-05-00009-P exempt	Marketer Assignment Program by Consolidated Edison Company of New York, Inc.	To implement the program
*PSC-20-05-00028-P exempt	Delivery point aggregation fee by Allied Frozen Storage, Inc.	To review the calculation of the fee
*PSC-25-05-00011-P exempt	Metering, balancing and cashout provisions by Central Hudson Gas & Electric Corporation	To establish provisions for gas customers taking service under Service Classification Nos. 8, 9 and 11

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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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 Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-46-08-00008-P exempt	Property transfer in the Village of Avon, New York	To consider a petition for the transfer of street lighting and attached equipment to the Village of Avon, New York
*PSC-46-08-00010-P exempt	A transfer of indirect ownership interests in nuclear generation facilities	Consideration of approval of a transfer of indirect ownership interests in nuclear generation facilities
*PSC-46-08-00014-P exempt	The attachment of cellular antennae to an electric transmission tower	To approve, reject or modify the request for permission to attach cellular antennae to an electric transmission tower
*PSC-48-08-00005-P exempt	A National Grid high efficiency gas heating equipment rebate program	To expand eligibility to customers converting from oil to natural gas
*PSC-48-08-00008-P exempt	Petition for the master metering and submetering of electricity	To consider the request of Bay City Metering, to master meter & submeter electricity at 345 E. 81st St., New York, New York
*PSC-48-08-00009-P exempt	Petition for the submetering of electricity	To consider the request of PCV/ST to submeter electricity at Peter Cooper Village & Stuyvesant Town, New York, New York
*PSC-50-08-00018-P exempt	Market Supply Charge	A study on the implementation of a revised Market Supply Charge
*PSC-51-08-00006-P exempt	Commission's October 27, 2008 Order on Future of Retail Access Programs in Case 07-M-0458	To consider a Petition for rehearing of the Commission's October 27, 2008 Order in Case 07-M-0458
*PSC-51-08-00007-P exempt	Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078	To consider Petitions for rehearing of the Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078
*PSC-53-08-00011-P exempt	Use of deferred Rural Telephone Bank funds	To determine if the purchase of a softswitch by Hancock is an appropriate use of deferred Rural Telephone Bank funds
*PSC-53-08-00012-P exempt	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY
*PSC-53-08-00013-P exempt	To transfer common stock and ownership	To consider transfer of common stock and ownership

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 commercial accounts	To permit electric utilities in New York State to use the Elster REX2
*PSC-17-09-00011-P exempt	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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 Commission reconsider its May 19, 2011 Order and conduct a hearing, and petition to stay said Order.	To consider whether to grant or deny, in whole or in part, Windstream New York's Petition For Reconsideration and Rehearing.
*PSC-35-11-00011-P exempt	Whether to permit Consolidated Edison a waiver to commission regulations Part 226.8	Permit Consolidated Edison to conduct a inspection program in lieu of testing the accuracy of Category C meters
*PSC-36-11-00006-P exempt	To consider expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-38-11-00002-P exempt	Operation and maintenance procedures pertaining to steam trap caps	Adopt modified steam operation and maintenance procedures
*PSC-38-11-00003-P exempt	Waiver of certain provisions of the electric service tariffs of Con Edison	Consideration of waiver of certain provisions of the electric service tariffs of Con Edison
*PSC-40-11-00010-P exempt	Participation of regulated local exchange carriers in the New York Data Exchange, Inc. (NYDE)	Whether to partially modify its order requiring regulated local exchange carriers' participation NYDE
*PSC-40-11-00012-P exempt	Granting of transfer of plant in-service to a regulatory asset	To approve transfer and recovery of unamortized plant investment
*PSC-42-11-00018-P exempt	Availability of telecommunications services in New York State at just and reasonable rates	Providing funding support to help ensure availability of affordable telecommunications service throughout New York
*PSC-43-11-00012-P exempt	Transfer of outstanding shares of stock	Transfer the issued outstanding shares of stock of The Meadows at Hyde Park Water-Works Corporation to HPWS, LLC
*PSC-47-11-00007-P exempt	Remedying miscalculations of delivered gas as between two customer classes	Consideration of Con Edison's proposal to address inter-class delivery imbalances resulting from past Company miscalculations
*PSC-48-11-00007-P exempt	Transfer of controlling interests in generation facilities from Dynegy to PSEG	Consideration of the transfer of controlling interests in electric generation facilities from Dynegy to PSEG
*PSC-48-11-00008-P exempt	Petition for the submetering of electricity	To consider the request of To Better Days, LLC to submeter electricity at 37 East 4th Street, New York, New York

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 and the Customer Trouble Report Rate levels at certain central office entities
*PSC-10-14-00006-P exempt	Actions to facilitate the availability of ESCO value-added offerings, ESCO eligibility and ESCO compliance	To facilitate ESCO value-added offerings and to make changes to ESCO eligibility and to ensure ESCO compliance
*PSC-11-14-00003-P exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-16-14-00014-P exempt	Whether to order NYSEG to provide gas service to customers when an expanded CPCN is approved and impose PSL 25-a penalties.	To order gas service to customers in the Town of Plattsburgh after approval of a town wide CPCN and to impose penalties.
*PSC-16-14-00015-P exempt	Whether Central Hudson should be permitted to defer obligations of the Order issued on October 18, 2013 in Case 13-G-0336.	Consideration of the petition by Central Hudson to defer reporting obligations of the October 18, 2013 Order in Case 13-G-0336
*PSC-17-14-00003-P exempt	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism
*PSC-17-14-00004-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00007-P exempt	To consider petitions for rehearing, reconsideration and/or clarification	To consider petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00008-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-19-14-00014-P exempt	Market Supply Charge	To make tariff revisions to the Market Supply Charge for capacity related costs
*PSC-19-14-00015-P exempt	Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications	To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter
*PSC-22-14-00013-P exempt	Petition to transfer and merge systems, franchises and assets.	To consider the Comcast and Time Warner Cable merger and transfer of systems, franchises and assets.
*PSC-23-14-00010-P exempt	Whether to permit the use of the GE Dresser Series B3-HPC 11M-1480 rotary gas meter for use in industrial gas meter applications	To permit gas utilities in New York State to use the GE Dresser Series B3-HPC 11M-1480 rotary gas meter
*PSC-23-14-00014-P exempt	Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric	Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric
*PSC-24-14-00005-P exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*PSC-26-14-00013-P exempt	Waiver of RG&E's tariffed definition of emergency generator.	To consider waiver of RG&E's tariffed definition of emergency generator.

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-08-15-00010-P exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.
*PSC-10-15-00007-P exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-34-15-00021-P exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs
*PSC-35-15-00014-P exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
*PSC-37-15-00007-P exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
*PSC-40-15-00014-P exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93
*PSC-42-15-00006-P exempt	Deferral of incremental expenses associated with NERC's new Bulk Electric System (BES) compliance requirements approved by FERC.	Consideration of Central Hudson's request to defer incremental expenses associated with new BES compliance requirements.
*PSC-44-15-00028-P exempt	Deferral of incremental expenses associated with new compliance requirements	Consideration of Central Hudson's request to defer incremental expenses associated with new compliance requirements
*PSC-47-15-00013-P exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
*PSC-48-15-00011-P exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
*PSC-50-15-00006-P exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
*PSC-50-15-00009-P exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
*PSC-51-15-00010-P exempt	Modification of the EDP	To consider modifying the EDP
*PSC-01-16-00005-P exempt	Proposed amendment to Section 5, Attachment 1.A of the Uniform Business Practices	To consider amendment to Section 5, Attachment 1.A of the Uniform Business Practices
*PSC-04-16-00007-P exempt	Whether Hamilton Municipal Utilities should be permitted to construct and operate a municipal gas distribution facility.	Consideration of the petition by Hamilton Municipal Utilities to construct and operate a municipal gas distribution facility.
*PSC-04-16-00012-P exempt	Proposal to mothball three gas turbines located at the Astoria Gas Turbine Generating Station.	Consider the proposed mothball of three gas turbines located at the Astoria Gas Turbine Generating Station.
*PSC-04-16-00013-P exempt	Proposal to find that three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.	Consider whether three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.
*PSC-06-16-00013-P exempt	Continued deferral of approximately \$16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately \$16,000,000 in site investigation and remediation costs.
*PSC-06-16-00014-P exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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 payout losses incurred in 2016.
*PSC-20-17-00008-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid NY regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-20-17-00010-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid regarding the potential for adoption of compressed natural gas as a motor fuel.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-21-17-00013-P exempt	The establishment and implementation of Earnings Adjustment Mechanisms.	To consider the establishment and implementation of Earnings Adjustment Mechanisms.
*PSC-21-17-00018-P exempt	Proposed agreement for the provision of water service by Saratoga Water Services, Inc.	To consider a waiver and approval of terms of a service agreement.
*PSC-22-17-00004-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives	To consider the proposed Interconnection Survey Process and Earnings Adjustment Mechanisms
*PSC-24-17-00006-P exempt	Development of the Utility Energy Registry.	Improved data access.
*PSC-26-17-00005-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 125 Waverly Street, Yonkers, New York.
*PSC-34-17-00011-P exempt	Waiver to permit Energy Cooperative of America to serve low-income customers	To consider the petition for a waiver
*PSC-37-17-00005-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives.	To consider the revised Interconnection Survey Process and Earnings Adjustment Mechanisms.
*PSC-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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-04-18-00005-P exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Montante/Morgan Gates Circle LLC to submeter electricity.
*PSC-05-18-00004-P exempt	Lexington Power's ZEC compliance obligation.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-06-18-00012-P exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
*PSC-06-18-00017-P exempt	Merger of NYAW and Whitlock Farms Water Corp.	To consider the merger of NYAW and Whitlock Farms Water Company into a single corporate entity
*PSC-07-18-00015-P exempt	The accuracy and reasonableness of National Grid's billing for certain interconnection upgrades.	To consider AEC's petition requesting resolution of their billing dispute with National Grid.
*PSC-11-18-00004-P exempt	New York State Lifeline Program.	To consider TracFone's petition seeking approval to participate in Lifeline.
*PSC-13-18-00015-P exempt	Eligibility of an ESCO to market to and enroll residential customers.	To consider whether Astral should be allowed to market to and enroll residential customers following a suspension.
*PSC-13-18-00023-P exempt	Reconciliation of property taxes.	To consider NYAW's request to reconcile property taxes.
*PSC-14-18-00006-P exempt	Petition for abandonment	To consider the abandonment of Willsboro Bay Water Company's water system
*PSC-17-18-00010-P exempt	Petition for use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
*PSC-18-18-00009-P exempt	Transfer of control of Keene Valley Video Inc.	To ensure performance in accordance with applicable cable laws, regulations and standards and the public interest
*PSC-23-18-00006-P exempt	Whether to impose consequences on Aspiry for its non-compliance with Commission requirements.	To ensure the provision of safe and adequate energy service at just and reasonable rates.
*PSC-24-18-00013-P exempt	Implementation of program rules for Renewable Energy Standard and ZEC requirements.	To promote and maintain renewable and zero-emission electric energy resources.
*PSC-28-18-00011-P exempt	Storm Hardening Collaborative Report.	To ensure safe and adequate gas service.
*PSC-29-18-00008-P exempt	Participation in Targeted Accessibility Fund	To encourage enhanced services for low-income consumers
*PSC-29-18-00009-P exempt	Overvaluing real property tax expense recovery in water rates	To prevent unjust and unreasonable water rates
*PSC-34-18-00011-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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-34-18-00016-P exempt	Deferral of pre-staging and mobilization storm costs.	To ensure just and reasonable rates for ratepayers and utility recovery of unexpected, prudently incurred costs.
*PSC-35-18-00003-P exempt	Con Edison's 2018 DSIP and BCA Handbook Update.	To continue Con Edison's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00005-P exempt	NYSEG and RG&E's 2018 DSIP and BCA Handbook Update.	To continue NYSEG and RG&E's transition to modern utilities acting as Distributed System Platform Providers.
*PSC-35-18-00006-P exempt	National Grid's 2018 DSIP and BCA Handbook Update.	To continue National Grid's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00008-P exempt	Central Hudson's 2018 DSIP and BCA Handbook Update.	To continue Central Hudson's transition to a modern utility serving as a Distributed System Platform Provider.
*PSC-35-18-00010-P exempt	O&R's 2018 DSIP and BCA Handbook Update.	To continue O&R's transition to a modern utility acting as a Distributed System Platform Provider.
*PSC-39-18-00005-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
*PSC-40-18-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To review the gas utilities' reconciliation of Gas Expenses and Gas Cost Recoveries for 2018.
*PSC-42-18-00011-P exempt	Voluntary residential beneficial electrification rate design.	To provide efficient rate design for beneficial technologies in New York State that is equitable for all residential customers.
*PSC-42-18-00013-P exempt	Petition for clarification and rehearing of the Smart Solutions Program Order.	To address the increased demand for natural gas in the Con Edison's service territory and the limited pipeline capacity.
*PSC-44-18-00016-P exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
*PSC-45-18-00004-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-47-18-00008-P exempt	Proposed Public Policy Transmission Needs/ Public Policy Requirements, as defined under the NYISO tariff.	To identify any proposed Public Policy Transmission Needs/Public Policy Requirements for referral to the NYISO.
*PSC-01-19-00004-P exempt	Advanced Metering Infrastructure.	To determine whether Niagara Mohawk Power Corporation d/b/a National Grid should implement advanced metering infrastructure.
*PSC-01-19-00013-P exempt	Order of the Commission related to caller ID unblocking.	To require telephone companies to unblock caller ID on calls placed to the 311 municipal call center in Suffolk County.

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-06-19-00005-P exempt	Consideration of the Joint Utilities' proposed BDP Program.	To to expand opportunities for low-income households to participate in Community Distributed Generation (CDG) projects.
PSC-07-19-00009-P exempt	Whether to impose consequences on AAA for its non-compliance with Commission requirements.	To insure the provision of safe and adequate energy service at just and reasonable rates.
PSC-07-19-00016-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
PSC-09-19-00009-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-10-19-00006-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-12-19-00004-P exempt	To test innovative pricing proposals on an opt-out basis.	To provide pricing structures that deliver benefits to customers and promote beneficial electrification technologies.
PSC-13-19-00010-P exempt	New Commission requirements for gas company operator qualification programs.	To make pipelines safer with improved training of workers who perform construction and repairs on natural gas facilities.
PSC-13-19-00012-P exempt	Paperless billing credit.	To provide just and reasonable rates.
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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
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.
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-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 efficiency programs for low- and moderate-income customers.	To encourage the support of energy efficiency 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-18-19-00015-P exempt	Minor rate filing.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-19-19-00013-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-19-19-00016-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-20-19-00010-P exempt	Compensation policies for certain CHP projects	To consider appropriate rules for compensation of certain CHP resources
PSC-20-19-00015-P exempt	Establishment of the regulatory regime applicable to an approximately 105.8 MW electric generating facility	Consideration of a lightened regulatory regime for an approximately 105.8 MW electric generating facility
PSC-22-19-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-23-19-00005-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-30-19-00007-P exempt	Use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-31-19-00011-P exempt	Electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-31-19-00013-P exempt	Implementation of Statewide Energy Benchmarking.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-31-19-00014-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-32-19-00008-P exempt	Compensation of distributed energy resources	To ensure just and reasonable rates, including compensation, for distributed energy resources
PSC-32-19-00009-P exempt	Petition to submeter electricity and waiver request	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place
PSC-32-19-00010-P exempt	Notice of intent to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-32-19-00012-P exempt	Standby Service Rates and Buyback Service Rates	To ensure just and reasonable rates, including compensation, for distributed energy resources
PSC-32-19-00013-P exempt	Disposition of tax refunds received by New York American Water Company, Inc.	To determine the disposition of tax refunds and other related matters
PSC-33-19-00014-P exempt	Electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-34-19-00015-P exempt	Major electric rate filing.	To consider a proposed increase in RG&E's electric delivery revenues of approximately \$31.7 million (or 4.1% in total revenues).
PSC-34-19-00016-P exempt	Major gas rate filing.	To consider a proposed increase in RG&E's gas delivery revenues of approximately \$5.8 million (or 1.4% in total revenues).
PSC-34-19-00017-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-34-19-00018-P exempt	Major electric rate filing.	To consider a proposed increase in NYSEG's electric delivery revenues of approximately \$156.7 million (10.4% in total revenues).
PSC-34-19-00020-P exempt	Major gas rate filing.	To consider a proposed increase in NYSEG's gas delivery revenues of approximately \$6.3 million (or 1.4% in total revenues).
PSC-36-19-00009-P exempt	Minor rate filing to increase annual electric revenues.	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-36-19-00010-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-36-19-00011-P exempt	Minor electric rate filing to increase annual electric revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-37-19-00004-P exempt	Proposed transfer of Hopewell's assets to the Town and dissolution of the company.	To determine if transfer of the water system to the Town of East Fishkill is in the public interest.
PSC-38-19-00002-P exempt	Petition to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-39-19-00013-P exempt	Proposed revisions to Consolidated Edison's Commercial Demand Response Programs.	To consider appropriate rules regarding Commercial Demand Response Programs.
PSC-39-19-00014-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 the period ending August 31, 2019.
PSC-39-19-00017-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-39-19-00018-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-39-19-00019-P exempt	Petition for the use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-39-19-00020-P exempt	Initial Tariff Schedule, P.S.C. No. 1 - Water.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-40-19-00006-P exempt	Net energy metering and VDER crediting for eligible New York Power Authority customers.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-40-19-00007-P exempt	The sharing of ratepayer consumption data.	To allow for consumption based sewer billing and protect ratepayers' consumption data.
PSC-41-19-00003-P exempt	A voluntary residential three-part rate that would include fixed, usage and demand charges.	To provide qualifying residential customers with an optional three-part rate.
PSC-41-19-00005-P exempt	Tariff modifications to correct the calculation for the VDER Value Stack DRV.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-42-19-00006-P exempt	Waiver of the prohibition on service to low-income customers by ESCOs.	To consider the petition for an extension of the waiver of the prohibition on service to low-income customers by ESCOs.
PSC-42-19-00007-P exempt	Waiver of the prohibition on service to low-income customers by ESCOs.	To consider the petition for an extension of the waiver of the prohibition on service to low-income customers by ESCOs.
PSC-43-19-00014-P exempt	Petition for the use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-43-19-00015-P exempt	Modifications to the Gas Cost Factor and Daily Delivery Service Programs.	To consider a rehearing petition filed by Consolidated Edison Company of New York, Inc. and Orange and Rockland Utilities, Inc.
PSC-43-19-00016-P exempt	Proposed rate filing to increase its semi-annual flat rate.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-44-19-00003-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00004-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-44-19-00005-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00006-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00007-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-44-19-00008-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-44-19-00009-P exempt	Proposed revisions to Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-45-19-00011-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-45-19-00012-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-45-19-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-46-19-00007-P exempt	PSC regulation 16 NYCRR 86.3(a)(1), (a)(2) and 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting.
PSC-46-19-00008-P exempt	Wappingers Falls Hydroelectric LLC's facility located in Wappingers Falls, New York.	To promote and maintain renewable electric energy resources.
PSC-46-19-00009-P exempt	Proposed transfer of certain company property to the Incorporated Village of Sea Cliff.	To determine if the transfer of certain Company property to the Incorporated Village of Sea Cliff is in the public interest.
PSC-46-19-00010-P exempt	To test innovative rate designs on an opt-out basis.	To implement alternative innovative rate designs intended to assess customer behaviors in response to price signals
PSC-47-19-00011-P exempt	Waiver of National Grid's code of conduct to allow for use of its name.	To determine if it is in the public interest to allow for the use of National Grid's name in the weatherization program.
PSC-47-19-00012-P exempt	Transfer of street lighting facilities to the Village of Cayuga Heights.	To consider whether the transfer of street lighting facilities to the Village of Cayuga Heights is in the public interest.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-47-19-00013-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-47-19-00014-P exempt	Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest.	To consider whether a tariff waiver and the proposed terms of a service agreement are in the public interest.
PSC-47-19-00015-P exempt	Customer Consent to Contact.	To include a new provision establishing customer consent for the utility to contact them electronically about utility service.
PSC-47-19-00016-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-19-00004-P exempt	Recommendation of the levelization surcharge, changes to the System Improvement Charge, including AMI and a one-year stay-out.	To address the issues in the November 6, 2019 petition filed by NYAW.
PSC-48-19-00005-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-19-00006-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-48-19-00007-P exempt	Extension of the State Universal Service Fund.	To continue to provide universal service at a reasonable rate in certain service territories.
PSC-49-19-00004-P exempt	Transfer of street lighting facilities.	To determine whether to authorize the transfer street of lighting facilities and the proper accounting for the transaction.
PSC-49-19-00005-P exempt	Sale of Street Lighting Facilities to the Town of Farmington.	To consider the transfer of street lighting facilities to the Town of Farmington.
PSC-49-19-00006-P exempt	Waiver of the prohibition on service to low-income customers by ESCOs.	To consider the petition for an extension of the waiver of the prohibition on service to low-income customers by ESCOs.
PSC-50-19-00004-P exempt	Petition to submeter electricity and waiver of energy audit.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-50-19-00005-P exempt	Modifications and clarifications to the DCFC Per-Plug Incentive Program.	To clarify certain elements of the DCFC Per-Plug Incentive Program and consider modifications to the Program.
PSC-50-19-00006-P exempt	Compensation of and incentives for distributed energy resources.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.
PSC-50-19-00007-P exempt	Participation of customers served under P.S.C. No. 12 (PASNY) in CDG projects receiving Value Stack compensation.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.
PSC-52-19-00001-P exempt	SUEZ Water New York Inc.'s acquisition of 100% of Heritage Hills Water Works Corporation's assets.	To determine if the proposed acquisition is in the public interest.
PSC-52-19-00002-P exempt	The New York State Reliability Council's establishment of an Installed Reserve Margin of 18.9%	To ensure adequate levels of Installed Capacity.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-52-19-00003-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-52-19-00004-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-52-19-00005-P exempt	Compensation of and rates for distributed energy resources.	To encourage the development of and ensure just and reasonable rates for distributed energy resources.
PSC-52-19-00006-P exempt	Authorization to defer pension settlement losses.	To address the ratemaking related to the pension settlement losses.
PSC-53-19-00003-P 12/30/20	Technical Amendments of State regulations and Administrative Corrections	To make the provision of natural gas service safer in New York State
PSC-53-19-00004-P 12/30/20	Technical Amendments of State regulations and Administrative Corrections	To make the provision of natural gas service safer in New York State.
PSC-53-19-00006-P exempt	To amend the terms to which the customer must abide when discontinuing gas service.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-53-19-00007-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-53-19-00008-P exempt	Extension of time for issuance of securities and other forms of indebtedness.	To consider an additional twelve months for the issuance of securities and other forms of indebtedness.
PSC-53-19-00009-P exempt	Transfer of street lighting facilities.	To consider whether the transfer of certain street lighting facilities is in the public interest.
PSC-53-19-00010-P exempt	To clarify the term “customer” under Rule 28 - Special Services Performed by Company for Customer at a Charge.	To ensure safe and adequate service at just and reasonable rates charged to customers without preferences.
PSC-01-20-00007-P exempt	Proposed tariff revisions and clarifications for the summer 2020 capability period.	To have more efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-01-20-00008-P exempt	Request for waiver of 16 NYCRR § 96.5(k)(3).	To consider the request for waiver of the energy audit requirement requirement per 16 NYCRR 96.5(k)(3).
PSC-01-20-00009-P exempt	Modifying RG&E’s DLM dispatch threshold to improve the Commercial System Relief Program.	To have more efficient demand response programs to gain operational efficiency and shave peak demand.
PSC-01-20-00010-P exempt	Proposed transfer of water supply assets and dissolution of the Company.	To determine whether the transfer of water supply assets to the Town of North Collins is in the public interest.
PSC-02-20-00005-P exempt	The 2020 Electric Emergency Response Plans for electric utilities subject to the provisions of PSL § 25-a	To consider the adequacy of the 2020 Electric Emergency Response Plans
PSC-02-20-00006-P exempt	The application of the earnings sharing mechanism related to a partial year period.	To consider O&R’s petition to modify the application of the earnings sharing mechanism.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-03-20-00008-P exempt	Authority to issue and sell unsecured debt obligations	To consider the Company's request for authority to issue and sell unsecured debt obligations
PSC-03-20-00009-P exempt	Changes to the Utility Energy Registry	To determine appropriate rules for data availability
PSC-03-20-00010-P exempt	Waivers of certain tariff provisions and terms of an agreement for the provision of service	Whether a proposed agreement for provision of service by Saratoga Water Services, Inc. is in the public interest
PSC-04-20-00010-P exempt	Petition for waiver of the requirements of Opinion No. 76-17 and 16 NYCRR Part 96 regarding individual metering of living units.	To consider the petition of Comunilife Woodhull HDfC for waiver of Opinion No. 76-17 and 16 NYCRR Part 96.
PSC-04-20-00014-P exempt	Transfer of the Indian Point site, nuclear waste, and decommissioning and site restoration funds from Entergy to Holtec.	To protect the public interest.
STATE, DEPARTMENT OF			
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-42-19-00001-P 10/15/20	Real estate advertisements	To update current regulations concerning real estate advertisements
DOS-02-20-00003-P 01/14/21	Enhanced fair housing provisions	To provide additional notices and other enhancements relating to fair housing and the Human Rights Law
STATE UNIVERSITY OF NEW YORK			
SUN-50-19-00001-EP 12/10/20	Tuition, Fees and Charges	To authorize the waiver of admission application fees for military veterans and their spouses
SUN-53-19-00002-P 12/30/20	Proposed amendments to the traffic and parking regulations at State University of New York College at Old Westbury	Amend existing regulations to update traffic and parking regulations
SUN-53-19-00005-P 12/30/20	Proposed amendments to the traffic and parking regulations at State University Agricultural and Technical College at Morrisville	Amend existing regulations to update traffic and parking regulations
SUN-01-20-00001-P 01/07/21	Limitations on operating costs for purposes of State financial assistance.	To determine how state appropriated reimbursement for rental costs for physical space will be distributed to community colleges.
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-47-19-00010-P exempt	Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith.	To set the sales tax component and the composite rate per gallon for the period January 1, 2020 through March 31, 2020.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-50-19-00003-EP	12/10/20	Metropolitan Transportation Business Tax Surcharge	To provide metropolitan transportation business tax rate for tax year 2020
TAF-02-20-00001-EP	01/14/21	Property tax levy limits for school districts in relation to certain costs resulting from capital local expenditures	To implement Education Law 2023-a relating to certain costs resulting from capital local expenditures of school districts
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
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-46-19-00006-P	11/12/20	Limits on executive compensation	To remove requirements related to private funding from the \$199, 000 per annum limit on executive compensation and to make corresponding technical updates
TDA-49-19-00003-P	12/03/20	Annual service fee on persons receiving child support services and minimum annual collection requirement to impose such fee	To amend the existing State regulatory provisions regarding the annual service fee imposed on persons who receive child support services
THRUWAY AUTHORITY, NEW YORK STATE			
THR-01-20-00003-P	01/07/21	Toll rate adjustments on the New York State Thruway system.	To provide for toll rate adjustments necessary to support the Authority's financial obligations.
VICTIM SERVICES, OFFICE OF			
OVS-24-19-00001-ERP	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-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
WCB-32-19-00001-P	08/06/20	Updating the prescription drug formulary	To add drugs to the prescription drug formulary in response to continuous feedback
WCB-37-19-00002-P	09/10/20	Applications for Reopenings	Clarify the process for reopening a case that has been previously closed
WCB-47-19-00004-EP	11/19/20	Updating the prescription drug formulary	To update formulary and add special consideration guidance for drugs not included in the MTGs

REGULATORY AGENDA

Office of Children and Family Services

Pursuant to section 202-d of the State Administrative Procedure Act (SAPA,) the Office of Children and Family Services (OCFS) is required to publish a regulatory agenda for those regulations it is considering for publication in the State Register. Set forth below is an agenda for 2020. OCFS reserves the right to add, delete or modify, without further notice, except as required by SAPA, any item or information presented herein as relating to its 2020 Regulatory Agenda. Section 202-d of SAPA does not preclude OCFS from proposing for adoption a regulation that is not described in this agenda, nor does it require OCFS to propose for adoption a regulation that is described in this agenda.

Amendment of Subpart 180-1 of Title 9 of the New York Codes, Rules, and Regulations (NYCRR) to implement uniform standards and procedures for the establishment and operation of non-secure detention facilities. A regulatory flexibility analysis and rural area flexibility analysis may be required.

Addition of Subpart 180-2 of Title 9 of the NYCRR to implement uniform standards and procedures for the establishment and operation of secure detention facilities. A regulatory flexibility analysis and rural area flexibility analysis may be required.

Addition of Subpart 180-4 of Title 9 of the NYCRR to implement uniform standards and procedures for the administration of non-secure, secure, and specialized secure detention facilities. A regulatory flexibility analysis and rural area flexibility analysis may be required.

Repeal and replace Part 182 of Title 9 of the NYCRR to update the Runaway and Homeless Youth Regulations. A regulatory flexibility analysis and rural area flexibility analysis may be required.

Repeal and replace Part 449 of Title 18 of the NYCRR to update the Supervised Independent Living Programs Regulations. A regulatory flexibility analysis and rural area flexibility analysis may be required.

Repeal Part 726 of Title 18 of the NYCRR which requires a minimum 75% direct blind labor for blind-made goods made for the preferred source program. The purpose of this repeal is to align NYSCB standards with those of the New York State Procurement Council, which has since issued standards which allow for the approval of service projects where there is a minimum 51% (direct) blind labor. This repeal would conform to Procurement Council standards while allowing for a lower ratio of blind to non-blind labor to secure a preferred source contract.

Amendment of Part 466 of Title 18 of the NYCRR to address the confidentiality of information relating to adoption subsidy and adoption services. A regulatory flexibility analysis and rural area flexibility analysis may be required.

Amendment of Part 443 of Title 18 of the NYCRR relating to the definitions and procedures for emergency foster homes. A regulatory flexibility analysis and rural area flexibility analysis may be required.

Any questions, comments, or requests for information concerning the items listed in this agenda may be referred to Frank Nuara, Associate Attorney, Office of Children and Family Services, 52 Washington Street, Rensselaer, NY 12144, (518) 474 - 9778. Email: REGCOMMENTS@ocfs.ny.gov This regulatory agenda may also be accessed on OCFS's website at: <https://ocfs.ny.gov/main/legal/Regulatory/>

Department of Financial Services

Pursuant to State Administrative Procedure Act ("SAPA") Section 202-d, the following Regulatory Agenda is a list of the regulatory additions and amendments to Titles 3, 11, and 23 of the NYCRR that the New York State Department of Financial Services ("Department") is presently considering proposing during 2020. Some of these items were previously published in the January 2019 Regulatory Agenda. Items that have already been published in the State Register as "proposed" actions are not included on the list. The Department's regulatory plans are subject to change, and the Department reserves the right to add to, delete from, or modify items in the Regulatory Agenda without further notice.

This notice also is intended to provide small businesses, local governments, and public and private interests in rural areas with the opportunity to participate in the rule making process, as required by Sections 202-b and 202-bb of SAPA.

I. Insurance Regulations

For inquiries about a specific item, please contact the person identified in the item. For general inquiries about the Insurance Regulations included in this Regulatory Agenda, or to obtain copies of current Insurance Regulations, please contact:

Sally Geisel
Supervising Attorney
Department of Financial Services
One State Street
New York, NY 10004
Telephone Number: (212) 480-7608

1. Summary description of proposal: Amendment of 11 NYCRR 82 (Enterprise Risk Management and Own Risk and Solvency Assessment) (Insurance Regulation 203) to permit the Superintendent of Financial Services to act as group-wide supervisor for an internationally active insurance group. Agency contact: Joana Lucashuk, Principal Attorney, Office of General Counsel – (212) 480-2125.

2. Summary description of proposal: Amendment of 11 NYCRR 25 (Public Adjusters) (Insurance Regulation 10) to address amendments made to the Insurance Law by Chapter 546 of the Laws of 2013. Agency contact: Joana Lucashuk, Principal Attorney, Office of General Counsel – (212) 480-2125.

3. Summary description of proposal: Amendment of 11 NYCRR 82 (Enterprise Risk Management and Own Risk and Solvency Assessment) (Insurance Regulation 203) to require a holding company and certain domestic insurers to describe their enterprise risk management functions in their enterprise risk reports and to clarify certain language. Agency contact: Joana Lucashuk, Principal Attorney, Office of General Counsel – (212) 480-2125.

4. Summary description of proposal: Addition of a new subpart 65-6 to 11 NYCRR (Insurance Regulation 65-F), amendment of 11 NYCRR 65 (Regulations Implementing the Comprehensive Motor Vehicle Insurance Repairs Act) (Insurance Regulation 68), and amendment of 11 NYCRR 68 (Charges for Professional Health Services) (Insurance Regulation 83) to implement an alternative dispute resolution process for disputes involving claims of independent livery

drivers that are processed pursuant to pre-authorization procedures and medical treatment guidelines set forth in 12 NYCRR 324, and other applicable provisions of Article 2 of the Workers' Compensation Law. Agency contact: Camielle A. Barclay, Associate Attorney, Office of General Counsel – (212) 480-5299.

5. Summary description of proposal: Amendment of 11 NYCRR 68 (Charges to Professional Health Services) (Insurance Regulation 83) to adopt certain provisions from the Workers' Compensation Board's pharmaceutical formulary for automobile no-fault insurance fee schedule purposes. Agency contact: Camielle Barclay, Associate Attorney, Office of General Counsel – (212) 480-5299.

6. Summary description of proposal: Amendment of 11 NYCRR 65-4 (Arbitration) (Insurance Regulation 68-D) to amend rules related to both the manner in which the first party motor vehicle insurance arbitration programs are administered and the manner in which the costs of these programs are assessed to the insurance industry. Agency contact: Camielle Barclay, Associate Attorney, Office of General Counsel – (212) 480-5299.

7. Summary description of proposal: Amendment of 11 NYCRR 65-2, (Rights and Liabilities of Self-Insurers) (Insurance Regulation 68-B), 11 NYCRR 65-3 (Claims for Personal Injury Protection Benefits) (Insurance Regulation 68-C), 11 NYCRR 65-4 (Arbitration) (Insurance Regulation 68-D), the New York Motor Vehicle No-Fault Insurance Law Assignment of Benefits Form, the NFS Form NF-3, and the NYS Form NF-10 to prescribe that an insurer may void the assignability of all rights, privileges, and remedies to a health care provider (other than a hospital) from an eligible injured person through an executed assignment of benefits form if the insurer denies a claim because the eligible injured person failed to appear for a medical examination or examination under oath at the insurer's request. Agency contact: Camielle A. Barclay, Associate Attorney, Office of General Counsel – (212) 480-5299.

8. Summary description of proposal: Adoption of a new Part 90 to 11 NYCRR to require an insurer to adopt a corporate governance function and submit to the Superintendent of Financial Services a corporate governance annual disclosure. Agency contact: Joana Lucashuk, Principal Attorney, Office of General Counsel – (212) 480-2125.

9. Summary description of proposal: Amendment of 11 NYCRR 89 (Audited Financial Statements) (Insurance Regulation 118) to require an internal audit function, conform to an amendment to Insurance Law Section 1202, and make other technical amendments. Agency contact: Joana Lucashuk, Principal Attorney, Office of General Counsel – (212) 480-2125.

10. Summary description of proposal: Adoption of a new Part 11 to 11 NYCRR to establish standards for insurers and certain other regulated persons regarding disaster planning, preparedness, and response. Agency contact: Joana Lucashuk, Principal Attorney, Office of General Counsel – (212) 480-2125.

11. Summary description of proposal: Adoption of a new subpart to 11 NYCRR 67 (Mandatory Underwriting Inspection Requirements for Private Passenger Autos) (Insurance Regulation 79), regarding automobile photo inspections. Agency contact: Camielle Barclay, Associate Attorney, Office of General Counsel – (212) 480-5299.

12. Summary description of proposal: Amendment of 11 NYCRR 136 (Public Retirement Systems) (Insurance Regulation 85), to conform to the enactment of Retirement and Social Security Law Section 424-a by prohibiting retirement funds from engaging or investing with an investment manager that uses the services of a placement agent or intermediary to assist in obtaining investments by the fund. Agency contact: Michael Campanelli, Principal Attorney, Office of General Counsel – (212) 480-5290.

13. Summary description of proposal: Amendment of 11 NYCRR 83 (Financial Statement Filings and Accounting Practices and Procedures) (Insurance Regulation 172), to update references to publications incorporated by reference, correct technical errors and add clarifications. Agency contact: Michael Campanelli, Principal Attorney, Office of General Counsel – (212) 480-5290.

14. Summary description of proposal: Amendment of 11 NYCRR 62 (Anti-Arson Application) (Insurance Regulation 96), to update the rule to comport with the 2017 amendment to Insurance Law Section

3403(g)(2), which made the section applicable to only cities with one million or more (instead of 400,000) people. Under the legislative amendment, the city of Buffalo is no longer subject to anti-arson application requirements. Agency contact: Sally Geisel, Supervising Attorney, Office of General Counsel – (212) 480-7608.

15. Summary description of proposal: Amendment of 11 NYCRR 60-1 (Minimum Provisions for Automobile Liability Insurance Policies) (Insurance Regulation 35-A), to amend subdivision (c) of 11 NYCRR 60-1.1 to fix an incorrect grammatical construction caused by the formatting of the subdivision. The current format may lead a reader to limit the application of subparagraphs (i) – (iii) to subdivision (c)(3) only, when in fact the subparagraphs apply also to paragraphs (2) and (3) of subdivision (c). Agency contact: Joana Lucashuk, Principal Attorney, Office of General Counsel – (212) 480-2125.

16. Summary description of proposal: Amendment of 11 NYCRR 55 (Notice to Employees Concerning Termination of Group and Health Insurance Policies) (Insurance Regulation 78), to correct a typographical error in 11 NYCRR 55.1(d) by replacing the reference to "section 4225 of the Insurance Law" with "Insurance Law section 4235". Agency contact: Sally Geisel, Supervising Attorney, Office of General Counsel – (212) 480-7608.

17. Summary description of proposal: Repeal of 11 NYCRR 241 (Availability of Department Records) (Insurance Regulation 71), to repeal this outdated Insurance regulation in connection with the promulgation of a new Financial Services regulation to provide one set of unified and updated rules governing public access to records of the Department of Financial Services. Agency contact: Colleen Dawson, Assistant Counsel, Office of General Counsel – (518) 486-4737.

18. Summary description of proposal: Amendment of 11 NYCRR 216 (Unfair Claims Settlement Practices and Claim Cost Control Measures) (Insurance Regulation 64) to update Section 216.7 to clarify certain provisions in the regulation regarding motor vehicle physical damage claims. Agency contact: Hoda Nairooz, Supervising Insurance Examiner, Property Bureau – (212) 480-5595.

19. Summary description of proposal: Amendment of 11 NYCRR 53 (Life and Annuity Cost Disclosure and Sales Illustrations) (Insurance Regulation 74) to revise and clarify the delivery, signature and certification form requirements for life insurance sales illustrations, including electronic delivery, for policies marketed with an illustration; to modify the basis used for illustrations for life insurance policies with non-guaranteed elements, including universal life; to add additional requirements on the disciplined current scale underlying the illustrations; and to require additional disclosures for such policies. Agency contact: Rebecca Bollam, Associate Insurance Attorney, Life Bureau – (518) 474-4552.

20. Summary description of proposal: Amendment of 11 NYCRR 45 (Applications for Life Insurance) (Insurance Regulation 19) to expand Insurance Regulation 19 to apply to all life insurance policy forms containing any war or travel exclusion or restriction and to implement the amendment to Insurance Law Section 3201(c)(4) by expanding and describing the permissible formats for the disclosure required by Section 3201(c)(4) to appear on the face page of policy forms containing any war or travel exclusion or restriction. Agency contact: Rebecca Bollam, Associate Insurance Attorney, Life Bureau – (518) 474-4552.

21. Summary description of proposal: Adoption of a new Part to 11 NYCRR (Issuance of Stop-Loss and Health Insurance Policies to Small Groups) to establish standards relating to the activities of insurers issuing stop-loss and health insurance policies to small groups in order to preserve and maintain the small group health insurance market in New York. Agency contact: Jon Thayer, Associate Attorney, Health Bureau – (518) 486-2970.

22. Summary description of proposal: Amendment of 11 NYCRR 52 (Minimum Standards for the Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure) (Insurance Regulation 62), to require health plans to hold insureds harmless when the insured has relied on the health plan's inaccurate electronic provider directory and then receives an out-of-network bill. The

insured will be responsible only for any in-network cost sharing. Agency contact: Emily Donovan, Associate Attorney, Health Bureau – (518) 486-2970.

23. Summary description of proposal: Amendment of 11 NYCRR 52 (Minimum Standards for the Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure) (Insurance Regulation 62), to set forth standards relating to health insurance producer payments including requiring producers to act in the best interest of their insureds. Agency contact: Lydia Hoffman, Director Financial Services Programs 1, Health Bureau – (518) 486-2970.

24. Summary of description of proposal: Amendment of 11 NYCRR Part 52 (Minimum Standards for the Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure) (Insurance Regulation 62) and Part 215 (Advertisements of Accident and Health Insurance) (Insurance Regulation 34), to establish minimum standards and consumer protections for accident, travel and hospital indemnity insurance. Agency contact: Christina Fernet, Associate Attorney, Health Bureau – (518) 486-2970.

25. Summary of description of proposal: Adoption of a new Part to 11 NYCRR (Transparency) to require health plans to provide consumers with information about network providers, such as cost-estimator tools, to allow consumers to make more intelligent decisions regarding their choice of provider. Agency contact: John Powell, Director of Rate Review, Health Bureau – (518) 474-4567.

II. Banking Regulations

For inquiries about the Banking Regulations included in this Regulatory Agenda, or to obtain copies of current Banking Regulations, please contact:

Christine M. Tomczak

Assistant Counsel

New York State Department of Financial Services

One State Street

New York, NY 10004

Telephone Number: (212) 709-1642

1. Summary description of proposal: Amendments of Part 38 of the General Regulations of the Superintendent, 3 NYCRR Part 38 (Definition of Terms; Advertising; Application and Commitment Disclosures and Procedures; Improper Conduct under Article 12-D), to enhance advertising, disclosure and conduct rules for mortgage bankers and brokers and to incorporate applicable changes under federal laws and regulations.

2. Summary description of proposal: Amendment of Part 41 of the General Regulations of the Superintendent, 3 NYCRR Part 41 (Restrictions and Limitations on High Cost Home Loans), to address threshold limits, the impact of lender paid fees, and otherwise to conform to the requirements of Section 6-l of the Banking Law.

3. Summary description of proposal: Amendment of Part 79 of the General Regulations of the Superintendent, 3 NYCRR Part 79 (Reverse Mortgage Loans), to incorporate advertising requirements for reverse mortgage loans and clarify the applicability of disclosure and filing requirements for HUD's Home Equity Conversion Mortgage program.

4. Summary description of proposal: Amendment of Part 322.7 of the Superintendent's Regulations, 3 NYCRR Part 322.7 (Definition of Well-Rated Foreign Banking Corporations), in connection with the elimination by the Federal Reserve System of the Strength of Support Assessment (SOSA) rating for all foreign banking organizations subject to the interagency program for supervising the U.S. operations of foreign banking organizations.

5. Summary description of proposal: Amendment of Part 400.2 of the Superintendent's Regulations, 3 NYCRR Part 400.2 (Books, Records and Microfilm), to eliminate outdated regulatory requirements (i.e. maintenance of records on microfilm) in connection with check cashers books and records.

6. Summary description of proposal: Amendment of Part 401 (Licensed Lenders), Part 403 (Sales Finance Companies) and Part 405 (Premium Finance Agencies) of the Superintendent's Regulations, 3 NYCRR Part 401, Part 403 and Part 405, to include a reporting

requirement for each licensee to submit to the Superintendent an independent audited annual financial statement within 90 days after the licensee's fiscal year end.

7. Summary description of proposal: Amendment of Part 410 and Part 413 of the Superintendent's Regulations, 3 NYCRR Part 410 (Mortgage Bankers; Licensing Requirements; Mortgage Brokers; Registration Requirements; Branch Applications; Notifications; Books and Records; Annual Reports; Surety Bonds; and Consultants of Licensed Mortgage Bankers and Registered Mortgage Brokers) and 3 NYCRR Part 413 (Procedures and Requirements for Mortgage Brokers to Act as FHA Mortgage Loan Correspondents) and Supervisory Procedure 3 NYCRR MB 101 (Application for a License as a Mortgage Banker), Supervisory Procedure 3 NYCRR MB 102 (Application for Registration as a Mortgage Broker), Supervisory Procedure 3 NYCRR MB 103 (Application for a Change in Control of a Mortgage Banker) and Supervisory Procedure 3 NYCRR MB 104 (Application for a Change in Control of a Mortgage Broker), to eliminate certain outdated regulatory requirements and to clarify language, the minimum licensing standards, and other requirements in connection with mortgage banker and mortgage broker applications.

8. Summary description of proposal: Amendment of Part 420 of the Superintendent's Regulations, 3 NYCRR Part 420 (Mortgage Loan Originators: Education Requirements), to conform to amendments made to the federal SAFE Mortgage Licensing Act, which gives qualifying out-of-state mortgage loan originators the temporary authority to operate as a mortgage loan originator in New York prior to completing all licensing requirements.

9. Summary description of proposal: Repeal of Supervisory Procedure 3 NYCRR (Public Access to Department of Financial Services Records), to repeal this outdated Banking regulation in connection with the promulgation of a new Financial Services regulation to provide one set of unified and updated rules governing public access to records of the Department of Financial Services.

III. Financial Services Regulations

For specific inquiries about the Financial Services Regulations included in this Regulatory Agenda, or to obtain copies of current Financial Services Regulations, please contact the person identified in the item.

1. Summary description of proposal: Adoption of new Part to 23 NYCRR (Public Access to Department Records) in conjunction with the repeal of outdated regulations 3 NYCRR SPP G 106 and 11 NYCRR 241 (Insurance Regulation 71) to provide one set of unified and updated rules governing public access to records of the Department of Financial Services. Agency contact: Colleen Dawson, Assistant Counsel, Office of General Counsel – (518) 486-4737.

2. Summary of description of proposal: Amendment of 23 NYCRR 400 (Independent Dispute Resolution for Emergency Services and Surprise Bills), to establish independent dispute resolution for emergency services from a non-participating physician or hospital including a bill for inpatient services that follow an emergency room visit. Agency contact: Emily Donovan, Associate Attorney, Health Bureau – (518) 486-2970.

New York State Gaming Commission

Pursuant to subdivision 1 of section 202-d of the State Administrative Procedure Act (SAPA), the Gaming Commission presents its regulatory agenda for calendar year 2020. All section and part references are to Title 9 of the New York Code of Rules and Regulations. As indicated in SAPA section 202-d(2), the Gaming Commission is not required to propose or adopt a rule listed on the regulatory agenda and may propose or adopt a rule that is not on the agenda. The Gaming Commission may add, delete or modify without further notice, except as required by the State Administrative Procedure Act, any item or information presented in this 2020 Regulatory Agenda.

Publication of this notice is intended to further assure that small businesses, local governments and public and private interests in rural areas are given opportunity to participate in the rule making process, as provided by sections 202-b and 202-bb of SAPA. Each rule listed below may require a regulatory flexibility analysis or a rural area flex-

ibility analysis, pursuant to SAPA sections 202-b and 202-bb, respectively.

The public may submit written comments in regard to this regulatory agenda to the agency representative indicated at the end of this agenda.

Administration

Considering the adoption of hearing rules and procedures to standardize the governance of all Gaming Commission administrative hearings.

Considering the addition of new sections to address trade secret designation and trade secrets received in conjunction with procurement and contract monitoring activities. These amendments would provide for agency procedures to safeguard trade secrets that are submitted to the Gaming Commission in the course of licensing and regulatory supervision of gaming entities.

Charitable Gaming

Considering harmonizing rules for charitable games of chance with rules for games at commercial casinos, where advisable.

Considering amendments to various charitable gaming regulations to implement aspects of recent legislation, including regulation of internet raffle sales by authorized organizations.

Commercial Casinos

Considering the addition of a new rule requiring gaming facility licensees to notify the Commission in the event the licensee is penalized for casino-related infractions in another jurisdiction.

Considering the amendment of Part 5324, which concerns casino table games, to add new table games and bets.

Considering regulating the wagering of employees of casino vendor registrants who have responsibility for services to a casino.

Horse Racing

Considering the amendment of rules governing veterinary technicians.

Considering the amendment of rules concerning show wagering in Thoroughbred racing.

Considering the amendment of the pick-five and pick-six rules in Thoroughbred racing.

Considering the amendment of the pick-four, pick-five and pick-six rules in harness racing.

Considering adding a trainer medication log rule to require Thoroughbred trainers to keep a record of medications administered by the trainer when no veterinarian makes a record of the administrations.

Considering adding continuing education requirements for horsepersons in harness racing.

Considering the amendment of Section 4043.2(b) for exercise-induced pulmonary hemorrhage (EIPH) in Thoroughbred horses. The amendment would require Thoroughbred trainers to maintain a record of EIPH episodes of grade four, defined with the universal one-to-four grading system, or epistaxis (visible bleeding from the nose). Trainers would be required to provide such information to subsequent owners within 48 hours of the request for the information, unless the Commission has collected and provided the information itself. The rules would require an endoscopic examination when the horse next works out or races after a serious EIPH episode.

Considering the amendment of Section 4012.5 in regard to out-of-competition testing in Thoroughbred racing to conform to the national Model Rule of the Association of Racing Commissioners International, Inc. (ARCI) as amended on December 9, 2016. The amendments would add rebuttable presumptions regarding the jurisdiction of the Commission, codify the sample collection procedure and further protect the privacy interests of horsepersons.

Considering rules to formalize practice that race-day furosemide (a/k/a Lasix) administration to race horses is provided by independent, third-party veterinarians who are not caring for the horses of a trainer or owner who participates at the race meeting.

Considering allowing a claimant to void a claim of a Thoroughbred horse that is determined in the test barn to have experienced EIPH-related epistaxis or become lame in a claiming race.

Considering updating the per se threshold for furosemide to a higher specific gravity of urine.

Considering expanding eligibility for owners to claim horses to include those who have raced in New York within a certain period of time.

Considering environmental thresholds for common contaminants that might be present in a horse.

Considering establishment of a Jackpot Pick Six wager in harness racing.

Considering amendments to equine drug rules.

Considering amendment to Thoroughbred show wagering rule.

Considering amendment to harness racing eligibility rule to allow for longer periods of time without racing before a horse must requalify.

Considering amendment to Standardbred triple wager rule.

Considering the addition of a Jackpot Super High Five wager in Standardbred racing.

Considering amendments to Thoroughbred rules to restrict a horse from racing for 14 days after a joint injection treatment, to require that all joint injections be reported to the commission within 48 hours, and to forward such information to the veterinarians who perform pre-race examinations of horses.

Considering amendments to Thoroughbred rules to require medical clearance to be licensed as a jockey and to return to riding after a traumatic event, to require self-reports of medical conditions including a baseline concussion assessment, and to require steeplechase jockeys to obtain a commission license and to participate in 40 sanctioned races before riding in a steeplechase race with pari-mutuel wagering.

Considering establishing standards for backstretch worker housing at all race tracks.

Interactive Fantasy Sports

Considering the adoption of regulations implementing Article 14 of the Racing, Pari-Mutuel Wagering and Breeding Law.

Lottery

Considering administrative fees for the processing of prize payments.

Information may be obtained, and written comments may be submitted, regarding any of the above proposed amendments by contacting:

Kristen Buckley

New York State Gaming Commission

One Broadway Plaza

P.O. Box 7500

Schenectady, NY 12301-7500

(518) 388-3407

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Department of Health

The following regulatory actions are under consideration for submission as a Notice of Proposed Rulemaking from January through December 2020:

DESCRIPTION OF THE RULE SUBJECT MATTER

Title 10 NYCRR (Health)

2.1 Communicable Diseases - Modify the list of reportable diseases set forth in the New York State Sanitary code (10 NYCRR 2) to add new emerging infections and remove diseases that do not require a public health response. The addition of new or emerging cases to the list of reportable communicable diseases allows public health officials to prevent secondary transmission, identify new emerging infections, identify outbreaks and evaluate the effectiveness of control measures.

2.5 Communicable Diseases - Revise the list of reportable diseases in 10 NYCRR, section 2.5 (list of diseases for which physicians have a duty to submit specimens) to be consistent with those listed in section 2.1.

2.14 Communicable Diseases - Amend the regulations related to rabies to be consistent with changes enacted to the Public Health Law. The regulations will provide definitions and requirements for reporting human exposures, confinement of suspected animals and people exposed to them, quarantine of rabid animals or animals suspected of being rabid, and county responsibility for animal control related to rabies.

4 Protection Against Legionella – Amend Subpart 4-1 to revise and add definitions, provide additional specificity to the content of the maintenance program and plan, revise the sampling and inspection intervals, and amend other provisions. Amend Subpart 4-2 to clarify sampling intervals and revise provisions for reporting data and information collected as part of the environmental assessment form and the sampling and management plan.

5-1 Public Water Systems – Amend the regulation to incorporate maximum contaminant levels (MCLs) for several emerging contaminants that are not specifically regulated under the United States Environmental Protection Agency's (US EPA) Safe Drinking Water Act or the State Sanitary Code (10 NYCRR Part 5), that have been detected in New York State public water systems, that present a potential public health concern, and that were the subject of an MCL recommendation from the NYS Drinking Water Advisory Council. Additionally, amend the regulation to correct typographic errors, update references, and make minor technical revisions to conform with federal requirements for public drinking water systems in order to obtain primacy for the implementation and enforcement of federal drinking water regulations from the US EPA.

5-4 Classification and Certification of Community and Nontransient Noncommunity Water System Operators – Amend the regulation to include classification of operators certified to operate treatment systems that address emerging contaminants such as Legionella and 1,4-Dioxane.

5-6 Bottled and Bulk Water Standards – Amend the regulation to remove outdated references to analytical methods; remove references that are in conflict with United States Food and Drug Administration (FDA) requirements; and align MCLs to be consistent with Subpart 5-1 Public Water Systems.

6-1 Swimming Pools – Amend the regulation to update the swimming pool design and operation standards, using the Centers for Disease Control and Prevention's Model Aquatic Health Code as a guide. This will modernize the design standards, which were last updated in 1988, and provide consistency with national standards that are based on science and best practices.

6-2 Bathing Beaches - Amend the regulation to incorporate the recreational water quality criteria for bacterial pollution and toxins required by the United States Environmental Protection Agency (EPA) to make New York's regulations consistent with EPA requirements.

7-2 Children's Camps – Amend the regulation to require campers and staff to have evidence of immunity against certain vaccine preventable diseases or have a valid medical exemption to attend, work or volunteer at camps. Additionally, camps will be required to maintain records of immunization, screen for the signs and symptoms of illness upon arrival, and identify recent exposures to diseases for campers, staff, and volunteers.

14 Food Protection - Amend the regulation to consolidate all current subparts by adopting Chapters one through seven of the United States Food and Drug Administration (FDA) Model Food Code. Adopting the technical content of the Model Food Code will address the requirements of the Chapter Laws of 2001 and 2007, modernize Part 14 which was last amended in 1997, and provide consistency with national standards. The amendments will also promote uniformity among local health departments, many of which have already established local requirements more consistent with the FDA Model Food Code.

16 Ionizing Radiation - Amend the regulation to reflect consistency with federal regulations and mandates applicable to industrial use of radioactive material, radiation protection standards, security for high-risk radioactive sources, and license termination/decommissioning standards. The amendments will update the quality assurance requirements for diagnostic x-ray equipment to align with current equipment

and imaging modalities to ensure patient safety. The amendments will consolidate current requirements in 12 NYCRR Part 38 (NYS Department of Labor Ionizing Radiation) into 10 NYCRR Part 16, consistent with the merger of the NYS Department of Labor Radiological Health unit into the NYS Department of Health's Center for Environmental Health's Bureau of Environmental Radiation Protection program. Finally, the amendments will organize 10 NYCRR Part 16 into subparts and incorporate relevant Title 10 Code of Federal Regulations (CFR) provisions by reference for specific sections.

19 Clinical Laboratory Directors - Revise qualifications for directors of clinical laboratories to recognize professional boards accepted as qualifying under the federal Clinical Laboratory Improvement Amendments (CLIA).

22.7 Reportable Levels of Heavy Metals in Blood and Urine - Amend the regulation to remove the threshold levels for reporting cadmium, mercury and arsenic. All laboratory tests for cadmium, mercury and arsenic will be submitted to enable case monitoring to assist in assessing interventions and education to reduce elevated exposures.

22 Environmental Diseases - Amend the regulation to define the New York State Birth Defects Registry and program, and to describe how reports of birth defects diagnosed in NYS are received, maintained, shared, and used by the Department. The Department's New York State Birth Defects Registry is used to conduct epidemiological investigation and surveillance and to inform public health initiatives that seek to reduce the burden of birth defects in NYS. Amend Section 22.2 to correct a grammatical error regarding birth weight.

40-2 Performance Standards and Minimum Requirements for Core Public Health Services - Amend the regulation by adding section 40-2.59 Cooling Towers. The objective of this amendment is to conform to regulatory changes which were adopted into the New York State Sanitary Code, effective July 6, 2016.

40-2.57 Environmental Health Exposure Investigation, Assessment and Response; Performance Standards - Amend the regulation by correcting a wording omission and to clarify technical terminology.

46 Physically Handicapped Children - Amend the regulation to update and clarify coverage of medical and orthodontic services to children under the age of 21 years under the Physically Handicapped Children's Program. The proposed amendments will allow the inclusion of specific orthodontic procedures and criteria in the Department's Medicaid Dental Provider Manual.

52 Tissue Banks and Nontransplant Anatomic Banks – Amend and re-organize the regulation to update categories of tissues and activities, their definitions and requirements to reflect advances in technology and changes in industry standards and medical practice; update requirements that need to be met for tissue bank directors; revise requirements for procurement of tissue from deceased donors, including setting restrictions on banks' ownership and business relationships with funeral directors and funeral firms, and limiting recovery of tissue to specific locations; revise requirements for reproductive tissue banking; clarify requirements for activities subject to FDA oversight; revise requirements for compensation of donors; clarify requirements for tissue-derived products; clarify language for license denial and add language for other enforcement procedures, including license revocation, to be consistent with public health law.

55-2 Approval of Laboratories Performing Environmental Analysis - Amend the regulation to correct typographical errors; amend definitions to include commonly used terms that were not previously defined and remove definitions that are already addressed in either the national standards of testing or in federal regulations related to environmental testing; update the definition of Quality System Standards to reference the most up-to-date standards; remove the section pertaining to contract laboratory protocol as the protocol is no longer used by either NYS DEC or the federal government; amend record retention requirements to include retention time for potable water chemical analyses related to potable water supplies, method approval and critical agent testing to be consistent with other parts of the regulation and national standards; update the reasons for suspending a certificate of approval and denying an application for approval to be consistent with national standards of testing; amend requirements for proficiency testing to be

consistent with national requirements for environmental proficiency testing and redefine proficiency testing provider as one holding national accreditation; update the time for temporary direction of technical director to be consistent with current national standards for environmental laboratories; update requirements for technical directors and quality assurance officers; and revise the requirements for payment of travel expenses for laboratories located outside New York.

55-3 Environmental Laboratory Approval Fee – Amend the regulation to revise the timeline for setting fees charged to environmental laboratories to reflect the State budget process.

57 Rabies - Dogs at Large in Rabies Areas - Repeal this regulation as it is outdated since rabies is endemic in wildlife in New York. Important provisions will be included in section 2.14.

58-1 Clinical Laboratories – Amend the regulation to revise laboratory personnel requirements to reflect industry standards and NYS Education Department licensure requirements; revise clinical laboratory supervision requirements; update persons authorized by law to request the examination of specimens; clarify requirements for the issuance of permits, provisional permits and restricted permits; clarify mandatory on-site presence requirements for laboratory directors; clarify enforcement actions for failure to notify the Department of changes in laboratory directorship; establish standards for tracking and referral of critical agent and communicable disease specimens; establish standards for demonstrating the technical and clinical validity of test methods; codify the requirements for retention of work product used in diagnostic interpretation; revise cytotechnologist workload standards to comply with federal CLIA standards; require that the address of the patient be captured on the accessioning records and the laboratory report to comply with 10 NYCRR Part 2 for reporting of communicable diseases.

58-2 Blood Banks and Laboratories Performing Immunohematology Testing - Amend the regulation to clarify requirements for reinfusion procedures; modify the requirements for the collection and handling of blood for subsequent transfusion; establish requirements for the issuance of blood, blood components and derivatives during routine and emergency situations; revise donor qualifications, collection and testing requirements for whole blood, apheresis and serial plasmapheresis; update record retention requirements to be consistent with the FDA and industry standards; amend requirements for standard operating procedures; amend the standards for transfusion and immunohematology testing requirements; clarify personnel and supervisory requirements for serial plasmapheresis and apheresis collection of blood components; clarify requirements for transfusions that occur outside of a hospital setting and during interfacility transport; and revise criteria for exceptions to reflect industry standards.

58-3 Clinical Laboratory Inspection and Reference Fees – Amend the regulation to clarify the definitions of gross annual receipts and prevailing rate for testing services; clarify reportable gross annual receipts for laboratories located outside New York; and revise the requirements for payment of travel expenses for laboratories located outside New York.

58-5 Hematopoietic Progenitor Cell Banks - Update requirements for donor suitability determination, infectious disease testing, and record keeping related to hematopoietic progenitor cell (HPC) donation and transplantation. Amend the regulations to require the HPC bank medical director to establish a policy regarding testing allogeneic donors for West Nile virus, Trypanosoma cruzi, and hemoglobinopathies.

58-8 Human Immunodeficiency Virus (HIV) Testing - Amend regulations to provide consistency with HIV testing requirements in Public Health Law and supporting regulations in Part 63. Address updated technologies and revise testing algorithms for the management of HIV.

59 Chemical Analysis of Blood, Urine, Breath or Saliva for Alcoholic Content – Amend the regulation to update requirements for blood alcohol testing described in section 59.3; update the list of approved evidential breath measurement devices listed in section 59.4; update section 59.10 to be consistent with current model specifications adopted by the National Highway Traffic Safety Act (NHTSA)

as published in the Federal Register on May 8, 2013 (78 Fed. Reg. 26849 – 26867); and add language that allows the delegation of authority by the commissioner to others in the Department.

60-1 WIC Program - Amend regulations to clarify or add definitions and update terminology as needed to accurately describe eWIC transactions in this section and throughout subpart 60-1. Amend to eliminate participant and vendor violations made obsolete by eWIC; and add provisions pertinent to eWIC. Further amend section 60-1.7 to establish two new participant program violations. Further amend section 60-1.8 to remove fixed limits on monetary penalties and periods of disqualification for vendors. Amend such that 60-1.11 exclusively addresses hearings concerned with disciplinary actions (i.e., disqualification or imposition of a civil money penalty or fine), and section 60-1.12 exclusively addresses hearings concerned with actions that affect contract status (i.e., denial of an application or termination of a contract). Amend section 60-1.13 to incorporate all federal vendor enrollment criteria by reference; strengthen business integrity provisions such that a history of multiple civil money penalties (CMPs) is grounds for application denial; and grant the Commissioner of Health or his/her designee authority to define participant access criteria and vendor limiting criteria in program policy.

60-1.13 Vendor Applicant Enrollment Criteria - Amend regulations to conform to USDA program requirements regarding vendor authorization and management including vendor participant ratio, geographic proximity and transaction volume of nearby vendors.

63.4 Filing of Reports – Amend current regulations that require the reporting of persons with HIV infection and AIDS to NYSDOH from 14 days to 24 hours.

66-2.1 through 66-2.9 Immunization - Amend regulations to be consistent with current Advisory Committee on Immunization Practices and Centers for Disease Control and Prevention vaccine recommendations. The regulation will be amended to require two doses of mumps-containing vaccine for attendance at a post-secondary institution. Language regarding certificates of immunization will be amended to remove physician diagnosis of mumps and/or measles disease and add laboratory confirmation of mumps, measles and rubella disease. In addition, language regarding attendance requirements, non-compliance, exclusion criteria, and exemptions will be clarified and expanded.

67 Lead Poisoning Prevention and Control – Amend Subpart 67-2 to remove outdated terminology, add provisions for clearance dust sampling, and update lead safe work practice requirements. In addition, amend Subpart 67-3 for consistency with Subpart 67-1.

67-4 Lead Testing in School Drinking Water – Establish regulations for all school districts and boards of cooperative educational services (BOCES), including those already classified as a public water system under Subpart 5-1, to test potable water for lead contamination and to develop and implement a lead remediation plan, where applicable.

69-2 Umbilical Cord Blood Testing - Amend regulations to reflect recent changes in laboratory practices for the diagnosis of syphilis.

69-4 Early Intervention Program - Amend the regulations, as needed, to comply with 34 CFR Parts 300 and 303. Contingent on approval by the Centers for Medicare and Medicaid Services of an amendment to the Medicaid State Plan, revise 10 NYCRR 69-4.30 to authorize the commissioner to establish a revised payment methodology for service coordination services and to accommodate changes in personnel qualified who can provide early intervention services. Amendments will address quality and consistency of EI service delivery and align with changes in Public Health Law that lowered the definition of an elevated blood lead level in children.

69-8 Newborn Hearing Screening - Amend the regulation to align with 2010 changes to Public Health Law section 2500-g regarding reporting of infant hearing screening by licensed health care professionals, and collection and use of such data by the Department. Amend section 69-8.4 to require a two-stage infant hearing screening prior to discharge to align with the national standard of care.

70 Regulated Medical Waste - Revise the requirements for the labeling of regulated medical that will be transported off-site for treatment to be consistent with requirements of the United States Department of Transportation (USDOT) and New York State Department of Environ-

mental Conservation (NYSDEC). Part 70 currently requires the labeling of primary container with the name and address of the generator if the waste is transported off-site for treatment. USDOT and NYSDEC regulations do not require this label if the primary container will be placed in a secondary container that is a bulk container used by a single generator.

71 Requirements for Vent-Free Gas Space Heating Appliances - Amend the regulation to modify language requirements for an appliance shipping carton label as defined by Section 71.3(a). Notable changes include updates to the language on the shipping carton label to reflect requirements mandating installation of a carbon monoxide detector with the use of fuel burning appliances in residential and commercial settings (Executive Law Section 378 Standards for New York State Uniform Fire Prevention and Building Code (Uniform Code) 5-a and 5-d) and enhancement of consumer education about proper use and maintenance.

72-1 Tanning Facilities - Amend the regulations to improve clarity and to conform with a 2018 amendment to Public Health Law Article 35-A, prohibiting the use of commercial ultraviolet indoor tanning devices by minors, and modifying the definition of Tanning Facility to include establishments that do not charge a direct or indirect fee for tanning services.

72-2 Body Art - Establish regulations to be consistent with Public Health Law Article 4-A, Regulation of Body Piercing and Tattooing. The regulations will provide definitions and requirements for permit, inspection, ink handling procedures (as approved by the Department), operation of tattooing facilities, and the licensing of tattoo artists.

73 Asbestos Safety Training Program Requirements - Amend the regulations to incorporate changes made by the New York State Department of Labor to 12 NYCRR Part 56 as well as changes that have occurred in the industry that should be reflected in the training programs.

74 Approval of Realty Subdivisions - Amend the regulation to update and clarify requirements for plan submittals and approvals of realty subdivisions.

80 Controlled Substances - Amend the regulations related to the Prescription Monitoring Program (PMP) Registry for collecting, monitoring and reporting data concerning the prescribing and dispensing of controlled substances. Amended regulations also will supplement recently adopted regulations that reflect statutory changes requiring the use of electronic prescribing for all prescriptions with limited exceptions; will relate to the treatment of narcotic addiction and associated requirements to allow for the ability to treat a greater number of patients by authorized physicians in conformance with federal regulations; will update reporting requirements for Methadone Maintenance Treatment Programs to conform to changes made to Public Health Law section 3352; will relate to the storage, surrender and disposal of controlled substances; will outline the training requirements associated with certification of Euthanasia technicians (for animals) as required by section 374(3)(b) of the Agriculture and Markets Law; will allow for interstate sharing of PMP information; will amend regulations related to the disposal of medications and will update exceptions, reclassification and exemptions of scheduled controlled substances.

80.138 Opioid Overdose Programs - Amend the regulations to update program standards.

83-2 Certificate of Public Advantage - Amend the regulations to revise provisions related to issuance of a Certificate of Public Advantage.

85.13 Physically Handicapped Children - Repeal the regulation thereby allowing providers outside of the Physically Handicapped Children's Program to provide hearing assessments and order hearing aids for Medicaid eligible children.

86-1 Rebase Hospital Inpatient Rates - Amend the regulation to implement an updated cost base year in the acute hospital inpatient rates for non-comparable costs and to provide reimbursement to hospitals for residents that are displaced due to a teaching hospital closure.

86-1.13 Certified home health agency rates - Amend the regulation to allow for minimum wage costs.

86-1.15 Definitions - Amend the regulation to allow for additional costs to be included in the acute rate method due to the increase in the minimum wage.

86-1.20 Add-ons to the case payment rate per discharge - Amend the regulation to allow for additional costs to be included in the acute rate method due to the increase in the minimum wage.

86-1.21 Outlier and transfer cases rates of payment - Amend the regulation to clarify the temporary rate change policy.

86-1.23 Exempt Units and Hospitals - Amend the regulation to allow for (1) additional costs to be included in the Critical Access Hospital and Medical Rehabilitation Exempt Unit rates method due to the increase in the minimum wage, (2) pediatric ventilator services in the Medical Rehabilitation Exempt Unit rate and (3) specialized services within the Psychiatric Unit rate.

86-1.23 Exempt Units and Hospitals - Amend the regulation for an adjustment to the physical medical rehabilitation rate calculation for pediatric ventilator services.

86-1.31 Mergers, acquisitions and consolidations - Amend the regulation to clarify the temporary rate change policy.

86-1.46 Empire Clinical Research Investigator Program (ECRIP) - Amend the regulation to update the qualifications of researchers as project directors in teaching hospitals for ECRIP and remove the language that prohibits teaching hospitals from funding clinical research positions that were previously funded by such teaching hospital. This amendment will expand the type of research experience that mentoring researchers bring to ECRIP projects and promote the high quality of research projects submitted and approved under the program.

86-1.47 Hospital Indigent Care Pool Payments - Amend the regulation to extend the Indigent Care Pool Methodology from January 1, 2019 through December 31, 2020.

86-1.48 Hospital Quality Pool - Add regulations to establish the hospital quality pool to be consistent with the recently enacted changes to the Public Health Law. The regulation will provide the methodology for distribution and the requirements for maintaining payments from the pool.

86-1.49 Sole Community Hospital Enhanced Payments - Add regulations to establish the sole community hospital enhanced payments to be consistent with the recently enacted changes to the Public Health Law. The regulation will define what hospitals are eligible and provide the methodology for distribution.

86-2 Nursing Home Quality Incentive - Amend the regulation to provide an incentive for nursing homes to improve quality by linking payments to quality.

86-2 Young Adult Special Populations Programs: Add regulations to provide for up to three young adult special populations demonstration programs to provide cost effective, necessary services and enhanced quality of care for targeted populations. The targeted population shall be those persons age twenty one to thirty five; are aging out of a pediatric acute care hospitals, pediatric nursing homes or children's residential homes; and have been diagnosed with severe and chronic medical or health problems which may be combined with developmental disabilities.

86-2.9 Adult Day Health Care Real Property Lease Reimbursement - Amend the regulation to allow for reimbursement for Adult Day Health Care real property leases under limited circumstances.

86-2.10 Computation of Basic Rate - Amend the regulation to remove transportation expense as an allowable cost in the base. Additionally, the regulation will be amended to recognize the addition of a new Neurodegenerative specialty to care for residents with Huntington's disease (HD) and Amyotrophic Lateral Sclerosis (ALS).

86-2.40 Statewide Prices for Non-Capital Reimbursement - Amend the regulation to update the nursing home reimbursement prices to reflect the removal of transportation as an allowable cost and to revise the prices sufficient to restore into the base half of the ATB rate cut. Shall also include a provision to recognize minimum wage increases.

86-2.42 Nursing Home Quality Pool Reimbursement - Amend the regulation to conform the formula for the NHQP to the measures by the Nursing Home Quality Initiative program.

86-4.9, 86-8.14, 401.2 Physician Home Visits for Hospitals and Clinic - Amend the regulations to allow primary care services to be provided offsite by all Article 28 outpatient departments of general hospitals and Diagnostic and Treatment Centers (D&TCs) and both to be reimbursed consistent with what is currently allowed for Federally Qualified Health Centers (FQHCs), which is a subset of the D&TCs

Regulations are in final draft that implement PHL 2803(11), which authorizes provision of primary care in the home by staff from hospital-based outpatient locations and D&TCs. These regulations will modify Sections 405 and 751.

86-4.21 – Allowable Costs – Amend the regulation to allow for additional costs to be included in the Ambulatory Payment Group and Federally Qualified Health Center's rate method due to the increase in the minimum wage.

86-4.33 - Safety Net Payment – Addition of a regulation for the qualifications and distribution method of the Safety Net Payment for freestanding Article 28 and Article 31 clinics.

86-6.2 Hospice Non-Residence Rates – Amend the regulation to include a description of the service intensity add-on for services provided by a registered nurse or social worker during the last 7 days of a beneficiary's life, as required by Federal changes.

86-7 ALPs Billing for Assessment - Add regulations to provide for reimbursement of the cost of preadmission assessments conducted directly by assisted living programs.

86-7.2 Computation of the rate of payment – Amend the regulation to allow for added costs as part of minimum wage.

86-7.3 Adjustments to Rates of Payment – Amend the regulations to allow for rebasing of ALP provider rates, both for capital and program.

86-8.4 Capital Cost Reimbursement - Add regulations to revise the capital component reimbursement methodology of Article 28 Free-standing Clinics.

86-8.8 Base rates – Amend the regulation to allow for additional costs to be included in the Ambulatory Payment Group base rates due to the increase in the minimum wage.

86-10 Interim Funding for High Cost Individuals - Amend regulations to reflect availability of interim funding to providers for individuals with high cost staffing needs. Funding would be available until cost for serving the individual is reflected in their cost reporting.

86-10 Rate Rationalization for Community Residences (CRs) / Individualized Residential Alternatives (IRAs) Habilitation and Day Habilitation – Amend the regulation to allow for minimum wage costs.

86-10 Rates for “Take-Over” of Another Agency - Amend regulations to revise reimbursement methodology when ceasing operations of another agency.

86-10 and 86-13 Rates for Specialized Funding - Amend regulations to authorize the shift of funding for services from BIP to the HCBS waiver due to limited BIP funding. Date may be extended from October 1, 2015 back to April 1, 2014.

86-10 Clinical Rate Change - Amend regulations to revise rates regarding direct hands-on therapies, nutrition, and psychology services.

86-11 Rate Rationalization for Intermediate Care Facilities for Persons with Developmental Disabilities (ICF/DDs) – Amend the regulation to add Children's Residential Program Fees and Active Treatment.

86-11 Specialty Hospital – Add regulations to provide for reimbursement of Specialty Hospital services.

86-13 Rate Rationalization for Prevocational Services (Site-Based and Community-Based), Respite (Hourly), Supported Employment and Residential Habilitation (Family Care) – Amend the regulation to allow for minimum wage costs.

86-13 Respite Rate Caps - Amend regulations to create a new methodology to address caps on respite and enhance access to services.

86-13 Correction to Prevocational Rate - Amend regulations to remove production costs from prevocational rate methodology, effective 7/1/16.

96 License and Registration – Amend the regulations making

technical corrections to clarify and update the licensure program. Specifically: amend (1) 96.1 to delete the advisory council language as it is no longer considered necessary; (2) 96.2 to add language that the Board shall have the administrative authority to waive any provision of this subpart if determined appropriate by the board in its sole discretion; (3) 96.5 to include the provision of the applicant's fingerprints and required criminal history information review by the board and add other clarifying language; (4) 96.1 to correct spelling; (5) 96.3 to add language that certificates of registration shall be signed by the commissioner or the commissioner's designee; (6) 96.4, to revise language to change the registration process from the BENHA board's responsibility to the Department's responsibility and update the registration language to current terminology; (7) 96.5, to make technical corrections and change the exam trial period for applicants; (8) 96.8, to add language to define the acceptable course levels; (9) 96.9, to remove the requirement that approved courses will appear on a listing; (10) 96.11, to add language to define the continuing education requirements; (11) 96.12, to add language to broaden the qualifications for out-of-state applicants, add secure electronic delivery language and change the exam trial period for applicants; (12) 96.13, to update notification language with email and primary telephone language.

98-1 Various Technical Amendments - Revise the following regulations, making technical corrections: (1) 98-1.9(b)(3), requiring managed care organizations (MCOs) to provide assurances of continuing compliance with Article 49 of the Public Health Law, in addition to Article 44 and Part 98; (2) 98-1.11(h), restoring language that prohibits health maintenance organizations (HMOs) from discriminating in enrollments and services provisions; (3) 98-1.11(k)(4), clarifying that the MCO is responsible for monitoring contractors' fiscal stability; (4) 98-1.11(q), clarifying that MCOs must comply with Article 49 of the Public Health Law, in addition to Article 44 and Part 98; (5) 98-1.13(c)(iii), correcting a 2005 change which inadvertently limited provider contract assignments to within one year of promulgation of the rule to reflect that the rule applies prospectively; and (6) amending 98-1.5(b)(6)(vii)(e)(2), clarifying that when an MCO delegates management functions to an IPA, that a separate management contract is required between the MCO and IPA, separate from the delivery of service contract.

98-1.5 Application for a Certificate of Authority - Amend the regulations to require electronic submission of the managed care organization's provider network, consistent with the filing requirements in 98-1.16(j).

98-1.6 Issuance of the Certificate of Authority - Amend the regulations to add a provision requiring managed care organizations (MCOs) to maintain a complete file on each request for health care services or benefits and associated appeals pursuant to Article 49 of the Public Health Law and federal law and regulations.

98-1.8 Continuance of a Certificate of Authority - Amend the regulations to clarify that managed care organizations must maintain compliance with the requirements of PHL Articles 44 and 49 and 10 NYCRR Part 98, including provisions related to initial application and certification standards, in order to maintain their certificate of authority.

98-1.13 Assurance of Access to Care - Amend the regulations to: (1) require that managed care organizations (MCOs) ensure each member has selected a primary care provider from which the member receives all primary care services; (2) address requirements related to subdivision 5-d to section 4406-c which imposes a “cooling off” period after termination or non-renewal of a contract between an MCO and a hospital; (3) amend regulations to clarify that certain out-of-network service denial notices must include internal MCO and external appeal rights afforded by section 4904(1-a) and (1-b); and (4) promote consistency of initial adverse determination notices issued in accordance with section 4903(5) by clarifying notice content requirements.

98-1.18 MCO Agreements - Amend the regulations to expand the scope of this section to include, as applicable, the relationships between MCOs and licensed pharmacies and laboratories—where the pharmacies and laboratories arrange and/or act as benefit managers

for services, equipment, and supplies—and the relationships between these entities and the providers of the services, equipment, and supplies.

98-2.11 Enrollee rights and responsibilities – Amend the regulation regarding MCO enrollee rights and responsibilities for fair hearings when services are denied or discontinued.

128 New York City Watershed Rules and Regulations - Amend the regulations to incorporate requirements intended to protect New York City's (NYC) Watersheds and preserve NYC's Filtration Avoidance Determination by providing various limitations on watershed activities and construction.

360-10.8 Fair Hearings – amend regulations regarding MCO enrollee rights and responsibilities for fair hearings when services are denied or discontinued.

401 Amend regulations at 401.2(4), 405.20 and 751.5 to provide that primary care services provided by outpatient clinics of general hospitals and diagnostic and treatment centers may include off-site primary care services away from a facility's licensed site, consistent with the Chapter 450 of the Laws of 2016.

402 Criminal History Record Check Program – Update Criminal History Record Check regulation to conform to recently enacted changes to the Public Health Law. The regulations, which currently cover certain prospective employees of residential health care facilities, certified home health agencies, licensed home care services agencies, and long term home health care programs, will now include definitions and requirements for adult care facilities and hospice programs serving individuals at home across New York.

404 Integrated Outpatient Services – Amend the regulations to add a pathway for providers with a single license to integrate behavioral health services without applying for additional licensure/certification. Amend regulations that speak to physical plant standards in order make consistent with new physical plant categories.

405.21 Perinatal Services - Perinatal hospital standards to be reviewed and updated to be consistent with national authorities based on a literature review and input from an expert workgroup of clinicians and key stakeholders. The regulations will address the professional qualifications of the obstetric and pediatric staff, the requirements for consultation with a qualified specialist when required by specific medical conditions, protocols and resources available to stabilize and assess newborns for their need of neonatal intensive care, and the daily care of maternity patients and infants in the perinatal service.

405.25 Organ and Tissue Donation Anatomical Gifts – Amend the regulation to conform to changes to Article 43 of the Public Health Law made by several statutory amendments including Chapter 248 of the Laws of 2017.

405.31 Living Donor Transplantation Services – Amend the regulation to conform to changes to Article 43 of the Public Health Law made by several statutory amendments including Chapter 248 of the Laws of 2017.

415 Nursing Homes - Amend the regulations to align with new Long-Term Care Facility Requirements of Participation (effective November 28, 2017) and rearranging of regulatory groups.

415.18 Pharmacy Services – Amend the regulation so that it is consistent with the provisions of 8 NYCRR 29.7(a) (special provisions for the profession of pharmacy) regarding re-dispensing medications.

425 Adult Day Health Care - Amend the regulations to align with the Home and Community Based Services Rule.

600.1, 600.3 - 600.7; 610.1 - 610.2; 620.1 - 620.3; 630.1; 640.2 - 640.3; 650.1 - 650.2; 670.1 - 670.6; 680.2; 680.4 - 680.6; 680.8 - 680.10, 705.9 Public Health and Health Planning Council (PHHPC) - Amend the regulations to change references to the Public Health Council to the Public Health and Health Planning Council; and to delete references to the State Hospital Review and Planning Council.

600.2 and 610 Special Requirements for Nonprofit Corporations - Amend the regulation to require review of the members of a nonprofit corporation proposing to operate a hospital, whether or not such members are proposed to exercise powers under section 405.1, except for members proposed to exercise powers set forth in subdivision (d)

of section 405.1; add a section to require a previously established non-profit corporation seeking to add a member that will not exercise powers set forth in section 405.1 to submit a notice to the Department describing the background and qualifications of such member, and the benefits and scope of the proposed member's relationship to the corporation, as evidenced by organizational document; except for members appointed to exercise powers set forth in subdivision (d) of section 405.1. The amended regulations will provide that if not recommended for disapproval by the Department within 90 days, the proposed addition shall be deemed approved.

705.7, 708.1, 710.1, 710.2, 710.5 Public Health and Health Planning Council (PHHPC) - Amend the regulations to change references to the State Hospital Review and Planning Council to the Public Health and Health Planning Council.

709.3 Residential Health Care Facility Beds – Amend the regulation to update the need methodology used to estimate the need for residential health care facility beds.

709.6 Extracorporeal Shockwave Lithotripters - Repeal this regulation pertaining to the need methodology for extracorporeal shock wave lithotripters. Under amendments filed in 2010, these devices are subject only to limited review, which does not involve consideration of public need. This section is therefore obsolete.

709.14 Determination of Public Need for Cardiac Services - Amend the regulation to update the criteria for approval of new cardiac programs and services as per recommendations from the Governor's Regulatory Modernization Initiative.

709.17 Long-Term Ventilator Beds - Amend the regulation to update the need methodology used to estimate long-term ventilator beds.

710.7 Approval to Start Construction - Amend the regulation to repeal current provisions and replace with an expedited construction process.

711.3 General Standards of Construction - Site Requirements - Amend the regulation to require health facilities to install flood resistant emergency generators and fuel supplies, readily accessible generators and fuel pumps, external pre-connections in power systems for use in the event of an emergency power system failure and on HVAC systems for temporary boiler and chiller back-up and ensure that the emergency power generation capacity is capable of powering the HVAC system during a power outage. The regulation will also be amended to increase the flood crest level year from 100 to 500.

711, 712, 713, 714, 715 and 716 Architectural, Engineering and Construction Standards for Hospitals, Nursing Homes, Diagnostic and Treatment Centers, and Other Facilities Subject to Article 28 of the Public Health Law – Amend the regulations to require that future health care facility construction projects conform to the 2018 edition of Guidelines for Design and Construction of Health Care Facilities.

721.4 Patient Care and Patient Transfers - Amend the regulations to allow release to “the sending hospital or other hospital providing a lower level of perinatal services.....” to conform with proposed changes to section 86-1.15, section 405.21 and current language in section 721.4(c)(1).

721.4 Statewide Perinatal Regionalization System - Perinatal hospital standards to be reviewed and updated to be consistent with national authorities based on a literature review and input from an expert workgroup of clinicians and key stakeholders. The regulations will provide definitions and requirements for level of care designations as well as patient care and patient transfers, qualifications and responsibilities of staff and ancillary personnel, quality improvement activities, and affiliation and transfer agreements.

722 Sexual Assault Forensic Examiner (SAFE) Program - Amend regulations related to the review and approval of licensed Article 28 hospitals as Sexual Assault Forensic Examiner (SAFE) programs. This requires replacing “the Department's Protocol for the Acute Care of Adult Patient Reporting Sexual Assault” with “A National Protocol for Sexual Assault Medical Forensic Examinations Adults/Adolescents” by the U.S. Department of Justice. In addition, approved SAFE programs are required to meet all generally accepted standards of medical care and State laws for sexual assault patients, including Public Health Law (PHL) section 2805-i and 10 NYCRR subdivision

(c) of section 405.9. A recent statutory provision within the New York State Budget revised PHL 2805-i to extend the length of time sexual offense evidence collection kits are preserved from 30 days to 20 years. 405.9 Maintenance of Sexual Offense Evidence must also be revised to meet this new standard of care.

760.5 Certified Home Health Agency (CHHA) Determinations of Public Need - Amend the regulation to update the need methodology used to estimate the need for CHHAs.

765 Approval of Home Care Services Agencies - Add a new section delineating a need methodology for Licensed Home Care Services Agencies (LHCSA's) pursuant to Section 9-b of Chapter 57 of the laws of 2018.

790.16 Determination of Public Need for Hospice - Amend the regulation to update the need methodology used to estimate the need for hospice care and services.

800 Emergency Medical Services (EMS) - General - Amend the regulations to conform with federal requirements/recommendations, current medical practice and national safety standards. Add regulations related to the use and application by members of the public of automatic external defibrillators; clarify requirements for Advance Life Support First Response Agencies; clarify requirements for Basic Life Support Providers; and update EMS certification and training requirements. The proposed amendments would modernize course sponsors provisions to address the current environment and technology as well as reflecting the current EMS education curricula; strengthen the surveillance portions of these provisions to appropriately address issues of quality, student rights and safety; and establish a new section on the mobilization and/or sharing of resources in the event of a declared disaster. Finally, the regulations would be amended to reflect current ambulance vehicle construction requirements, technology and safety for the patients and EMS providers.

Amend the regulations to reflect current EMS industry standards for ambulance/EMS vehicle construction, safety issues, medical devices and equipment, business and operational practices, quality management, mutual-aid/communication/interoperability, and other areas associated with a modern EMS system.

1001 Assisted Living Residences - Amend the regulation to consolidate and streamline provisions relating to assisted living residences as they exist in adult homes and enriched housing programs to reflect the changing environments of these types of facilities. Amendments will provide clarification and consistency to residents, operators and the public with regards to assisted living residences, including changes to the admission, assessment and medication management processes. Amendments will also include language prohibiting care and service delivery by individuals not employed by the operator or, if not employed by the operator, not qualified to deliver such services.

1001.13 Structural and Environmental Standards - Amend the regulations making technical updates to clarify and update the assisted living residence structural and environmental requirements.

1004 Medical Use of Marihuana - Amend Part 1004 to revise requirements related to the medical use of marihuana established by Title 5-A of Article 33 of the Public Health Law.

Title 18 NYCRR (Social Services)

360 Medicaid - Amend the regulations as necessary to conform to statutory changes made by Part D of Chapter 56 of the Laws of 2013 with respect to Medicaid applications and determinations, financial eligibility methodologies, and covered benefits.

485, 486, 487, 488, 490 and 494 Adult Homes, Enriched Housing Programs, Residences for Adults and Assisted Living Programs - Amend the regulations to consolidate and streamline provisions relating to adult homes, enriched housing programs, residences for adults and assisted living programs to reflect the changing environments of these types of facilities. Amendments will provide clarification, consistency and transparency for residents, operators and the public with regards to the care and services available to residents and prospective residents, and provided by adult care facilities and will support quality assurance and performance improvement for better resident outcomes. Amendments will also strengthen enforcement activities and further clarify the imposition of civil penalties for regulatory non-compliance.

485.14 Access to Adult Care Facilities - Amend the regulations to align with the Home and Community Based Services Rule.

487.5 Resident Protections - Amend the regulations to align with the Home and Community Based Services Rule.

487.7 Resident Services - Amend the regulations to align with the Home and Community Based Services Rule and with Social Services Law 461-m.

487.11 Environmental Standards - Amend the regulations to align with the Home and Community Based Services Rule.

488.5 Resident Protections - Amend the regulations to align with the Home and Community Based Services Rule.

488.7 Resident Services - Amend the regulations to align with the Home and Community Based Services Rule and with Social Services Law 461-m.

488.11 Environmental Standards - Amend the regulations to align with the Home and Community Based Services Rule.

490.5 Resident Protections - Amend the regulations to align with the Home and Community Based Services Rule.

490.7 Resident Services - Amend the regulations to align with the Home and Community Based Services Rule and with Social Services Law 461-m.

490.11 Environmental Standards - Amend the regulations to align with the Home and Community Based Services Rule.

505 Children's Services - Add regulations governing Medicaid coverage of new services for children, including crisis intervention, psychosocial rehabilitation, family peer support services, youth peer support and training, and community psychiatric supports and services. Coverage is dependent on CMS approval of a Medicaid State Plan amendment. Regulations will address requirements for designating providers who are qualified to provide such services.

505 Medical Assistance - Add or amend regulations to set forth the requirements for the Community First Choice Option (CFCO). CFCO is a program that will provide additional federal matching funds for home and community based attendant services and support provided to certain individuals who require an institutional level of care, pursuant to a person-centered plan of care.

Another potential area of new regulation is the Home and Community-Based Settings Final Rule, which requires the State to file a transition plan detailing steps it will take to implement the requirements of the rule. We will have a better sense of whether or not this is necessary after conducting provider surveys and various validation exercises for those programs that were up and running under a 1915(a) or 1115 (B).

505.1 and 505.3 Medical Assistance Services - Amend the regulations regarding prescription and over-the-counter medications and supplies available to eligible members. These regulations specifically exclude medical care, services and supplies furnished solely to promote fertility.

505.3(b)(1) Drugs - Amend the regulations to conform to the provisions of the Affordable Care Act (ACA) requiring prescribers to be enrolled in state Medicaid programs to be eligible to order or refer services reimbursed by the fee-for-service (FFS) Medicaid program.

505.7 Laboratory Services - Amend the regulations to align with current practice standards; clarify who can order laboratory services, testing under a standing order, and clarify the location of materials such as manuals.

505.10 Transportation for Medical Care and Services - Amend the regulations to reflect current policies; definitions will be modified, quality standards for transportation will be introduced including enhanced safety protocols for enrollees, background checks for drivers, and licensing standards; trip documentation requirements will be revised, and existing information regarding the involvement of local county departments of social services in the administration of the transportation benefit will be removed.

505.11 Rehabilitation Services - Amend the regulations to align with State Education law, federal guidelines, and current standards of practice; clarify who can order rehabilitation services, particularly speech-language pathology services provided to Medicaid recipients;

clarify supervision requirements for services provided “under the direction of” speech-language pathologists, occupational therapists, and physical therapists.

505.12 Podiatry Services - Amend the regulation to expand podiatry coverage to Medicaid eligible adults with a diagnosis of Diabetes Mellitus. This will align the regulation with 2012 changes made to state social service laws.

505.14 Appeal Submission – Amend the regulation governing the appeal submission process for Personal Care. Remove language about issuing rates prior to becoming effective and replace with a single appeal process.

505.14 – Personal Care Services - Amend the regulation to allow for added costs due to the increases in minimum wage.

505.14 Rural County Investment – Rural counties experience higher costs due to geographic distance, and this add-on is being developed to mitigate that impact. The regulation implements a Rural County Investment rate add on for Personal Care, as per 2018-19 State Enacted Budget.

505.15 Psychiatric Care - Amend the regulations to align with federal requirements regarding who may provide school supportive health services.

505.18 Clinical Psychological Services - Amend the regulations to align with federal guidelines and current standards of practice and clarify which practitioners are qualified to provide services in the Preschool/School Supportive Health Services Program to Medicaid recipients.

505.28 Consumer Directed Personal Assistance Program – Amend the regulation to change the methodology by which a fiscal intermediary’s administrative services are reimbursed.

505.31 Audiology, Hearing Aid Services and Products – Amend the regulations to align with federal and State and current standards of practice and clarify which practitioners are qualified to provide services.

505.31(d)(e)(1) Audiology, Hearing Aid Services and Products - Amend the regulations to align Medicaid regulations with federal guidelines, State Education Law and current standards of practice and clarify who can order audiology services.

505.33 Personal Emergency Response Services (PERS) - Amend the regulations to allow for annual authorizations and to delete the requirement that authorization of PERS be contingent upon a reduction/elimination of personal care aide/home health aide hours.

522 Medicaid Billing for Pre-School Services – Amend the regulation to align with SPA #09-61. Revisions are needed as there is only one Article 28 facility left who bills Medicaid directly for IEP services.

Office for People with Developmental Disabilities

Pursuant to subdivision 1 of section 202-d of the State Administrative Procedure Act (SAPA), notice is provided of the following rules that the Office for People With Developmental Disabilities (OPWDD) is considering proposing, but for which a rule making proceeding has not begun. All following references to regulatory provisions are to Title 14 of the New York Code of Rules and Regulations. Please note that the regulatory plans of OPWDD are subject to change. OPWDD reserves the right to add, delete, or modify items appearing on this list. Further, as indicated in SAPA section 202-d (2), OPWDD is not required to propose or adopt any rule listed on a regulatory agenda and may propose or adopt a rule that has not been listed on an agenda.

Publication of this notice is intended to further assure that small businesses, local governments, and public and private interests in rural areas are given an opportunity to participate in the rule making process, as provided by sections 202-b and 202-bb of SAPA. Each rule listed below may require a regulatory flexibility analysis or a rural flexibility analysis, pursuant to SAPA sections 202-b and 202-bb, respectively.

The public is welcome to send written comments regarding this regulatory agenda to the agency representative indicated at the end of this list.

The following rules are under consideration for submission as a Notice of Proposed Rulemaking during the calendar year 2020:

DESCRIPTION OF THE RULE SUBJECT MATTER

Title 14 NYCRR (Mental Hygiene)

Freedom of Information Law - to update the Freedom of Information regulations.

Advanced Healthcare Directives - to allow an individual with an advanced healthcare directive to authorize his/her health care agent to commence decision-making immediately upon the execution of a health care proxy.

Objection to Services Updates - to streamline and standardize processes for objecting to services.

Plan of Care Supports and Services (PCSS) Liability Regulations - to add Plan of Care Supports and Services as a covered service under OPWDD’s Liability regulations.

Life Safety Code - to implement a recent update in the Life Safety

Conflict of Interest and Case Management Requirements - to address potential conflicts with service delivery and service coordination.

Person-Centered Planning - to amend requirements to ensure consistency with person-centered planning regulations.

Supported Decision-Making - to implement supported decision-making practices.

Delegation of Nursing Tasks to Direct Support Professionals - to implement changes to the Nurse Practice Act.

Enrollment Authorization for Independent Practitioner Services for Individuals with Developmental Disabilities - to allow authorization of providers’ enrollment into Independent Practitioner Services for Individuals with Developmental Disabilities.

Repeal Rate Appeal Processes - to repeal processes for appealing rate methodologies as this function now rests with the Department of Health.

Repeal of Rate Setting Authority - to repeal rates and rate setting methodologies as rulemaking authority for rates now rests with the Department of Health.

Intermediate Care Facilities (ICF) Closure and Conversions - to require ICF conversion compliance as necessary.

Day Habilitation with/ without Walls – to define programmatic standards for day habilitation with/ without walls.

Life Plan Signatories – to establish a “hierarchy” for approval signatures on a Life Plan when an individual lacks capacity to sign.

Regulatory updates – to amend current regulatory language to reflect the changes due to Health Homes/Care Coordination.

Supported Employment – to clarify billable activities and documentation requirements.

Extended Treatment Units – to implement within Intermediate Care Facilities (ICF) to provide specialized treatment.

RULE REVIEW

Education Department

Section 207 of the State Administrative Procedure Act (SAPA) requires that each State agency review each of its rules that is adopted on or after January 1, 1997 in the calendar year specified in the notice of adoption for the rule, provided that at a minimum every rule shall be initially reviewed no later than in the fifth calendar year after the year in which the rule is adopted, and, thereafter, every rule shall be re-reviewed at five-year intervals, in order to determine whether such rules should be modified or continued without modification.

Pursuant to SAPA section 207, the State Education Department submits the following list of its rules that were adopted during calendar years 2017, 2016, 2015 2010, 2005 and 2000 and invites public comment on the continuation or modification of such rules. All section and part references are to Title 8 of the New York Code of Rules and Regulations. Comments should be sent to the respective agency representative listed below for each particular rule and must be received within 45 days of the date of publication of this Notice.

A. CALENDAR YEAR 2017 (3 YEAR REVIEW)

2017

OFFICE OF P-12 EDUCATION

Section 100.2(x) McKinney Vento

Description of Rule: Implements the provisions of the McKinney-Vento Homeless Assistance Act for the education of homeless children and youths, as reauthorized by the Every Student Succeeds Act.

Need for Rule: Required by the federal McKinney-Vento Homeless Assistance Act (42 U.S.C. section 11431 et seq.), as amended by Title IX of the Every Student Succeeds Act of 2015 (Public Law 1114-95) and Part C of Chapter 56 of the Laws of 2017.

Legal Basis for Rule: Education Law sections 101, 207, 215, 305, 3202, 3209 and 3713 and Title VII-B of the McKinney-Vento Homeless Assistance Act.

Section 100.4(c)(1) Middle Level CTE

Description of Rule: Revises the distribution of the unit of study requirements for Career and Technical Education (CTE) in grades 7 and 8.

Need for Rule: To implement Board of Regents policy relating to career and technical education units of study.

Legal Basis for Rule: Education Law 101(not subdivided), 207(not subdivided), 208 (not subdivided), 209(not subdivided), 305(1) and (2), 308(not subdivided), 309(not subdivided) and 3204(3).

Sections 100.5 and 100.20 Military Compact and Physical Education

Description of Rule: Implements the Interstate Compact on Educational Opportunity for Military Children and other provisions relating to exemptions from the assessment requirements for transfer students and diploma requirements for physical education.

Need for Rule: Necessary to implement Chapter 328 of the Laws of 2014 and to provide flexibility in the physical education diploma requirements.

Legal Basis for Rule: Education Law sections 101(not subdivided),

207(not subdivided), 305(1) and 3308-3318, to implement Chapter 328 of the Laws of 2014.

Section 100.18(g)

Description of Rule: Removes the requirement that Local Assistance Plans (LAPs) and Focus Schools be identified using assessment results from 2015-2016 and thereafter.

Need for Rule: Necessary to implement Regents policy relating to public school and district accountability and Federal requirements relating to the provisions of the Every Student Succeeds Act of 2015(ESSA).

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 210(not subdivided), 215(not subdivided), 305(1) and (2) and (20), 308(not subdivided), 309(not subdivided), 3713(1) and (2)

100.2(ee) Academic Intervention Services

Description of Rule: Revises the methodology by which school districts identify students in grades 3-8 who receive Academic Intervention Services (AIS).

Need for Rule: Necessary to continue the two-step identification process for students eligible for AIS, which includes identification of students who perform at or below a median cut point score between a Level 2/partially proficient and a Level 3/proficient, as determined by the Commissioner for the 2017-2018 and 2018-2019 school years, and delays the standard setting process until the 2019-2020 school year to ensure accuracy and consistency among the assessments and the learning standards.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) and (2), 308(not subdivided), 309(not subdivided) and 3204(3).

Part 136 School Health Services

Description of Rule: Amends Part 136 of the Commissioner's Regulations relating to school health services.

Need for Rule: Necessary to implement policy enacted by the Board of Regents relating to school health services and is further necessary to implement and otherwise conform the Commissioner's Regulations to Chapter 58 of the Laws of 2006, Chapter 57 of the Laws of 2013, and Chapter 373 of the Laws of 2016.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) and (2), 901(1) and (2), 902(1) and (2), 903(1), (2) and (3), 904(1), 906(1), (2) and (3), 921(1) and (2), 3208(1), (2), (3), (4) and (5). Public Health Law section 2164(7).

Section 135.4(c)(7)(ii) Athletic Eligibility

Description of Rule: Provides a protocol for districts that choose to allow students in grades 7 and 8 to play at the high school level, or for students in grades 9-12 to participate at the middle school level.

Need for Rule: Necessary to implement policy enacted by the Board of Regents relating to the age and four-year duration of competition limitations for athletic competition and the athletic placement process.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) & (2), 803(not subdivided), and 3204(2) & (3).

Sections 30-3.4 and 30-3.5 APPRP NYC Student Growth Score

Description of Rule: Relates to the calculation of scores for student learning objectives in the required subcomponent of the student performance category of annual professional performance reviews (APPR) for teachers and principals in the City School District of the City of New York.

Need for Rule: To provide further flexibility to allow the City School District of the City of New York to calculate scores and ratings for student learning objectives (SLOs) pursuant to a methodology approved by the Commissioner in the district's APPR plan.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 215(not subdivided), 305(1) and (2), 3009(1), 3012-c and section 3012-d; section 3 of Subpart C of Chapter 20 of the Laws of 2015; and sections 1 and 2 of Subpart E of Part EE of Chapter 56 of the Laws of 2015.

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning any of the above proposed amendments by contacting:

John D'Agati

Senior Deputy Commissioner for Education Policy

New York State Education Department

Room 2M, Education Building

89 Washington Avenue

Albany, New York 12234

(518) 474-3862

nysedp12@nysed.gov

OFFICE OF HIGHER EDUCATION

Section 80-1.5 edTPA Safety Net

Description of Rule: Extends the existing edTPA Safety Net until June 30, 2018 and revises the eligibility criteria for the Multiple Measures Review Process to be aligned with the recommendations of the edTPA standard setting panel.

Need for Rule: To Extend the existing edTPA Safety Net until June 30, 2018 to help candidates transition to the Multiple Measures Review Process.

Legal Basis for Rule: Education law sections 207, 215, 3001, 3003 and 3009.

Section 145-2.1 TAP Eligibility

Description of Rule: Allows students to meet the full-time study requirement for purposes of the Tuition Assistance Program (TAP) in their second to last semester of eligibility if the student takes at least 6 semester hours needed to meet their graduation requirements (formerly 12) and the student enrolls in at least 12 semester hours or its equivalent.

Need for Rule: To provide additional flexibility to students who have difficulty meeting the "full-time" status for purposes of TAP in their program of study during their final year of college.

Legal Basis for Rule: Education Law sections 101, 207, 305, 602 and 661.

Sections 30-3.2, 30-3.5, 52.21, and 80-3.10 Professional Standards for Educational Leaders (PSELs)

Description of Rule: Adopts the 2015 Professional Standards for Educational Leaders (PSELs) with certain New York specific modifications for the purpose of registration of school building leader programs and school building leader evaluation.

Need for Rule: To establish new professional practice guidelines and expectations for principals.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) and (2) and 3012-d(4).

Sections 80-3.3, 80-3.4, 80-3.5 & 80-3.7 CTE Certification Pathways

Description of Rule: Provides additional flexibility for candidates seeking a certification in a career and technical educational (CTE) subject. First, it provides for a new Option J pathway to obtain a Transitional A certificate and it also provides additional gateways to

obtaining Initial and/or Professional certification through either individual evaluation or program completion. The amendments also eliminate the 30 semester hour coursework requirement for the Initial certificate in CTE and replaces it with nine hours of pedagogy coursework for an Initial certificate in CTE and replaces it with nine hours of pedagogy coursework for an Initial certificate and an additional nine hours of pedagogy coursework for the Professional CTE certificate.

Need for Rule: To provide additional flexibility for candidates seeking a certification in a career and technical educational (CTE) subject to address teacher shortages.

Legal Basis for Rule: Education Law 207(not subdivided), 305(1) and (2), 3004(1) and 3009(1).

Subpart 152-1 HEOP

Description of Rule: Clarifies for institutions what types of expenses fall within the newly enumerated categories eligible for the Arthur O. Eve Higher Education Opportunity Program (HEOP) grant funding and makes technical amendments to conform to current practice and to update current regulatory language.

Need for Rule: Necessary to implement Chapter 494 of the Laws of 2016 and to make technical clarifying amendments.

Legal Basis for Rule: Education Law sections 207(not subdivided), 210(not subdivided), 215(not subdivided), 305(1), 6451(1-6), 6452(1-5) and Chapter 494 of the Laws of 2016.

Section 80-5.17 Conditional Initial Certificate

Description of Rule: Permanently extends the option out-of-state candidates who have met all other requirements for an initial certificate other than completion of the edTPA, to obtain a conditional initial certificate and be employed in New York State schools.

Need for Rule: It is essential for those individuals who want to come to New York but do not have access to a classroom, and therefore find difficulty in completing the edTPA.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(1), 3001(2), 3004(1), 3006(1) and 3009(1).

Part 48 Enough is Enough Reporting

Description of Rule: Provides for annual aggregate data reporting by New York State institutions of higher education related to reports of domestic violence, dating violence, stalking and sexual assault.

Need for Rule: Necessary to implement Chapter 76 of the laws of 2015.

Legal Basis for Rule: Education Law §§ 101, 207, 305 and 6439 through 6449, as added by Chapter 76 of the Laws of 2015.

Section 80-5.23 Residency Certificates

Description of Rule: Establishes the requirements for a residency certificate for students enrolled in a Classroom Academy Residency Pilot Program. Allows such students to apply for a time-limited certificate so that candidates enrolled in the program may be certified and receive payment by the school district/BOCES for their services.

Need for Rule: Allow candidates enrolled in the Classroom Academy Residency Pilot Program to be certified and receive payment by the school district/BOCES for their services.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(not subdivided), 3001(2), 3004(1) and 3009(1).

Section 80-1.5 EdTPA Multiple Measure Review

Description of Rule: Establishes a multiple measures review process for the edTPA.

Need for Rule: Necessary to implement recommendations from the edTPA Task Force to establish a multiple measures review process for the edTPA for certain candidates to seek a waiver from the edTPA examination requirement for initial certification as a teacher in this State.

Legal Basis for Rule: Education Law sections 207(not subdivided), 215(not subdivided), 3001(2), 3004(1) and 3009(1).

Part 80 ALST Elimination

Description of Rule: Eliminates the Academic Literacy Skills Test (ALST) for Teacher Certification and removes unnecessary references to the Liberal Arts and Sciences Test (LAST).

Need for Rule: Necessary to implement recommendations from the

edTPA Task Force, which was reconvened at the request of the Board of Regents.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(1), 3001(2), 3004(1) and 3009(1).

Sections 52.21, 100.2(j) and Part 80 School Counseling

Description of Rule: Enhances existing public school district guidance programs to require comprehensive developmental counseling programs for all students in grades prekindergarten through twelve provided by certified school counselors. The amendment also makes changes to the certification requirements for school counselors and the requirements for school counselor preparation programs in order to support comprehensive developmental school counseling programs.

Need for Rule: Necessary to implement policy of the Board of Regents relating to enhancing existing public school district guidance programs to require comprehensive developmental counseling programs for all students in grades prekindergarten through twelve provided by certified school counselors.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 210(not subdivided), 214(not subdivided), 215(not subdivided), 305(1) and (2), 308, 3001(2), 3004(1), 3006(1)(b) and 3009(1).

Sections 80-1.8 and 80-5.18 Reissuance of certificates and supplementary certificates

Description of Rule: Allows candidates to complete the required professional development within one year prior to the Department's receipt of a completed application or within one year after the Department's receipt of such completed application for the reissuance. The proposed amendment also makes supplementary certificates valid for five years rather than three years.

Need for Rule: To provide increased flexibility to candidates who may otherwise qualify for a reissuance of their expired certificate, but who have not completed the required 75 hours of professional development before applying for the reissuance. Also to provide increased flexibility to districts and candidates seeking a certificate in a new certificate title, to have a supplementary certificate valid for five years rather than the current three years. This allows teachers with a supplementary certificate to have more time to complete the requirements for their initial or professional certificate in the new certificate title.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(1), 3001(1)-(3), 3004(1) and 3009(1).

Section 3.56 Permission to Operate

Description of Rule: Establishes fees and procedures for out-of-state institutions seeking to operate with a physical presence in New York State.

Need for Rule: To provide resources to support evaluation and administration of out-of-state institutions seeking to operate in New York State in a manner that does not diminish resources otherwise available to support New York State's degree-granting institutions.

Legal Basis for Rule: Education Law 101(not subdivided), 207(not subdivided), 210(not subdivided), 210-c(not subdivided), 212(3), 97-III of the State Finance Law and Chapter 220 of the Laws of 2015.

Section 801.6 Time Extension

Description of Rule: Automatically extends the time validity of certain expired provisional, initial or transitional certificates for three years if a candidate meets certain criteria and is unable to complete the requirements for the initial, permanent or professional certificate in a timely manner.

Need for Rule: Addresses concerns from the field related to teacher shortages raised by school districts and Board of Cooperative Educational Services (BOCES).

Legal Basis for Rule: Education Law 207, 207, 215, 3001, 3003 and 3009.

Section 80-3.5 Three Pathway Career and Technical Education (CTE)

Description of Rule: Establishes new pathway options for the Transitional A certificate in a career and technical education subject for candidates who do not meet the current requirements but who pos-

sess industry experience, credentials, or are in the process of completing certification.

Need for Rule: To provide additional opportunities and flexibility for individuals with specific technical and career experience to obtain a Transitional A teaching certificate in their area of expertise, or related are, thus allowing them to teach CTE subjects at the secondary school level. This helps to increase the supply of qualified, certified teachers in the career and technical education field in order to satisfy the increasing demand for those teachers.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(1) and (2), 3001(2), 3004(1), 3006(1) and 3009.

Section 80-1.5 Safety Nets for the Revised Content Specialty Tests

Description of Rule: Creates a new safety net that will allow candidates to take and pass either the revised content specialty test (CST) or the predecessor CST for certification, for both the currently operational redeveloped CSTs and the newly operational CSTs. The safety net for the newly operational CSTs expired on June 30, 2019, and the safety net for the currently operational CSTs expired on June 30, 2017. The proposed amendment also extends the current safety net for the Multi-Subject 7-12 Part Two: mathematics CST until June 30, 2018.

Need for Rule: To provide programs additional time to prepare their students for the content specialty tests.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(1) and (2), 3001(2), 3004(1), 3006(1) and 3009.

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning any of the above proposed amendments by contacting:

William Murphy

Deputy Commissioner of Higher Education

New York State Education Department

Office of Higher Education

Room 975, Education Building Annex

89 Washington Avenue

Albany, New York 12234

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OHREGComments@nysed.gov

OFFICE OF ADULT CAREER AND CONTINUING EDUCATION SERVICES (ACCESS)

Part 126 Online Educational Marketplaces

Description of Rule: Provides a procedure whereby online education marketplaces, and the schools that contract with them, may lawfully conduct marketing and advertising activities without obtaining a private agent certificate pursuant to Education Law § 5004, subject to certain conditions.

Need for Rule: To implement Chapter 475 of the laws of 2016 which exempts an "online education marketplace" from the requirements for a private school agent certificate.

Legal Basis for Rule: Education Law sections 207(not subdivided), 210(not subdivided), 305(1), Education Law 5001 through 5010 and Chapter 475 of the Laws of 2016.

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning any of the above proposed amendments by contacting:

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Deputy Commissioner

Office of Adult Career and Continuing Education Services

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Albany, New York 12234

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OFFICE OF CULTURAL EDUCATION

Section 3.12 Members of the Museum and Library Council

Description of Rule: Increases the Museum Advisory Council and Library Council membership from 9 members to 15 members.

Need for Rule: By increasing the membership of both the Museum and Library Councils to 15 members each, all Office of Cultural Education Councils will have an equal number of members.

Legal Basis for Rule: Education Law §§ 101(not subdivided) 206(not subdivided), 207(not subdivided), 214 (not subdivided) 232(not subdivided) 305(1) and (2).

Sections 90.12 and 90.18 State Aid for Library Construction and School Library Systems

Description of Rule: Updates and clarifies certain terminology relating to the functions of school library systems.

Need for Rule: To implement Education Law section 273-a and to update terminology related to the functions of school library systems.

Legal Basis for Rule: Education Law sections 207(not subdivided), 215(not subdivided), 273-a(1) through (7), 282(not subdivided), 283(not subdivided) and 284(not subdivided).

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B. CALENDAR YEAR 2016 (4 YEAR REVIEW)

2016

OFFICE OF P-12 Education

Section 100.5(g)(1)(i) Regents Exam in English Language Arts

Description of Rule: Transition to the Regents Examination in English Language Arts by allowing, for a limited time and at the discretion of the local school district, students who began grade 9 prior to 2013, and who receive ELA (Common Core) instruction, to take the Regents Comprehensive Examination in English Language Arts aligned to the 2005 Learning Standards in addition to the Regents Examination in English Language Arts (Common Core) and meet the requirement for graduation by passing either examination.

Need for Rule: To provide additional flexibility in the transition to the Common Core-aligned Regents Examination in English Language Arts.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1) and (2), 308(not subdivided), 309(not subdivided) and 3204(3).

Section 100.2(c)(11) Students with Disabilities CPR Exemption

Description of Rule: Allows for an exemption of a student with a disability from the requirement for instruction in hands-only cardiopulmonary resuscitation and the use of automated external defibrillators.

Need for Rule: Necessary to implement Regents policy to allow an exemption of a student identified as having a disability that precludes his or her ability to participate in hands-only instruction in CPR and instruction in the use of AEDs from the instruction requirement in section 100.2(c)(11) of the Commissioner's regulations.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1), (2), (20) and (52), 308(not subdivided), 804-c(2), 804-d(not subdivided) and Chapter 417 of the Laws of 2014.

Section 100.19 School Receivership

Description of Rule: Establishes criteria for appointment of receivers to assist low-performing schools.

Need for Rule: Necessary to implement Education Law section 211-f by establishing criteria for appointment of receivers to assist low-performing schools.

Legal Basis for Rule: Education Law sections 207(not subdivided), 211-f(15), 215(not subdivided), 305(1), (2) and (20), 308(not subdivided), 309(not subdivided) and Part EE, Subpart H of Ch.56 of the Laws of 2015.

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C. CALENDAR YEAR 2015

OFFICE OF P-12 Education

Section 100.5(g)(1)(ii)(a) Math Exam Flexibility

Description of Rule: The purpose of the rule is to adopt a technical clarification to the Commissioner's Regulations, providing additional flexibility in the transition to the Common Core Regents Examination in Algebra I.

Need for Rule: The rule is necessary to clarify that for the June 2015 administration only, students receiving Algebra I (Common Core) instruction that began prior to September 2014, may, at the discretion of the applicable school district, take the Regents Examination in Integrated Algebra in addition to the Regents Examination in Algebra I (Common Core) and may meet the mathematics requirement for graduation by passing either examination.

Legal Basis for Rule: Education Law sections 101 (not subdivided), 208 (not subdivided), 209 (not subdivided), 305(1) and (2), 308 (not subdivided) and 3204(3).

Sections 80-3.6, 100.2, 154-2.3 ELL Professional Development

Description of Rule: The rule amends sections 80-3.6, 100.2(dd), and 154-2.3(k) of the Regulations of the Commissioner of Education relating to professional development in language acquisition addressing the needs of English Language Learners (ELLs).

Need for Rule: The rule is necessary to establish professional development requirements for teachers, holders of a level III teaching assistant certificate, and administrators, in language acquisition that specifically addresses the needs of students who are ELLs and to integrate language and content instruction for such ELL students.

Legal Basis for Rule: Education Law sections 207 (not subdivided), 215 (not subdivided), 305(1) and (2), 2117(1), 2001(2), 3003(1), 3004(1), 3006(1)(b), and 3009(1).

Section 136.6 Epinephrine Auto-injectors

Description of Rule: Prescribes standards for the provision, maintenance and use of epinephrine auto-injectors pursuant to Education Law section 921, to ensure ready and appropriate access for use during emergencies to any student or staff having anaphylactic symptoms.

Need for Rule: To implement Chapter 424 of the Laws of 2014 which added a new section 921 to the Education Law, permitting schools and any person employed by them, to administer epinephrine auto-injectors in the event of an emergency.

Legal Basis for Rule: Education Law sections 207, 305, and 921 and Chapter 424 of the Laws of 2014.

Section 100.5(d)(7) ELL Graduation Requirements

Description of Rule: Extends the ability to graduate with a Local Diploma via appeal to English Language Learners (ELLs) who meet all other conditions for appeal and are otherwise eligible to graduate on and after January 2015, and clarifies that the appeal process applies to ELLs who meet one or more graduation assessment requirements via an available alternative pathway and meet all other conditions for appeal.

Need for Rule: Necessary to implement Regents policy relating to

criteria for bilingual education and English as a New Language programs for students who are ELLs, including determining graduation requirements, in order to ensure compliance with Education Law sections 3204 and 4403, and Title I and III of the Elementary and Secondary Education Act (ESEA), Title IV of the Civil Rights Act of 1964, Equal Educational Opportunities Act of 1974 (EEOA).

Legal Basis for Rule: Education Law sections 101, 207, 208, 209, 305, 308, 309 and 3204.

Section 100.5 Regents Diploma Pathways

Description of Rule: Clarifies the requirements for earning a Regents Diploma with advanced designation by students who elect to meet the requirements through the mathematics or science pathway options and allows students to earn a Regents Diploma through the humanities pathway by passing either an additional Regents assessment, or a Department approved alternative, in a different course in Social Studies or in English.

Need for Rule: Necessary to implement policy enacted by the Regents relating to State learning standards, State assessments, graduation and diploma requirements, and higher levels of student achievement.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1)-(2), 308(not subdivided), and 3204(3).

Section 100.2(y) Student Enrollment

Description of Rule: Provides clear requirements for school districts regarding student enrollment, particularly as it pertains to procedures for unaccompanied minors and other undocumented youths.

Need for Rule: To codify applicable Federal and State laws, as well as existing Department guidance to school districts, in order to ensure that unaccompanied minors and undocumented youths are provided their constitutional right to a free public education.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(1), (2), and (20), 3202(1), and 3713(1)-(2).

Section 154-2.3(h) Units of Study and Provision of Credits for ELLs

Description of Rule: Makes technical amendments relating to units of study for English as a New Language and Native Language Arts.

Need for Rule: Necessary to clarify units of study mandates for and credits given to English Language Learners (ELLs) for Integrated English as a New Language (ENL) instruction, and clarify the units of study mandated for and credits given to ELLs in Bilingual Education Programs for ENL and bilingual core content area instruction.

Legal Basis for Rule: Education Law sections 207(not subdivided), 208(not subdivided), 215(not subdivided), 305(1)-(2), 2117(1), 2854(1)(b), and 3204(2), (2-a), (3), and (6).

Section 100.18 New York State's School and District Accountability System

Description of Rule: Makes technical changes to the definition of how schools and districts are credited with making Adequate Yearly Progress for the "all students" group to align with New York's approved ESEA flexibility waiver and to clarify the methodology for identification of Local Assistance Plan (LAP) schools.

Need for Rule: Necessary to implement the Regents policy relating to public school and district accountability and federal requirements relating to New York State's approved ESEA flexibility waiver.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 210(not subdivided), 215(not subdivided), 305(1), (2), and (20), 308(not subdivided), 309(not subdivided), 3204(3), and 3713(1) and (2).

Section 136.7 Self-administration of Certain Medications

Description of Rule: Permits the carrying and self-administration of certain medications by students and permits schools to authorize a licensed registered professional nurse, nurse practitioner, physician assistant, or physician to train unlicensed school personnel to inject certain medication in certain emergency situations, to students who have a written parent/guardian consent.

Need for Rule: To implement Chapter 423 of 2014 which requires school districts and BOCES to permit students diagnosed with asthma

or other respiratory conditions, allergies, and diabetes to carry and self-administer certain medications at school.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(1) and (2), 902-a (1) and (2), 902-b (1) and (2), 916-a (1) and (2), 916-b(1) and (2) and 921 (1) and (2) and Chapter 423 of the Laws of 2014.

Section 136.8 Opioid Overdose Prevention

Description of Rule: Prescribes standards for the provision, maintenance and use of opioid antagonists pursuant to Education Law section 922.

Need for Rule: To ensure ready and appropriate access for use of opioid antagonists during emergencies to any student or staff having opioid overdose symptoms.

Legal Basis for Rule: Education Law sections 207 (not subdivided), 305(1) and (2), and 922(1) and (2) and Part 5 of Chapter 57 of the Laws of 2015.

Section 100.18 ESEA Waiver Renewal

Description of Rule: Makes revisions pertaining to school and district accountability in order to conform the regulations with the State's approved Elementary and Secondary Education Act (ESEA) Renewal Waiver and align the regulations with Commissioner's Regulation section 100.19 related to receivership.

Need for Rule: Required in order to implement New York State's approved ESEA Renewal Waiver.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 210(not subdivided), 211-e(1-5), 211-f(15), 215(not subdivided), 305(1) and (2), 309(not subdivided) and 3713(1) and (2).

Section 100.5(g)(1)(ii) Algebra II

Description of Rule: Allows, at the discretion of the applicable school district, students receiving Algebra II (Common Core) instruction to take the Regents Examination in Algebra 2/Trigonometry aligned to the 2005 Learning Standards in addition to the Regents Examination in Algebra II (Common Core), and meet the mathematics requirement for graduation by passing either examination.

Need for Rule: To provide additional flexibility in the transition to Common Core-aligned Regents Examination in mathematics.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1) and (2), 308(not subdivided), 309(not subdivided) and 3204(3).

Section 100.5(d)(7)(i) Special Education Safety Net

Description of Rule: Extends the ability to graduate with a Local Diploma via appeal of a score of 55 to students with disabilities who meet all other conditions for appeal and are otherwise eligible to graduate.

Need for Rule: Necessary to implement Regents policy to provide an option to students with disabilities who meet certain specified criteria to graduate with a Local Diploma via an appeals process.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 215(not subdivided), 305(1) and (2), 308(not subdivided) and 309(not subdivided).

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OFFICE OF HIGHER EDUCATION

Sections 80-1.1 & 80-5.6 Teaching Assistant Certificates

Descriptions of Rule: Provides time extensions for Level II teaching assistant certificates, amends the definition of school year for purposes of experience for certification as a teaching assistant, and makes a technical amendment relating to fees for internship certificates.

Need for Rule: To clarify existing certification requirements for teaching assistants and to provide a time extension on the validity of Level II teach assistant certificate while a candidate is pursuing citizenships, which is required for a Level III teaching assistant certificate.

Legal Basis for Rule: Education Law sections 207 (not subdivided), 305(1)-(2), 3001(2), 3004(1), 3006(1)(b) and 3009(1).

Subpart 152-3 Foster Youth College Success Program

Description of Rule: Provides support services to assist youth in foster care to apply for, enroll in, and succeed in college through the Foster Youth College Success Initiative.

Need for Rule: To implement Part X of Chapter 56 of the Laws of 2015 which established the Foster Youth College Success Initiative.

Legal Basis for Rule: Education Law sections 207(not subdivided), 210(not subdivided), 215(not subdivided), 305(1) and (2), 6451(1-6) and 6456(1-7), as added by Chapter 56 of Laws of 2015.

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OFFICE OF THE PROFESSIONS

Sections 29.2, 52-44, 52.45, 59.14, 79-17, 79-18 Applied Behavior Analysis (ABA)

Description of Rule: Licensure of behavior analysts and certification of behavior analyst assistants.

Need for Rule: To implement Chapter 554 of the Laws of 2013 which established the profession of applied behavior analysis (ABA).

Legal Basis for Rule: Education Law sections 207 (not subdivided), 6503-a, 6504(not subdivided), 6507(2)(a), 6509(9), 8800, 8801, 8802, 8803, 8804, 8805, 8806, 8807 and 8808, Chapter 554 of the Laws of 2013 and Chapter 8 of the Laws of 2014.

Section 66.6 Therapeutic Pharmaceutical Agents Description of Rule: Expands the list of methods of study that the Department will consider acceptable for continuing education requirements for optometrists certified to use therapeutic pharmaceutical agents.

Need for Rule: To provide optometrists, who are certified to use therapeutic pharmaceutical agents, with more flexibility in satisfying their continuing education requirements.

Legal Basis for Rule: Education Law sections 207(not subdivided), 6504(not subdivided), 6507(2)(a), 7101, and 7101-a(7).

Sections 52.31, 79-8.5, 79-8.6 Safety Net

Description of Rule: Amends the requirements for medical physics education programs and eligibility requirements for a limited permit in a specialty area of medical physics, and removes obsolete regulatory provisions relating to the licensure of medical physicists.

Need for Rule: To reflect changes in the national accreditation requirements for medical physics education programs.

Legal Basis for Rule: Education Law sections 207(not subdivided), 6504(not subdivided), 6507(2)(a), 8701, 8705 and 8706.

Sections 60.8 and 60.11 Physicians Assistants and Specialist Assistants

Description of Rule: Licensure of Physician Assistants and Registration of Specialist Assistants.

Need for Rule: To conform the Regulations of the Commissioner of Education to Chapter 48 of 2012, which became effective January 1, 2013, by separating the licensure requirements for physician assistants from the registration requirements for specialist assistants.

Legal Basis for Rule: Education Law sections 207(not subdivided), 6501(not subdivided), 6504(not subdivided), 6507(2)(a), 6540, 6541, 6544(not subdivided), 6546, 6547, 6548, and 6549-b(not subdivided), and Chapter 48 of the Laws of 2012.

Section 64.7 Opioid Overdose Treatment/Hepatitis C

Description of Rule: Execution by registered professional nurses of non-patient specific orders to administer opioid related overdose treatment and hepatitis C tests.

Need for Rule: To establish uniform requirements for registered professional nurses to meet when executing non-patient specific orders to administer hepatitis C test and opioid related overdose treatment.

Legal Basis for Rule: Education Law sections 207(not subdivided), 6504 (not subdivided), 6507(2)(a), 6527(6)(e), 6527(6)(f), 6902(1), 6909(4)(e), 6909(4)(f), and Chapter 352 of the Laws of 2014 and Part V of Chapter 57 of the Laws of 2015.

Section 63.9 Pharmacist Vaccinations

Description of Rule: Administration of vaccinations by pharmacists.

Need for Rule: Necessary to conform the Regulations of the Commissioner of Education to Chapter 46 of 2015, which includes authorizing certain qualified pharmacists to administer vaccinations.

Legal Basis for Rule: Education Law §§ 207(not subdivided), 6504(not subdivided), 6507(2)(a), 6527(7), 6801(2) and (4), 6802(22), and 6909(7) of the Education Law, and Chapter 46 of the Laws of 2015.

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D. CALENDAR YEAR 2010

OFFICE OF P-12 EDUCATION

Section 3.16 Charter School Delegation

Description of Rule: The purpose of the rule is to delegate to the Commissioner of Education the authority of the Board of Regents pursuant to Education Law section 2852(7) to approve revisions to the charters of charter schools, with certain specified exceptions.

Need for Rule: The rule is necessary to delegate to the Commissioner of Education the authority of the Board of Regents to approve revisions, with certain specified exceptions, to the charter of public charter schools. Having the Board of Regents approve all revisions, including revisions that do not fundamentally affect the school's missions, organizational structure or educational program, and other such changes, is not deemed to be the most appropriate and efficacious means to address these matters, considering the scope of duties of the Board, the limited number of times that the Board meets during the year, and the time demands placed on individual Board members. It has been determined that delegation to the Commissioner of the Board's authority to approve charter revisions, with certain specified exceptions, will provide for the most efficient and expeditious means to approve and issue charter revisions.

Authority to approve revisions concerning the following is retained by the Board of Regents and not delegated to the Commissioner: (1)

educational philosophy, mission or vision; (2) governance or leadership structure; (3) the curriculum model or school design changes that are inconsistent with that approved in the current charter; (4) hiring or termination of a management company; (5) school name; (6) location, if such revision results in relocation to another school district; (7) maximum enrollment, as set forth in the current charter; and/or (8) grades served, as set forth in the current charter. The rule authorizes the Commissioner to approve revisions concerning items (1) through (3) above, provided that the revisions are determined by the Commissioner not to be significant.

Legal Basis for Rule: Education Law sections 101(not subdivided), 206(not subdivided), 207(not subdivided), 305(1), (2) and (20) and 2852(7).

Sections 100.1, 100.2, 100.4 & 100.5 LOTE and State Assessments

Description of Rule: The rule amends sections 100.1, 100.2, 100.4 and 100.5 of the Commissioner's Regulations to eliminate certain State examinations beginning in the 2010-2011 school year as a cost-saving measure associated with the administration of State assessments.

Need for Rule: In response to current fiscal constraints, this rule implements cost-saving measures associated in administering State examinations and assessments by eliminating certain State examinations beginning in the 2010-2011 school year, specifically second language proficiency (SLP) examinations, Regents comprehensive examinations in German, Hebrew and Latin, and State assessments in social studies for grades five and eight. Despite the elimination of these assessments, this rule will ensure that students continue to meet State learning standards and earn diploma credit.

Given the elimination of SLP examinations, students will be required to pass a locally developed examination, in addition to completing two units of study, which will be aligned with Checkpoint A learning standards for languages other than English and approved for high school credit by the superintendent or chief administrative officer of a charter or public school, as applicable. Further, despite the elimination of State assessments in social studies, schools will remain required to provide academic intervention services to students when such students have been determined through a district-developed or district-adopted procedure to be at risk of not achieving State learning standards in social studies. Lastly, despite the elimination of Regents comprehensive examinations in Hebrew, German and Latin, students may pass a locally developed test aligned with Checkpoint B learning standards for languages other than English to earn Regents diploma credit.

Legal Basis for Rule: Education Law §§ 101, 207, 208, 209, 305, 308, 309, and 3204.

Section 100.2(ee) Academic Intervention Services

Description of Rule: The rule establishes modified requirements for the provision of academic intervention services (AIS) during the 2010-2011 school year to provide flexibility to school districts and hold districts harmless from the expected fiscal impact of an increase in the number of students required to receive AIS as a result of a change in cut scores for the grades 3-8 assessments in English language arts and mathematics.

Need for Rule: The rule establishes modified requirements for the provision of AIS during the 2010-2011 school year based on several factors, including: (1) the change in cut scores for the grades 3-8 assessments in English language arts and mathematics which determine student proficiency; (2) the fact that such changes will not be announced to the field until late July or early August; and (3) the fiscal impact that school districts may experience because of the increase in the number of students required to receive AIS. The purpose of the rule is to provide flexibility to school districts in providing AIS during the 2010-2011 school year in order to hold districts harmless from the expected fiscal impact of an increase in the number of students required to receive AIS as a result of a change in cut scores for the grades 3-8 assessments in English language arts and mathematics. School districts will continue to have the option to offer services to those children who they feel are in need of the additional support.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) and (2), 308(not subdivided), 309(not subdivided) and 3204(3).

Section 100.2(ee)(7) AIS/RTI

Description of Rule: The rule adds a new paragraph (7) to section 100.2(ee) of the Commissioner's Regulations. The rule affords flexibility to school districts in providing academic intervention services (AIS) by allowing districts to offer a Response to Intervention program in lieu of providing AIS to eligible students, provided specified conditions are met.

Need for Rule: The rule affords flexibility to school districts in providing AIS by allowing districts to offer a Response to Intervention (RTI) program in lieu of providing AIS to eligible students, provided specified conditions are met. Specifically, the rule would allow for a school district to: (1) continue with a current AIS model, or (2) move to or expand on an RTI model, or (3) use a blended approach of AIS and RTI (ex: RTI in lower grades, AIS in upper grades).

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) and (2), 308(not subdivided), 309(not subdivided) and 3204(3).

Section 100.2(p) SURR & PLA Schools

Description of Rule: The rule would amend section 100.2(p) of the Commissioner's Regulations, effective July 14, 2010, to conform provisions regarding the identification of schools for registration review (SURR) with United States Department of Education (USED) requirements to identify schools as Persistently Lowest-Achieving in order for states to access State Fiscal Stabilization Funds (Phase II), School Improvement Grants and other Federal funding opportunities, and to require SURRs to implement intervention strategies based upon School Improvement Grant guidelines issued by USED in January 2010.

Need for Rule: Section 100.2(p) is amended to comply with USDE requirements to identify schools as PLA in order for states to access State Fiscal Stabilization Funds (Phase II), School Improvement Grants and other Federal funding opportunities and to require schools identified as SURRs to implement intervention strategies based upon School Improvement Grant guidelines issued by USDE in January 2010.

The purpose of the rule is to strengthen the SURR process by merging it with the process to identify PLA schools in order to increase the percentage of schools that successfully implement an intervention strategy that results in the school being removed from PLA status or that results in the school being replaced by a new school in Good Standing.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 210(not subdivided), 215(not subdivided), 305(1), (2) and (20), 309(not subdivided) and 3713(1) and (2).

Section 100.2(p)(1) Accountability Declassified SWD

Description of Rule: The rule amends section 100.2(p)(1) of the Commissioner's Regulations to conform the Commissioner's Regulations with New York State's approved amended No Child Left Behind (NCLB) accountability plan that includes in the students with disabilities subgroup, students previously identified as students with disabilities during the preceding one or two school years. The amended plan was approved by the United State Department of Education (USDE) on June 9, 2010.

Need for Rule: Section 100.2(p)(1)(i) has been amended to establish criteria and procedures to ensure State and local educational agency compliance with the provisions of the NCLB relating to academic standards and school and school district accountability. The State and local educational agencies (LEAs) are required to comply with the NCLB as a condition to their receipt of federal funds under Title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA).

NCLB section 1111(b)(2) requires each state that receives funds to demonstrate, as part of its State Plan, that the state has developed and is implementing a single, statewide accountability system to ensure that all LEAs, public elementary schools and public high schools make adequate yearly progress (AYP). Each state must implement a set of yearly student academic assessments in specified subject areas that will be used as the primary means of determining the yearly performance of the state and each LEA and school in the state in enabling all children to meet the State's academic achievement standards.

The rule conforms the Commissioner's Regulations to New York State's amended accountability plan, as approved by the USDE. Adoption of the rule provides a more accurate account of the academic progress that schools and districts are making with students with disabilities commencing with the 2009-2010 school year, and will make the accountability rules for former students with disabilities consistent with rules currently applied to former limited English proficient students.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 210(not subdivided), 215(not subdivided), 305(1), (2) and (20), 309(not subdivided) and 3713(1) and (2).

Section 105.3 Special Act School Districts

Description of Rule: The rule amends section 105.3 of the Commissioner's Regulations to provide the Commissioner with more flexibility to appoint prospective public members to Special Act school district board of educations, based upon their availability to serve. The current regulation generally provides for uniform, consecutive 4-year terms for all public members that commence on the first day of a school year (July 1st) and end on the last day of the fourth school year thereafter (June 30th). However, because of the unavailability of persons willing to serve at the prescribed times, it was not possible for the Commissioner to appoint public members in accordance with the current regulation.

Need for Rule: Commissioner's Regulations § 105.3(b) generally provides for uniform, consecutive 4-year terms for all public members that commence on the first day of a school year (July 1st) and end on the last day of the fourth school year thereafter (June 30th). However, because of the unavailability of persons willing to serve at the prescribed times, it was not possible for the Commissioner to appoint public members in accordance with the current language in the regulation. The rule provides more flexibility for the appointment of public members based upon their availability to serve.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1), (2) and (20), 308(not subdivided), 309(not subdivided) and Chapters 628 and 629 of the Laws of 2004.

Section 100.5(d)(8) Make-up Credit

Description of Rule: To establish requirements for award of make-up credit to high school students.

Need for Rule: In April 2009, the EMSC Committee of the Board of Regents reviewed a "Draft Proposed Policy on Making Up Course Credit and Receiving Course Credit for Independent Study." After review and discussion, the Regents directed staff to seek public input on the draft policy on making up course credit. A field survey was posted on the Department's Web site in June and concluded in September. A summary and analysis of the survey responses was compiled and submitted for review and consideration in October.

At the October 13, 2009 Board of Regents meeting, members reviewed and approved policy relating to making up course credit. Staff was directed to draft regulatory changes to the Commissioner's Regulations to implement the make up course credit policy.

The rule establishes standards for make-up credit programs for school districts, registered nonpublic schools, and charter schools that choose to offer such programs. The rule is intended to insure appropriate levels of rigor and quality for make-up (credit recovery) programs implemented by local schools.

The make-up program must be aligned with the New York State learning standards for that subject, satisfactorily address the student's course completion deficiencies and individual needs, and ensure that the student receives equivalent, intensive instruction in the subject matter area provided under the direction and/or supervision of a teacher. For programs offered by school districts and boards of cooperative educational services, the direction and supervision must be provided by a teacher certified in the subject matter area.

In the case of a school district or registered nonpublic school, a student's participation in the make-up credit program must be approved by a school-based panel consisting of, at a minimum, the principal, a teacher in the subject area for which the student must make up credit, and a guidance director or other administrator.

To receive credit, the student must successfully complete the

make-up credit program and demonstrate mastery of the learning outcomes for the subject, including passing the Regents examination in the subject or other assessment required for graduation, if applicable.

Legal Basis for Rule: Education Law sections 101, 207, 208, 209, 305(1) and (2), 308, 309 and 3204(3)

Section 100.5(d)(9) Independent Study

Description of Rule: To establish requirements for independent study offered by school districts, registered nonpublic schools and charter schools.

Need for Rule: In April 2009, the EMSC Committee of the Board of Regents reviewed a "Draft Proposed Policy on Making Up Course Credit and Receiving Course Credit for Independent Study."

In March 2010, the Regents approved a conceptual policy on receiving course credit for independent study. At the April 2010 Board of Regents meeting, the EMSC Committee reviewed and discussed policy relating to independent study credit. Staff was directed to draft regulatory changes to the Commissioner's Regulations to implement the independent study credit policy.

The rule establishes standards for a school district, a charter school or a registered nonpublic school to award up to three units of elective credit towards a Regents diploma for independent study. The independent study must be academically rigorous and aligned to the New York State commencement level learning standards for the subject in which credit is sought; overseen by a teacher knowledgeable and experienced in the subject area of the independent study; based on a syllabus on file for each independent study; and of comparable scope and quality to classroom work that would have been done at the school district, charter school or registered nonpublic school awarding the credit.

In the case of a school district or registered nonpublic school, a student's participation in independent study shall be approved by a school-based panel consisting of, at a minimum, the principal, a teacher in the subject area for which independent study is sought, and a guidance director or other administrator.

The rule is intended to insure appropriate levels of rigor and quality for providing students with the opportunity to earn independent study credit and for awarding independent study credit for successful program completion. To receive credit, the student must successfully complete the independent study and demonstrate mastery of the learning outcomes for that subject.

Legal Basis for Rule: Education Law sections 101, 207, 208, 209, 305(1) and (2), 308, 309 and 3204(3)

Section 135.4 Duration of Competition

Description of Rule: The rule provides a waiver for a student with a disability, defined under § 4401 of the Education Law, to participate in a non-contact sport for a fifth additional season in high school if such student has not graduated from high school as a result of his or her disability delaying his or her education. Such student would have to meet other criteria in order to qualify for such a waiver.

Need for Rule: The rule provides a waiver for a student with a disability to participate in senior high school athletic competition for an additional season despite the age and four-year limitations prescribed in section 135.4 of the Commissioner's regulations. The rule advances initiatives of inclusion by allowing students with disabilities who would otherwise not be able to participate in interscholastic athletic competition due to their age or years in school to participate in a sport for an additional season if they have not graduated as a result of their disability delaying their education. This rule offers these students continued socialization with teammates and continued opportunity to develop the skills and abilities associated with his or her participation in such sport.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) and (2), 308(not subdivided), 803 (not subdivided) and 3204(2) and (3).

Section 155.22 Qualified School Construction Bonds

Description of Rule: The rule establishes procedures for allocation of the State limitation amount for the issuance of Qualified School Construction Bonds (QSCB) issued under 26 USC section 54F to those school district bond issuers not receiving a direct federal allocation pursuant to 26 USC section 54(F)(d)(2).

In addition, the rule revises the provisions relating to Qualified Zone Academy Bonds (QZAB) to provide for a separate Charter school allocation from the QZAB State limitation amount. The QZAB provisions are also updated to include QZAB issued under 26 USC 54E, as added by Pub.L. 110-343, 122 Stat. 3765, 3869. Prior to the addition of section 54E, QZAB were issued pursuant to 26 USC section 1397E. Participation in both the QSCB and QZAB programs is voluntary.

Need for Rule: Internal Revenue Code section 54F (26 USC section 54F), as added by section 1521(a) of Title 1 of Part III of Subtitle F of the American Recovery and Reinvestment Act of 2009 (ARRA), Pub.L. 111-5, provides for the issuance of Qualified School Construction Bonds for the construction, rehabilitation, or repair of a public school facility or for the acquisition of land on which such a facility is to be constructed with part of the proceeds of such issue, by a State or local government within the jurisdiction of which such school is located. The statute establishes a national qualified school construction bond limitation for each of the 2009 and 2010 calendar years. Within such national bond limitation amount, the Secretary of the U.S. Treasury will allocate state limitation amounts to each state for the state's allocation to bond issuers within the state.

New York State is home to three city school districts, New York City, Buffalo and Rochester, that are large enough to qualify as part of the 100 largest nationwide school districts, and as such, these districts will receive direct federal Qualified School Construction Bond Allocations from the U.S. Treasury Secretary. Additionally, New York State received \$192 Million in the 2009 and \$178 Million in the 2010 calendar years to allocate to other districts in the State that did not receive a direct federal allocation.

The 2009 allocation was retained by the State to fund State expenditures for local district capital projects. The purpose of the rule to amend section 155.22 of the Commissioner's Regulations is to prescribe the procedures for New York State to allocate its \$174,782,000 2010 state limitation amount to those school district bond issuers not receiving a direct federal allocation.

In addition, the rule revises the provisions relating to Qualified Zone Academy Bonds (QZAB) to provide for a separate charter school allocation from the QZAB State limitation amount. The QZAB provisions are also updated to include QZAB issued under 26 USC 54E, as added by Pub.L. 110-343, 122 Stat. 3765, 3869. Prior to the addition of section 54E, QZAB were issued pursuant to 26 USC section 1397E.

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2) and 26 USC sections 54E and 54F.

Part 200 Special Education Mandate Relief

Description of Rule: Mandate relief to schools in certain areas of special education that exceed federal requirements, and to make technical changes. The purpose of the rule is to amend sections 200.2, 200.4, 200.5, 200.6, 200.9, 200.10, 200.11, 200.13, 200.20, 201.2 and 201.11 of the Regulations of the Commissioner of Education to provide relief from certain special education service requirements, specifically by: repealing the minimum service delivery requirements for speech and language; authorizing school districts to add up to two additional students to integrated co-teaching classes; and repealing the requirement that each student with autism receive instructional services to meet his/her individual language needs at a minimum of 30 minutes daily in groups not to exceed two, or 60 minutes daily in groups not to exceed six.

The rule would also conform State regulations to federal requirements relating to meeting notice and parent participation in CSE meetings and to State statutory language relating to district plans of service for special education, and correct certain citations.

Need for Rule: The rule provides mandate relief to schools in certain areas of special education that exceed federal requirements; conforms the Commissioner's Regulations to the federal regulations (34 CFR Part 300) that implement the Individuals with Disabilities Education Act (IDEA) and State law; and makes certain technical amendments, including correction of cross citations.

The rule provides mandate relief and appropriate flexibility for committees on special education (CSE) to make special education recommendations based on students' individual needs by repealing minimum level of service requirements for speech and language related

services and for instruction to address the individual language needs of students with autism, and by authorizing the addition of up to two additional students in an integrated co-teaching class when it is necessary to do so to address the unique needs of students in that class. To conform to federal and state requirements, the rule will also ensure that the State regulations use language consistent with federal regulations for CSE meeting notices and State statute for district plans of service for special education; and will make other technical amendments.

Legal Basis for Rule: Education Law sections 207(not subdivided), 305(1), (2) and (20), 3214(3), 4402(not subdivided) and 4403(3), 4410(13) and Chapter 410 of the Laws of 1978.

Agency Representative:

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OFFICE OF HIGHER EDUCATION

Sections 52.1, 52.21 & 80-5.13 Clinically Rich Teacher Pilot Program for High Needs Schools

Description of Rule: The purpose of the rule is to establish program registration standards for the clinically rich graduate level pilot program and to authorize institutions, other than institutions of higher education, and that are selected by the Board of Regents to offer teacher preparation programs under this pilot program.

Need for Rule: At its November 2009 and December 2009 meetings, the Board of Regents approved the conceptual framework for graduate level clinically rich teacher preparation pilot programs. At its April 2010 meeting, the Board approved an amendment to the Commissioner's regulations to establish a graduate level clinically rich teacher preparation pilot program, effective May 1, 2010.

The rule establishes two tracks for the graduate level clinically rich program: 1) the Model A track is the residency program for candidates working with a teacher of record in a high need school; and 2) the Model B track is the residency program for candidates employed as teachers of record in a high need school who will be eligible to receive a Transitional B certificate upon completion of required introductory preparation, tests, and workshops. To ensure program quality, the rule requires that the pilot program meet the general registration standards established by the Board of Regents for graduate curricula in terms of instructional time, faculty qualifications, and the rigor of curriculum.

Legal Basis for Rule: Education Law §§ 207, 208, 210, 214, 216, 224, 305(1), (2) and (7), 3004(1) and 3006(1).

Parts 52 & 80 Special Education Certification Restructuring

Description of Rule: The rule amends sections 52.21, 80-1.1, 80-3.3, 80-3.7 and 80-5.22 of the Regulations of the Commissioner of Education relating to program registration requirements for teacher education programs and certification requirements an expedited pathway to teach science and mathematics in grades 5 through 9 and 7 through 12. The purpose of the rule is to establish program registration requirements and certification requirements for an expedited pathway for individuals with advanced degrees in science, technology, engineering and mathematics and at least two years of postsecondary teaching experience to become certified in science and mathematics in grades 5-9 and 7-12.

Need for Rule: The purpose of the rule is to ensure an adequate supply of effective adolescence level students with disabilities teachers and to better prepare all teachers to instruct students with disabilities and skillfully collaborate with their colleagues. In 1999, the Board of Regents endorsed a new structure of certificate titles in general and

special education. In 2000, teacher preparation programs began offering programs aligned with the new titles. Prior to February 2004, there had been only one special education certificate for teaching students with disabilities Pre-K through Grade 12, in all instructional settings. The 1999 changes to the special education certificate structure focused on student developmental levels and academic content knowledge, to ensure that special educators had sufficient content knowledge in at least one academic subject. This special education redesign resulted in a four-tiered certification structure. Since the changes to the State certification requirements went into effect, the Department has analyzed data related to the supply and demand of special education teachers and found that there is a shortage of these teachers with the appropriate certification to teach students with disabilities in grades 7-12. Approximately 50 percent of students with disabilities are in the birth to grade six, yet, for those students selecting special education as a teaching profession, 80 percent are being prepared at the early childhood or childhood level and only 20 percent at the middle or secondary level. This issue is further exacerbated since the 20 percent are divided between the middle childhood level (5-9) and the secondary level (7-12) and further subdivided by academic disciplines.

Establishment of a students with disabilities generalist certificate at the adolescence level and the phasing out of the students with disabilities 5-9 generalist and content specialist and 7-12 content specialist will entice more candidates into the adolescence level as generalists who can act in supportive roles such as consultant teacher and provide resource room services. These teachers can further develop content expertise through a subject area extension and teach the subject to a special class with required weekly collaboration and monthly co-teaching with a certified general education content specialist.

As more and more students with disabilities are included in regular classes, all teachers must be better prepared to teach students with disabilities. The rule also requires all teacher preparation programs to include a minimum of three semester hours in educating students with disabilities and defining the elements of those semester hours coupled with a focusing a specific number of hours of required field experience that must focus on the needs of students with disabilities to ensure that all teachers are prepared to instruct such students to their highest level of achievement.

Legal Basis for Rule: Education Law §§ 207(not subdivided), 305(1) and (2), 3001, 3004(1) and (6) and 3006.

Section 52.1(a)(6), 52.21(c)(7) & 80-3.10(a)(1)(ii)(a)(3) Clinically Rich Pilot Program for School Building Leaders

Description of Rule: The rule amends Sections 52.1, 52.21 and 80-3.10 of the Regulations of the Commissioner of Education, effective May 25, 2010, relating to the establishment of a clinically rich principal preparation program. The purpose of the rule is to establish program registration standards for the clinically rich principal preparation pilot program and to authorize institutions, other than institutions of higher education, and that are selected by the Board of Regents to offer principal preparation programs under this pilot program.

Need for Rule: The purpose of creating the clinically rich pilot program is to address the retention issue in high need schools and improve student growth and achievement in high need schools. Research studies show that school leaders are critical to helping improve student performance and preparation programs that are grounded in intensive clinical experiences prepare effective school leaders. To maximize student growth and achievement in high need schools, the Department will select program providers for the clinically rich principal preparation pilot program through a Request for Proposal (RFP) process.

In order to ensure that any program selected to offer a clinically rich principal preparation program is of high quality, the Board of Regents will establish a Blue Ribbon Commission to evaluate all applications. This Blue Ribbon Commission will be comprised of highly renowned teacher educators. The Blue Ribbon Commission will make recommendations to the Board of Regents for those programs that should be authorized to establish clinically rich principal preparation programs, from collegiate and non-collegiate providers or in partnerships. The goal is to create a process that will ensure a rigorous programmatic

review and to select only the highest quality providers to assist in the preparation of principals for our high need schools. In addition, non-collegiate programs will be required to seek accreditation from an education preparation program accrediting body approved by the Board of Regents.

The rule authorizes institutions, other than institutions of higher education, to offer the graduate level clinically rich pilot program. Such institutions shall include, but not be limited to, cultural institutions, libraries, research centers, and other organizations with an educational mission that are selected by the Commissioner for participation through the RFP process.

To prepare effective principals for high need schools, the graduate level clinically rich pilot program shall include at least one continuous school year of mentored clinical experience, centered on practicing research-based educational leadership skills. Pedagogical study linking theory and practice will be embedded in the clinical experience.

Legal Basis for Rule: Statutory Authority: Education Law §§ 207, 210, 305(1) and (2), 3001(2) and 3007(2).

Section 52.21 Clinically Rich Teacher Preparation Program

Description of Rule: The rule amends section 52.21 of the Regulations of the Commissioner of Education, effective November 19, 2010, relating to the clinically rich graduate level teacher preparation program. The purpose of the rule is to amend the clinical experience component of the pilot programs to allow program providers to offer less than a year of mentored clinical experience to provide program providers with the flexibility they need to be as innovative as possible.

Need for Rule: At its November 2009 and December 2009 meetings, the Board of Regents approved the conceptual framework for graduate level clinically rich teacher preparation pilot programs. At its April 2010 meeting, the Board approved an amendment to the Commissioner's regulations to establish a graduate level clinically rich teacher preparation pilot program, effective May 1, 2010.

The regulatory amendments adopted in April 2010 also required that the pilot programs include at least one continuous school year of mentored clinical experience, grounded in the teaching standards currently being developed, and centered on practicing research-based teaching skills that make a difference in the classroom.

A competitive bidding process will be implemented to select program providers for the graduate level clinically rich teacher preparation pilot program. In order to provide program providers with the flexibility they need to be as innovative as possible, the Department believes that the one school year requirement for clinical experience is too restrictive. Therefore, the rule changes the required clinical experience component of the pilot program to require up to one continuous school year of mentored experience.

Legal Basis for Rule: Education Law §§ 207, 208, 210, 214, 216, 224, 305(1), (2) and (7), 3004(1) and 3006(1).

Section 80-4.3 Flexibility in Teacher Certification to Avoid or Mitigate a Reduction in Force

Description of Rule: The rule amends Section 80-4.3 of the Regulations of the Commissioner of Education, effective April 27, 2010, relating to teacher certification flexibility to avoid or mitigate reductions in force. The purpose of the rule is to provide teacher certification flexibility during a demonstrated fiscal crisis to allow school districts and BOCES to reassign effective classroom teachers to another grade level to avoid reductions in force.

Need for Rule: In 2010, the Board of Regents adopted an amendment to section 80-4.3 of the Commissioner's regulations to provide school districts and BOCES with flexibility in certification when there was a demonstrated immediate fiscal crisis and the certification flexibility would avoid a reduction in force. In 2010, the Regents created certification flexibility in the following areas:

Grades 7-12 Academic Area Certification Extended to Grades 5 and 6

The 2010 amendment allows a district or BOCES to reassign a teacher who is employed by a school district and BOCES and certified in the classroom teaching service in a subject area in grades 7-12 to teach that same subject area in grades 5 or 6 through a limited extension to the teacher's existing certificate. The limited extension will be

valid for two years and shall be valid with that employing entity only. A full extension may be issued to the candidate if the candidate meets the requirements within those two years.

Childhood Education Extended to Grades 7 and 8

The 2010 amendment also authorizes a certified and qualified elementary school teacher (grades 1-6) to be reassigned to a position teaching an academic subject in grades 7 and 8. The teacher would need to have appropriate education and experience for such teaching assignment as demonstrated by earning Highly Qualified status under NCLB in order to be granted a limited extension to their existing certificate title. Also, the teacher must agree to: 1) successfully complete the Content Specialty Test in that subject area, and 2) complete 6 semester hours of course work in Middle Childhood Education, within the next two years to qualify for the full certificate extension when their limited extension expires.

The Limited extensions certificates for teacher certification flexibility would not be renewable and would expire at the end of the two-year period. It is intended that these Limited Extensions would provide a two-year bridge to authorize teaching for an already experienced teacher who is seeking to complete any remaining requirements to qualify for the full certificate extension in the new teaching assignment.

Currently, school districts and BOCES may only use this certification flexibility if they can demonstrate an immediate fiscal crisis and that such certification flexibility would avoid a reduction in force. The current regulation also sunsets in June 2013. The rule would create additional flexibility in the assignment of teachers to these grade levels. The rule eliminates the requirement that districts or BOCES demonstrate an immediate fiscal crisis or a reduction in force. The employing entity would only need to demonstrate that the certification flexibility would provide for a more efficient operation of the school district or BOCES. The rule also eliminates the sunset provision.

The rule addresses certification issues only. Hiring decisions or appointments to tenure areas continue to be governed by existing law and rules. For example, if, due to a previous reduction in force, a preferred eligibility list exists that covers the tenure area where the district seeks to fill a position, the school district must use the preferred eligibility list first before making any new appointments to that tenure area. Also, any reassignments to a new tenure area require the consent of the teacher and result in the teacher serving a probationary period in the new tenure area.

Legal Basis for Rule: Statutory Authority: Education Law §§ 207(not subdivided), 3001 and 3004(1).

Section 100.2(o) Annual Evaluations for Teachers

Description of Rule: The rule amends Section 100.2(o) of the Regulations of the Commissioner of Education, effective May 1, 2010, relating to the annual professional performance reviews for teachers in the classroom teaching service. The purpose of the rule is to require school districts and BOCES to provide timely and constructive feedback to teachers as part of their annual evaluations, implement uniform designated rating categories for the evaluation of teachers, and mandate that a ninth evaluation criteria, i.e., student growth be utilized in the evaluation of teachers.

Need for Rule: As part of the current Annual Professional Performance Review ("APPR") set forth in section 100.2 of the Commissioner's regulations, school districts and BOCES are required to perform annual evaluations of their teachers and the evaluation must be based on at least eight evaluation criteria prescribed in regulation. As part of its reform agenda for strengthening teaching, the Board of Regents have made a policy determination to make four major changes to the current requirements for the annual professional performance reviews of teachers.

First, the rule requires school districts and BOCES to include student growth as a mandatory criteria to be used in the evaluation of teachers. The rule defines student growth as a positive change in student achievement between at least two points in time as determined by the school district or BOCES, taking into consideration the unique abilities or disabilities of each student, including English language learners.

Secondly, the rule requires school districts and BOCES to imple-

ment the following uniform qualitative rating categories/criteria in the evaluation of its teachers: Highly Effective, Effective, Developing and Ineffective. The rule also defines each of these quality rating categories/criteria.

The rule also requires that school districts and BOCES to provide timely and constructive feedback to the teacher. The rule requires school districts and BOCES to include in their professional performance review plan a description of how it will provide timely and constructive feedback to its teachers on all criteria evaluated, including data on student growth for each of their students, the class and the school as a whole and feedback and training on how the teacher can use such data to improve instruction as part of the teacher's APPR.

Where the Commissioner finds that a collective bargaining agreement was executed by a school district or BOCES pursuant to Article 14 of the Civil Service Law prior to the effective date of this regulation and whose terms are inconsistent with the new provisions of this regulation the Commissioner will grant a variance from that portion of the regulation for the duration of the existing collective bargaining agreement.

Lastly, the rule eliminates the reporting requirements which previously required school districts and BOCES to annually report information related to the school district's efforts to address the performance of teachers whose performance is rated as unsatisfactory.

Legal Basis for Rule: Education Law §§ 207(not subdivided).

Section 145-2.2 TAP

Description of Rule: The rule amends section 145-2.2 of the Regulations of the Commissioner of Education relating to the new standards for academic progress for the tuition assistance program for the 2010-2011 academic year. The purpose of the rule is to implement Chapter 53 of the Laws of 2010 and provide clarity as to what constitutes a program of remedial study to determine whether the 2006 or 2010 standards of academic progress apply for the 2010-2011 academic year.

Need for Rule: The enacted 2010-11 New York State budget included new provisions for TAP which are set forth in Chapter 53 of the Laws of 2010. In particular, Chapter 53 establishes new standards of academic progress (SAP) for non-remedial students first receiving State aid in 2007-08 and thereafter. These standards take effect for students enrolled in the 2010-11 academic year. These standards, however, do not apply to "students enrolled in a program of remedial study approved by the Commissioner."

The intent of the new law is to ensure that students receiving TAP funds and not needing remedial instruction or needing only a small amount of such remedial instruction demonstrate sufficient academic progress to complete their academic program in a timely manner. The intent is not to deny TAP to students who need remedial instruction.

However, a problem arises for some students who entered college on or after 2007-08 and were meeting the standards of academic progress established in 2006-07. Now they are faced with new standards which may preclude them from being eligible for TAP for the 2010 fall term. For example, for students in a baccalaureate program based on semesters, under the 2006 SAP requirements, students must have completed at least 21 credits by the end of the fourth term in order to be eligible for TAP in the fifth term. However, under the new 2010 SAP students now must have completed 30 credits by the end of the fourth term to be eligible for TAP in the fifth term. Some students are therefore put into a situation where they were not aware of the new requirements and could not possibly have time to take additional credit hours to meet the new standards in the 2010 SAP. A similar situation is also true for students pursuing an associate degree.

To remedy this situation, in the rule, these returning students that "fall in the gap" between the 2006 and 2010 SAP, will be deemed to be remedial students for the 2010-11 academic year only and therefore can continue to be eligible for TAP under the 2006 SAP. The rationale is that these "gap" students are not progressing along their academic programs at a rate of success that the State finds acceptable for participation in the TAP program. They therefore are being given an academic year to achieve the level of academic performance necessary for participation in TAP.

For purposes of the new standards of academic progress established

in Chapter 53 of the Laws of 2010, a student shall be deemed to be in a program approved by the Commissioner for remedial study if he/she: (1) is enrolled in the Higher Education Opportunity Program (HEOP), the Education Opportunity Program (EOP), The Search for Education, Elevation and Knowledge (SEEK) program or the College Discovery (CD) program; (2) takes six credit hours of remedial instruction the first semester and at least nine credit hours of remedial instruction in the first year; or (3) takes three credit hours of remedial instruction in the first semester and six credit hours of remedial instruction in the second semester. Remedial courses taken in the summer session preceding the first academic year may count towards the required nine or more credits of remedial instruction for the purpose of program approval by the Commissioner for remedial study. In addition, for students first becoming eligible for TAP in the 2010-2011 academic year due to a change in their financial circumstances, remedial courses taken in a previous academic year may also be counted. For the 2010-11 academic year only, a student who first received an award prior to the 2010-2011 academic year and does not meet the eligibility requirements to be certified for TAP under the 2010-2011 SAP shall be deemed to be in an approved program of remedial study for the 2010-11 academic year solely for the purpose of defining which standards of academic progress apply for the 2010-11 academic year. This includes students who become ineligible for TAP in the Spring 2010 term because they have insufficient time to adjust their schedule in the Fall term to carry the required number of credits under the new standards of academic progress due to courses becoming unavailable, full or because the add/drop period has ended. The Department will issue guidance on this issue to the colleges.

Legal Basis for Rule: Education Law §§ 207(not subdivided), 602(1), 661(2) and 665(6) and Chapter 53 of the Laws of 2010.

Part 162 VTA Tuition Awards

Description of Rule: The rule amends Subparts 79-9, 79-10, 79-11 and 79-12 of the Regulations of the Commissioner of Education, effective July 14, 2010, relating to licensure requirements for mental health counselors, marriage and family therapists, creative arts therapists and psychoanalysts. The purpose of the rules is to change the current requirements relating to experience and limited permits in each of these professions to conform to current practice. The rule also adds a new section to the existing regulations in each of these professions to allow the Department to endorse a license issued in another jurisdiction if the applicant meets certain education, experience and examination requirements.

Need for Rule: The purpose of the rule is to conform Part 162 of the Regulations of the Commissioner of Education to Chapter 57 of the Laws of 2008 to allow Persian Gulf, Afghanistan and other Eligible Combat veterans to receive veterans tuition awards (VTA) for veterans enrolled in approved undergraduate or graduate programs at degree granting institutions or enrolled in approved vocational training programs and who apply for a tuition assistance program award. The rule also conforms the current regulations to current practice by authorizing the Commissioner to approve for VTA funding vocational training programs whose curricula is approved or developed by another state agency acceptable to the Department.

Legal Basis for Rule: Education Law §§ 207, 6506, 8402, 8403, 8404, 8405, and 8409 of the Education Law.

Agency Representative:

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OFFICE OF THE PROFESSIONS

Sections 59.14 & 29.18 Mental Health Corporate Practice Waiver

Description of Rule: The rule adds a new section 29.18 to the Rules of the Regents and a new section 59.14 to the Regulations of the Commissioner relating to waivers from corporate practice restrictions for certain entities to provide services under Articles 154 or 163 of the Education Law or psychotherapy services as defined in section 8401(2) of the Education Law and services authorized and provided under Articles 131, 139 or 153 of the Education Law. The purpose of the rule is to allow the Department to issue waivers to qualified not-for-profit or educational corporations, so that these entities may employ licensed professionals or authorized individuals to provide services that are restricted under Title VIII of the Education Law.

Need for Rule: Chapters 130 and 132 of the Laws of 2010 amend the Education Law to address critical issues relating to the authority of certain entities to employ licensed master social workers (LMSW), licensed clinical social workers (LCSW), licensed mental health counselors (LMHC), licensed marriage and family therapists (LMFT), licensed creative arts therapists (LCAT), licensed psychoanalysts (LP), and licensed psychologists and to provide services within the scopes of practice of those professions. Prior to the restrictions on practice of those professions established by laws enacted in 2002, any individual or entity could provide psychotherapy and other services that are now restricted. While the new licensing laws provided exemptions for individuals in certain programs, these exemptions did not extend to thousands of not-for-profit and educational corporations throughout New York that provide essential services. This affected not only access to services for vulnerable persons, but also the ability of new graduates to meet the experience requirements for licensure in authorized settings, thereby restricting access to the licensed professions.

On June 18, 2010, Governor Paterson signed into law Chapters 130 and 132 of the Laws of 2010 to authorize the Department to issue waivers authorizing qualified entities to provide certain professional services; to accept supervised experience for licensure completed in settings that are eligible for waivers; to extend the exemption from licensure requirements for individuals in certain programs; and to mandate the Department to recommend, by July 1, 2012, with input from exempt agencies and key stakeholders, any amendments in laws or regulations needed to fully implement licensure by July 1, 2013.

The new section 6503-a of the Education Law authorizes the Department to issue a waiver to certain not-for-profit or educational corporations that were in existence on the effective date of the law, June 18, 2010. An entity must submit a waiver application within 120 days of the applications being posted on the Department's website and may continue to provide services until the application is approved or denied. The law allows entities to continue providing services until July 1, 2012, but if an application is denied by the Department, the entity must cease providing professional services in New York.

The law is very clear that the waiver is not intended to supplant the authority of other State agencies, such as the Department of Health or Office of Mental Health, that have oversight of health and mental health services. In reviewing applications for a waiver, the law requires the Education Department to collaborate with other State agencies to ensure public protection by minimizing the risk of an unqualified entity receiving a waiver to provide professional services. There are also provisions in the law in regard to eligible entities, professional services that may be offered by entities, oversight by the Board of Regents, and attestations by each officer or director of the entity that he or she is of good moral character. An entity that receives a waiver under the law must apply for a renewal every three years and must request a waiver certificate for each site in New York at which professional services are provided.

Section 6503-a identifies a number of entities that do not require a waiver from the corporate practice prohibitions, including any entity with an operating certificate issued under the Public Health Law, Mental Hygiene Law or in accordance with comparable procedures by a State, federal or local government agency; an institution of higher education that provides a program leading to licensure in medicine, nursing, psychology, social work or the mental health professions; an institution of higher education that provides counseling to students,

staff and family members of students and staff; and a university faculty practice corporation. The law allows the Regents to identify in regulation other entities that do not require a waiver, provided that such entity is otherwise authorized by law to provide such services.

The rule implements the provisions of law by setting forth the requirements to be met by a qualified entity in order to receive a waiver. These include, but are not limited to, the submission of the certificate of incorporation or other documentation that authorizes the entity to provide services described in the law and a description of the services that will be offered to the public. The entity must attest to adequate financial resources and that it will comply with section 18 of the Public Health Law in regard to access to patient information and records. Although the granting of a waiver resolves the issue of the authority of the entity to provide professional services, only licensed or authorized persons may provide services, and the entity is responsible for verifying the licensure of providers and the appropriate supervision of interns or permit holders who are only authorized to practice under supervision.

The addition of section 29.18 of the Rules of the Board of Regents implements the Board of Regents disciplinary authority over entities receiving waivers under Education Law section 6503-a. The rule clarifies that the entity is subject to the same professional misconduct provisions of the Regents Rules as a licensed professional or professional entity, and that the entity has the same due process rights as a licensed professional or professional entity.

Legal Basis for Rule: Education Law §§ 207(not subdivided), 6501(not subdivided), 6503-a, 6504(not subdivided), 6506(6), 6507(2)(a), 6508(1), 6509 (not subdivided), 6510 (not subdivided) and 6511 (not subdivided) of the Education Law.

Section 61.15& 61.18 Continuing Education for Dentists

Description of Rule: The amends Sections 61.15 and 61.18 of the Regulations of the Commissioner of Education, effective January 27, 2010, relating to continuing education and limited permits for dentists. The purpose of the rule is to implement the provisions of Chapter 436 of the Laws of 2009.

Need for Rule: Existing regulations governing the ethics and jurisprudence component of mandatory continuing education for licensed dentists requires that this course be taken during the first registration period in which completion of formal education is required, which occurs after a dentist is licensed. The rule implements section 6604-a, as amended by Chapter 436 of the Laws of 2009, by permitting a postgraduate dental student enrolled in an approved residency program to take the dental jurisprudence and ethics course during their residency program, prior to licensure.

Existing regulations that describe the residency requirement for dental licensure make no provision for the registration of residents, or the payment of a residency fee. The rule implements section 6605(5) of the Education Law, as amended by Chapter 436 of the Laws of 2009, by requiring dental residents in an approved residency program to register with the Department and pay a registration fee equal to the amount now charged for a limited permit.

Legal Basis for Rule: Education Law §§ 207(not subdivided), 6504(not subdivided) 6507(2)(a), 6604-a(6) and 6605(5) of the Education Law.

Section 69.2(b)(2) Architectural Licensing Examination

Description of Rule: The rule amends section 69.2 of the Regulations of the Commissioner of Education relating to the examination requirements for licensure as an architect. The purpose of the rule is to align the New York State requirements for licensure with current national standards set by the National Council of Architectural Registration Boards (NCARB) regarding the retention of credit for Architect Registration Examination (ARE) divisions passed prior to January 1, 2006 and extensions to the existing five year rolling clock.

Need for Rule: The purpose of the rule is to align the New York State requirements for licensure with current national standards set by the National Council of Architectural Registration Boards (NCARB) regarding the retention of credit for Architect Registration Examination (ARE) divisions passed prior to January 1, 2006.

In 2005, the Board of Regents enacted a five year rolling clock for

Architecture Registration Examination (ARE) divisions passed on or after January 1, 2006. This rolling clock gave such applicants for licensure five years to pass all divisions of what was, at the time, a nine division exam. Under prior regulations, an applicant may retain credit for ARE divisions passed prior to January 1, 2006 without time limitation. The rule provides that applicants who have passed a division of the ARE prior to January 1, 2006 will lose credit for those divisions if they have not successfully completed the ARE on or before June 30, 2014. This change would be consistent with a recent policy change by NCARB, which, at its Annual Meeting in 2009, voted to extend the five-year rolling clock provision to ARE divisions passed prior to January 1, 2006.

Since 1983, the ARE has transitioned four times. In June 1987, the ARE had a total of nine divisions, consisting of seven multiple choice and two graphic divisions, and was given in a paper and pencil format. By July 2008, the ARE had a total of 7 divisions, with the graphic divisions fully incorporated into the multiple choice divisions, and the exam is now taken and scored by computer. In between, there were transitions in 1988 and 1997 that both combined and split divisions, changing the configuration of the exam.

One of the critical components of licensure is an exam that ensures a minimum threshold of competency within the profession. Given the numerous division transitions within the ARE, enactment of a five-year rolling clock on divisions passed prior to January 1, 2006 will ensure that a candidate has passed the exam as a whole, and not numerous parts of different exams over many years.

The rule also contains extension provisions to the existing five year rolling clock requirement. The State Education Department may allow extensions to this rolling clock for the birth or adoption of an applicant's child, an applicant's serious medical condition, active service in the Armed Forces, or for extreme hardships or other circumstances beyond the applicant's control. If the Department finds that the conditions for an extension are met, the Department may grant an applicant an appropriate extension.

Legal Basis for Rule: Education Law §§ 207, 6504, 6507, and 7304.

Section 70.10 CPA Mandatory Quality Review

Description of Rule: The rule adds a new section 70.10 to the Regulations of the Commissioner of Education relating to the mandatory quality review program in public accountancy. The purpose of the rule is to establish the requirements for the mandatory quality review program for public accountancy to implement section 7410 of the Education Law, as added by Chapter 651 of the Laws of 2008.

Need for Rule: Section 7410 of the Education Law requires all firms, as a condition of renewal of their registrations, to undergo a quality review of the firms' attest services as a condition to renewal of their registration, in a manner specified in the Regulations of the Commissioner. Sole proprietorships and firms with two or fewer accounting professionals are exempt from quality review; however, such firms may voluntarily participate in the quality review program.

The quality review process must include a verification that individuals in the firm who are responsible for supervising attest services or who sign or authorize someone to sign the accountant's report on the financial statements meet competency requirements set out in professional standards for such services and in the Regulations of the Commissioner of Education.

In addition, the new law requires the Commissioner's regulation to include reasonable provisions for compliance by an applicant for firm registration showing that the firm has undergone a quality review in the last three years or a peer review in another state that is the satisfactory equivalent; require that organizations that administer quality review programs be subject to evaluations by the Department or its designee to periodically assess the effectiveness of the quality review program; and require that quality reviews be conducted by reviewers acceptable to the Department in accordance with Commissioner's regulations. In addition, the Commissioner of Education is authorized to require firms undergoing quality review and organizations administering quality review programs to timely submit quality review reports to the State Board for Public Accountancy. Reports submitted must be maintained as confidential in accordance with state law, unless the report is admitted into evidence in a hearing held by the Department.

Any firm, including a sole proprietorship or a firm with two or fewer accounting professionals, that performs attest services for any New York state or municipal entity performing a governmental or proprietary function for New York State or performs attest services specifically required pursuant to New York State law must undergo an external peer review in accordance with Government Auditing Standards issued by the Comptroller General of the United States.

Legal Basis for Rule: Education Law §§ 207(not subdivided), 6501(not subdivided), 6504(not subdivided), 6506(6) and 7410 of the Education Law.

Subpart 74 Social Work Regulations

Description of Rule: The rule amends sections 74.3, 74.4, 74.5, 74.6 and 74.7 and adds a new section 74.9 to the Regulations of the Commissioner of Education relating to limited permits for licensed master social workers (LMSW) and licensed clinical social workers (LCSW) and experience, supervision, and endorsement requirements for licensure as a LCSW in New York. The purpose of the rule is to expedite the processing of applications for licensure as a LCSW in New York State and to provide clarity regarding acceptable supervised experience for licensure as a LCSW to ensure public protection and to establish requirements for the endorsement of certain out-of-state licensed clinical social workers.

Need for Rule: Section 7704(2) of the Education Law requires an applicant seeking licensure as a LCSW to complete three years of full-time supervised post-graduate clinical social work experience in diagnosis, psychotherapy and assessment-based treatment planning, or its part-time equivalent obtained over a period of not more than six years. The law does not require the applicant to complete any other social work experience, although the practice of licensed clinical social work includes other activities, including case management, advocacy, and testing. Such activities are not acceptable toward completion of the experience requirement under the current law. The rule requires an applicant to complete 2,000 client contact hours in diagnosis, psychotherapy, and assessment-based treatment planning over a period of not less than 36 months and not more than 72 months under a qualified supervisor. While this is a 30 percent reduction from the current requirement of 2,880 client contact hours over the same period of time, it is still among the highest requirements for clinical hours in the U.S., and the Department believes 2,000 client contact hours provides sufficient experience to ensure client protection once the applicant is licensed.

The rule amends section 74.3 of the Commissioner's regulations to clarify the experience requirements for licensure as a LCSW in New York. The rule requires an applicant for licensure to complete the required experience as a LMSW or permit holder in New York, except in certain limited circumstances. For experience completed in another jurisdiction, the experience must be obtained after the applicant completes his or her master's degree. The rule requires the applicant to complete the experience in an acceptable setting under a qualified supervisor, as defined in section 74.6 of the Commissioner's regulations. The rule requires the supervisor to maintain records of the applicant's client contact hours and supervision and to submit verification of the client contact hours and supervision on forms prescribed by the Commissioner.

The rule also amends section 74.4 of the Commissioner's regulations to clarify that limited permit applicants must be of good moral character and that the permit may only be issued for work in an authorized setting under a qualified supervisor. In addition, the rule strengthens the requirement that the supervisor is responsible for the services provided by the permit holder and limits a licensee to supervising no more than five permit holders at any one time. Since the permit holder is only authorized to practice under supervision, this restriction is appropriate for public protection and consistent with the requirements in other professions. A LMSW or LCSW permit holder who is practicing clinical social work under supervision must be under general supervision as defined in the rule.

Currently, section 74.5 of the Commissioner's regulations establishes the fee and experience requirements for a LCSW to qualify for the insurance privilege established in section 3221(l)(4)(D) or 4303(n) of the Insurance Law. The rule increases the application fee from \$85

to \$100 and continue the requirement that the applicant complete 2,400 client contact hours of psychotherapy. However, prior regulations allow experience completed before licensure to be submitted and the rule clarifies the intent of the law that experience must be after licensure as an LCSW over a period of not less than three years. Under the rule, the applicant would have to have no less than 400 client contact hours in any one year in order to qualify for the privilege. In order to clarify the process of meeting the requirements in Insurance Law, the rule also defines an acceptable setting for the practice of licensed clinical social work and requires a LCSW to submit for approval by the State Board for Social Work a plan for appropriate supervision. The rule also defines acceptable supervision for the privilege as two or more hours per month of individual or group consultation or enrollment in a program in psychotherapy offered by an institution of higher education or by a psychotherapy institute chartered by the Board of Regents. This rule eliminates peer supervision, which is not authorized by the Insurance Law, and clarifies the pathway to the insurance privilege.

The rule amends section 74.6 of the Commissioner's regulations to establish the supervision requirements for a licensed master social worker providing clinical social work services. A LMSW who has submitted an application for licensure as a LCSW must maintain registration as a LMSW in New York and may only practice under supervision until licensed as a LCSW. The amendments clarify what constitutes an acceptable setting for the practice of clinical social work and require the supervisor to provide at least 100 hours of individual or group supervision to the LMSW, distributed appropriately over a period of at least 36 months. The LMSW would also be able to submit a plan for supervised experience toward licensure as a LCSW, for review and approval by the State Board for Social Work. By obtaining such approval prior to starting a position, an applicant would be able to avoid working for three years in a position which cannot be accepted toward meeting the experience requirements for licensure as a LCSW because the setting or supervisor was not authorized by law and/or regulation. The State Board's review and approval of the voluntary plan would both protect the public and provide assurances to the LMSW that the setting and supervisor are authorized to engage in the practice of clinical social work in New York. Since a LMSW may provide diagnosis, psychotherapy and assessment-based treatment planning under supervision without seeking licensure as an LCSW, the amendment requires such a LMSW to receive at least two hours per month of in-person individual or group clinical supervision.

Section 7706(2) of the Education Law provides an exemption from licensure for an individual with a bachelor's degree in social work, if the person is under the general supervision of a LMSW or LCSW and engages in non-supervisory and non-clinical activities only. The rule amends section 74.7 of the Commissioner's regulations to provide standards for an individual with a BSW or MSW degree to provide licensed master social work services, under supervision. In order to clarify the boundaries of practice, the rule clearly states that the individual may not provide administrative supervision or engage in the practice of licensed clinical social work or use the title "LMSW" or "LCSW."

The rule adds a new section 74.9 to allow the Department to endorse for practice in New York the license of an LCSW licensed in another jurisdiction. The applicant would have to have at least 10 years of licensed practice during the 15 years immediately preceding the application for licensure in New York. In addition, the applicant must demonstrate: licensure as a LCSW on the basis of an a master's degree in social work from an acceptable school, post-degree supervised clinical experience, and the passage of a clinical examination in social work acceptable to the department. The applicant must also be of good character, complete coursework in the identification and reporting of suspected child abuse, and submit the application for licensure and fee established in law and regulation.

Legal Basis for Rule: Education Law §§ 207(not subdivided), 212(3), 6501(not subdivided), 6504(not subdivided), 6506(6), 6507(2)(a), 6508(1), 7704(2)(c), 7705(1), and 7706(1) through (5) of the Education Law.

Subparts 79-9, 79-10, 79-11, 79-12 Mental Health Regulations

Description of Rule: The rule implements requirements of Article

163 of the Education Law and establishes endorsement provisions relating to licensure as mental health counselors, marriage and family therapists, creative arts therapists and psychoanalysts in New York State.

Need for Rule: In 2002, Article 163 was added to the Education Law to authorize the licensure and practice of mental health counselors, marriage and family therapists, creative arts therapists and psychoanalysts. The Board of Regents adopted regulations in 2005 to implement the provisions of Article 163 of the Education Law.

The rule changes current regulations in each of these professions in three major areas. First, the rule amends the experience requirements for licensure in each of these professions by requiring applicants to obtain experience under the general supervision of a qualified supervisor. The rule defines general supervision, requires a certain amount of clock hours of the supervised experience to consist of direct contact with clients, and requires that any supervised experience be performed by an applicant under a limited permit issued by the department. This ensures that the applicant is receiving appropriate supervision from a qualified supervisor in a setting that is authorized to provide services that are restricted under Title VIII of the Education.

The rule also eliminates the requirement that the individual supervising an applicant's experience have three years of licensed experience in the practice of the profession and defines what is considered an appropriate setting to receive licensure-qualifying experience in each of these professions. Due to the recent creation of these four mental health professions, the State Board has notified the Department of shortages in qualified supervisors because of the three-year experience requirement for supervisors. Eliminating the three-year requirement will decrease the shortages in qualified supervisors and be consistent with other professions.

Secondly, the rule clarifies that the Department will issue a limited permit to an applicant to practice under supervision while meeting the experience and/or examination requirements for licensure in these professions and that the limited permit shall identify a qualified supervisor. The rule requires that the permit identify a qualified supervisor acceptable to the department, and prohibits a supervisor from supervising more than five permit holders at a time, which reflects the significant role of the supervisor in overseeing the practice of permit holders.

Finally, a new section is added to the existing regulations in each of these professions to allow the Department to endorse a license issued in another jurisdiction if the applicant meets certain education, experience and examination requirements and the applicant has at least 5 years of experience in that profession, satisfactory to the State Board of Mental Health Practitioners, within the 10 years immediately preceding their application for licensure by endorsement.

Legal Basis for Rule: Education Law Sections 207 (not subdivided), 6501 (not subdivided), 6504 (not subdivided), 6506(6), 6507(2)(a), 6508(1), 8402(3)(c), 8403(3)(c), 8404(3)(c), 8405(3)(c) and 8409(1) of the Education Law.

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the continuation or modification of any of the above rules by contacting:

Douglas E. Lentivech
Deputy Commissioner for the Professions
New York State Education Department
Office of the Professions
89 Washington Avenue
West Wing, Second Floor - Education Building
Albany, NY 12234
(518) 486-1765
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OFFICE OF CULTURAL EDUCATION

Section 90.5 Reference & Research Library Resources Systems

Description of Rule: The rule amends section 90.5 of the Regulations of the Commissioner of Education to update certain terminology

and to clarify procedural requirements in the Commissioner's Regulations relating to reference and research library resources systems. Specifically, the rule expands the definition of plan of service and more accurately reflects the information to be included in a plan of service in order to be consistent with the description in other library system regulations. The rule also clarifies the requirements for a full-time director and eliminates references to obsolete practices and terms.

Need for Rule: The rule is needed to update certain terminology and to clarify procedural requirements in the Commissioner's Regulations relating to reference and research library resources systems. Specifically, the rule expands the definition of plan of service and more accurately reflects the information to be included in a plan of service in order to be consistent with the description in other library system regulations; the requirements for a full-time director are clarified; and references to obsolete practices and terms are omitted; in order to conform to Education Law section 272, as amended by Chapter 57 of the Laws of 2005, Part O, and to accurately reflect the current implementation of the statute.

Legal Basis for Rule: Education Law §§ 207, 215, 254, 255, 272(2), and 273.

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the modification or continuation of any of the above rules by contacting:

Mark Schaming
Deputy Commissioner for Cultural Education
State Education Department
Cultural Education Center
Room 10C34
Albany, NY 12230
(518) 474-5930

Mark.Schaming@nysed.gov

OFFICE OF OPERATIONS AND MANAGEMENT SERVICES

Section 3.2 Establish Audit Committee

Description of Rule: The rule amends section 3.2 of the Rules of the Board of Regents to establish a Regents standing committee on Audits/ Budget and Finance that will assist the Board of Regents in carrying out its financial oversight responsibilities by ensuring accountability through centralizing review and discussion of fiscal and audit issues related to the State Education Department.

Need for Rule: The rule is necessary to establish the Committee on Audits/ Budget and Finance as a standing committee of the Board of Regents to assist the Board of Regents in carrying out its financial oversight responsibilities by ensuring accountability through centralizing review and discussion of fiscal and audit issues related to the State Education Department. The Committee will: review State and federal budget actions; review financial reports and all audits of the Department; recommend budget priorities for the upcoming State fiscal year and actions needed to achieve budget reductions and close structural deficits; review select audits of other institutions in the University of the State of New York which may require Department action and submit recommendations and reports to the Full Board, as appropriate; and provide oversight of the Department's Office of Audit Services.

Legal Basis for Rule: Education Law section 207(not subdivided).

Section 3.2 AEWD Committee Name Change

Description of Rule: The rule amends section 3.2 of the Rules of the Board of Regents and is needed to change the name of a Regents standing committee from Committee on Adult Education and Workforce Development to "Committee on Adult Career and Continuing Education Services (ACCES)," in order to conform to a change of name of the Department's Office of Adult Education and Workforce Development to "Office for Adult Career and Continuing Education Services (ACCES)."

Need for Rule: The Office of Adult Education and Workforce Development was established under a recent reorganization of the State Education Department that abolished the Office of Vocational

Educational Services for Individuals with Disabilities (VESID), and transferred responsibility for adult education, workforce development, vocational rehabilitation and proprietary school supervision to the new Adult Education and Workforce Development committee, and transferred responsibility for special education to a new Office of P-12 Education.

The Office of Adult Education and Workforce Development intends to change its name to Office for Adult Career and Continuing Education Services (ACCES). The rule is needed to make a conforming change in the name of the Regents standing committee from Committee on Adult Education and Workforce Development to "Committee on Adult Career and Continuing Education Services (ACCES)."

Legal Basis for Rule: Education Law section 207(not subdivided).

Section 3.2 Regents Standing Committees

Description of Rule: The rule is necessary to conform the Regents Rules to recent changes in the internal organization of the State Education Department, relating to the standing committees of the Board of Regents.

Need for Rule: The rule is necessary to conform the Regents Rules to a recent reorganization of the committee structure of the Board of Regents so that the Board may more effectively meet its statutory responsibilities. The rule conforms the Rules of the Board of Regents to the recent reconfiguration of the standing committees of the Board of Regents, as follows:

(1) The Committee on Elementary, Middle, Secondary and Continuing Education will be renamed the "Committee on P-12 Education."

(2) A new Committee on Adult Education and Workforce Development will be created.

(3) The Committee on Vocational and Education Services for Individuals with Disabilities is abolished, and its functions regarding vocational rehabilitation will be transferred to the Committee on Adult Education and Workforce Development, and its functions regarding special education programs and services for students with disabilities will be transferred to the Committee on P-12 Education.

(4) The adult education and workforce development functions of the Committee on P-12 Education will be transferred to the Committee on Adult Education and Workforce Development.

(5) The functions of the Committee on Adult Education and Workforce Development regarding proprietary school supervision are specified.

(6) The former Committee on Policy Integration and Innovation is abolished.

(7) Clarification is provided regarding the ex officio membership of the chancellor, vice chancellor, and chancellor emeritus on each subcommittee, task force and work group.

(8) Several minor technical changes are made to the Rules to add a reference to Regents work groups and to provide for reasonable notice of meetings to committee members.

The Board of Regents has determined that the reorganization of the committee structure is necessary to assist the Board of Regents to effectively meet its responsibilities to govern the University of the State of New York, determine the educational policies of the State and oversee the State Education Department. The committee reorganization is also consistent with a current restructuring of the Department's internal organization. The rule conforms the Regents Rules to recent changes to the names and functions of certain Regents standing committees so that they may efficiently and effectively carry out the Board's work. The minor technical changes with conform the Rules to the current nomenclature and practice used by the Board.

Legal Basis for Rule: Education Law section 207(not subdivided).

Section 3.8 Senior Deputy Commissioner

Description of Rule: The rule is necessary to conform the Regents Rules to changes in the internal organization of the State Education Department, relating to the designation of the Senior Deputy Commissioner for P-12 Education as the Deputy Commissioner of Education as specified in Education Law section 101, who shall exercise the duties of the Commissioner of Education in his absence or disability, or when a vacancy exists in the office of Commissioner.

Need for Rule: The rule is necessary to conform the Rules of the Board of Regents to changes made in the internal organization of the State Education Department, relating to the designation of the Senior Deputy Commissioner for P-12 Education as the deputy commissioner of education as specified in Education Law section 101, who shall exercise the duties of the Commissioner of Education in his absence or disability, or when a vacancy exists in the office of Commissioner.

Legal Basis for Rule: Education Law section 101(not subdivided).

Parts 275 & 276 Charter School Co-location Appeals

Description of Rule: The rule amends Parts 275 and 276 of the Regulations of the Commissioner of Education. The rule is necessary to implement Chapter 101 of the Laws of 2010 by establishing procedures for expedited appeals relating to New York City charter school location/co-location and building usage plans brought pursuant to Education Law §§ 310 and 2853(3)(a-5). Education Law § 2853(3)(a-5) requires that petitions in such appeals must be dismissed, adjudicated or disposed of by the Commissioner within ten days of the receipt of the New York City School District's response. The rule modifies existing notice, service and filing requirements in Parts 275 and 276 of the Commissioner's Regulations, relating to appeals to the Commissioner pursuant to Education Law § 310, to provide for such expedited appeals consistent with statutory requirements.

Need for Rule: The rule is necessary to implement Chapter 101 of the Laws of 2010 by establishing procedures for expedited appeals relating to New York City charter school location/co-location and building usage plans brought pursuant to Education Law §§ 310 and 2853(3)(a-5). Education Law § 2853(3)(a-5) requires that petitions in such appeals must be dismissed, adjudicated or disposed of by the Commissioner within ten days of the receipt of the New York City School District's response. The rule modifies existing notice, service and filing requirements in Parts 275 and 276 of the Commissioner's Regulations, relating to appeals to the Commissioner pursuant to Education Law § 310, to provide for such expedited appeals consistent with statutory requirements. The rule establishes procedures that accommodate the extremely short time frames imposed by the statute, while assuring that due process is provided through procedures which are workable and fair to both parties.

Legal Basis for Rule: Education Law §§ 101, 207, 305(1) and (2), 310, 311 and 2853(3)(a-5) and § 15 of Chapter 101 of the Laws of 2010.

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the modification or continuation of any of the above rules by contacting:

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E. CALENDAR YEAR 2005

OFFICE OF P-12 EDUCATION

100.1(t) State Learning Standards for Mathematics

Description of Rule: The rule revised the definition of State learning standards for mathematics.

Need for Rule: The rule is necessary to modify the definition of the State learning standards for mathematics, consistent with policy enacted by the Board of Regents. The rule added the following provision: "Students will, through the integrated study of number sense and operations, algebra, geometry, measurement, and statistics and probability, understand the concepts of and become proficient with the skills of mathematics, communicate and reason mathematically and become problem solvers by using appropriate tools and strategies."

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2), 308, 309(not subdivided) and 3204(3).

125.1 Voluntary Registration of Nonpublic nursery schools and kindergartens

Description of Rule: The rule replaced the existing requirement in section 125.1(c) for annual visits of each registered nonpublic nursery school and kindergarten with a requirement that Department staff conduct annual visits of only those schools in the following categories: (i) schools with registration certificates that will expire during the year; (ii) schools operated by new applicants, including schools operated by new owners; schools located in newly constructed or renovated sites; and (iii) schools that require onsite technical assistance to alleviate regulatory non-compliance issues.

Need for Rule: The rule removed the requirement for annual visits by Department consultants to each of the registered schools, and replaced it with a visitation plan that is consistent with the current resources of the Department and the needs of the schools. The rule focuses on schools whose registration status may be in jeopardy for various reasons, by requiring annual site visits to the approximately twenty percent (30-40) of the schools that are in one or more of the following categories: (i) schools with registration certificates that will expire during the year; (ii) schools operated by new applicants, including schools operated by new owners; (iii) schools located in newly constructed or renovated sites; and (iv) schools that require onsite technical assistance to alleviate regulatory non-compliance issues.

The rule provides flexibility concerning the visits by Department staff to registered schools to determine compliance with regulatory requirements and will allow the Department to provide more focused technical assistance and support to schools targeted for annual visits to ensure compliance with the Commissioner's Regulations.

Legal Basis for Rule: Education Law sections 207 and 210.

100.3, 100.4 & 80-5.12 Middle-level education

Description of Rule: The rule implements a Regents Policy Statement on Middle-level Education. Districts with low-performing schools are authorized to propose a program that strengthens core academic subjects and effective academic intervention services, and provides all students with exploratory subjects that address the learning standards, are of high interest to students, and further reinforce core academic learning (Model B). Low-performing schools receive regulatory relief from the prescribed time requirements for units of study in the exploratory courses in order to implement their proposed program. Districts with new or high-performing schools are authorized to submit proposals for restructuring the full educational program (Model C#1) or specific program refinements (Model C#2) and be granted relief from programmatic regulatory requirements. In addition, the rule authorizes districts under certain circumstances to apply for approval to implement an "Experiment in Organization" that provides for the flexible assign of certified teaching staff. The rule also made technical changes to align the Commissioner's regulations with the State learning standards and clarifies testing requirements related to students with disabilities.

Need for Rule: The rule is necessary to implement Regents policy, and ensures that school districts have the flexibility they need to ensure that all students in State public schools are provided instruction in the State learning standards areas and have the skills, knowledge, and understanding necessary for success. The rule provides school districts additional flexibility in meeting State intermediate learning standards and increasing student proficiency in English language arts and mathematics consistent with the federal No Child Left Behind Act.

Legal Basis for Rule: Education Law sections 101, 207, 208, 215, 305(1) and (2), 308(not subdivided), 309(not subdivided), 4403(3) and 3713(1) and (2).

100.2(p) school and school district accountability

Description of Rule: The rule establishes criteria and procedures to ensure State and local educational agency compliance with the provisions of the federal No Child Left Behind Act of 2001 relating to academic standards and school/district accountability.

Need for Rule: The rule is in response to guidance provided by the U.S. Department of Education and is necessary to ensure consistency with NCLB accountability requirements and the Individuals with Disabilities Education Improvement Act of 2004 (Pub. L. 108-446). NCLB section 1111(b)(2) requires each state that receives funds to demonstrate, as part of its State Plan, that the state has developed and is implementing a single, statewide accountability system to ensure

that all LEAs, public elementary schools and public high schools make adequate yearly progress (AYP). Each state must implement a set of yearly student academic assessments in specified subject areas that will be used as the primary means of determining the yearly performance of the state and each LEA and school in the state in enabling all children to meet the State's academic achievement standards.

Legal Basis for Rule: Education Law sections 101, 207, 210, 215, 305(1), (2) and (20), 309(not subdivided) and 3713(1) and (2)

100.5 State assessments, graduation and diploma requirements

Description of Rule: The rule revised requirements for obtaining a Regents high school diploma, a Regents diploma with advanced designation, and a local high school diploma. The rule phased-in the 65 passing score on the five required Regents examinations to meet graduation requirements by requiring students who enter grade 9 in the 2005-06 school year to achieve 65 or above on two required Regents examinations and a score of 55 or above on the remaining three required Regents examinations, by requiring students who enter grade 9 in the 2006-07 school year to achieve 65 or above on three required Regents examinations and a score of 55 or above on the remaining two required Regents examinations, by requiring students who enter grade 9 in the 2007-08 school year to achieve 65 or higher on four required Regents examinations and a score of 55 on the one remaining required Regents examination, and by requiring students who enter grade 9 in the 2008-09 school year to achieve 65 on all five required Regents examinations.

The rule also establishes an appeal process for students who first enter grade 9 in September 2005 or thereafter and who fail, after at least two attempts, to attain a score of 65 or above on a required Regents examination for graduation. A standing committee chaired by the school principal would review all appeals within 10 days of submission and make a recommendation to the superintendent of the school district or, in the case of New York City, the Chancellor or his/her designee.

Need for Rule: The rule is necessary to implement revisions to policy adopted by the Board of Regents in June 2005. The rule revised the graduation and diploma requirements first adopted by the Board of Regents in July 1999, and subsequently revised in November 2003, to help ensure that all students in the State's public schools have the skills, knowledge and understandings they need to succeed in the next century.

Despite the significant increase in the number of students with disabilities taking Regents level courses and passing Regents examinations, there still is a significant gap between the performance of special education and general education students. Therefore, the rule provides an additional safety net for all students with disabilities entering grade 9 in the 2005-06 school year. Under this safety net, students with disabilities may achieve a passing score of 55-64 on the five required Regents examinations to meet local diploma requirements.

Legal Basis for Rule: Education Law sections 101, 207, 208, 209, 305(1) and (2), 308, 309 and 3204(3).

Part 105 Special act school districts

Description of Rule: The rule implements Chapters 628 and 629 of the Laws of 2004 by establishing procedures for the appointment by the Commissioner of Education of public members to the board of education of each Special Act school district, to ensure public accountability for educational services and use of public funds.

Need for Rule: The rule is necessary to implement Chapters 628 and 629 of the Laws of 2004 by adding a new Part 105 that establishes requirements for the appointment by the Commissioner of two public members to the board of education of each special act school district. Section 105.1 provides for definitions of terms used in the new Part. Section 105.2 establishes eligibility requirements for appointment as a public member. Section 105.3 establishes appointment procedures, term lengths, procedures to fill vacancies, and provides that public members, upon appointment, shall have all the rights, privileges, powers, duties and responsibilities of members of the board of education of a union free school district.

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2), 308 and 309(not subdivided) and Chapters 628 and 629 of the Laws of 2004.

175.5 Superintendent's conference days

Description of Rule: The rule permits a school district to use up to two of the allowed four superintendents' conference days provided for in Education Law section 3604(8) for teacher rating of State assessments, including assessments required under the federal No Child Left Behind Act of 2001.

Need for Rule: The rating of students' performance on the State assessments is an effective way for teachers to learn the new learning standards and therefore constitutes permissible staff development activities relating to implementation of the new high learning standards and assessments, as authorized by Education Law section 3604(8). The rule provides school districts with additional flexibility and discretion to use this staff development function to fulfill their State test scoring requirements while minimizing impact on student instructional time.

Legal Basis for Rule: Education Law sections 101, 207 and 3604(8).

136.1, 136.2 & 136.3 School health services

Description of Rule: The rule implements and otherwise conforms the Commissioner's Regulations to Chapter 477 of the Laws of 2004.

Need for Rule: The rule is necessary to implement and otherwise conform the Commissioner's Regulations to Chapter 477 of the Laws of 2004. School health services staff in New York State public schools will be able to provide services that are consistent with current standards in medical and health care practice and State law.

Legal Basis for Rule: Education Law sections 207; 901(1) and (2); 902(1), (2) and (3); 903(1) and (2); 904(1) and (2); 905(1), (2), (3) and (4); 906(1) and (2); 911(1); 913; 914(1) and Chapter 477 of the Laws of 2004.

136.3 School health services

Description of Rule: The rule clarifies the accommodation for religious beliefs provision in the Commissioner's Regulations to ensure consistency with Public Health Law section 2164 and the Regulations of the Commissioner of Health and Chapter 477 of the Laws of 2004.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to the Regulations of the Department of Health and thereby ensure consistency with the legislative intent of Chapter 477 of the Laws of 2004. Section 136.3(a)(2) was also amended to ensure conformance to applicable legal requirements regarding disclosure of confidential information by adding the phrase "except where otherwise prohibited by law." In addition, section 136.3(a)(2) was amended to conform its provisions to Education Law section 904(1), as amended by Chapter 477 of the Laws of 2004, which provides for notification of "persons in parental relation" instead of "guardian" and provides for notification of "defective sight or hearing, or other physical disability."

Legal Basis for Rule: Education Law sections 207; 901(1) and (2); 902(1), (2) and (3); 903(1) and (2); 904(1) and (2); 905(1), (2), (3) and (4); 906(1) and (2); 911(1); 913; 914(1) and Chapter 477 of the Laws of 2004.

Section 100.2(x)(4)(i),(iii) and (iv) and 100.2(x)(7)(xii) Education of homeless children

Description of Rule: The rule was amended to require a school district to: coordinate the transmittal of records for a student with a disability who is a homeless youth; provide comparable special education services to a homeless youth with a disability who enrolls in a school district; ensure the local educational agency liaison assists in the enrollment and educational placement through coordination with the Committee on Special Education (CSE) for a student with a disability who is a homeless youth; and coordinate the implementation of the homeless provisions with IDEA.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to the federal Individuals with Disabilities Education Act (IDEA), as amended by Pub L. 108-446.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 100.2(dd)(1)(iii) Professional Development Plan

Description of Rule: The rule was amended to require a school district to include in its professional development plans a description of professional development activities provided to school personnel who work with students with disabilities.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Part 101 Exemptions from attendance

Description of Rule: The rule repealed Part 101 relating to exemption from attendance.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 200.1 Definitions

Description of Rule: The rule conformed the definitions of assistive technology service, impartial hearing officer, mediator, parent, related services, school health services, special education, learning disability, surrogate parent and transition services; adds definitions of homeless youth, limited English proficiency, universal design and ward of the State, consistent with the federal definitions of these terms; and made technical amendments to the definitions of guardian ad litem, general curriculum and prior written notice.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to correct cross citations in the definition of a student with a learning disability and guardian ad litem and to revise the definitions of parent, related services, school health services and transition services consistent with IDEA and the October 2006 amendments to Part 300 of the Code of Federal Regulations (34 CFR), which implement IDEA. The rule was further amended in 2008 to revise the definitions of related services, school health services and transition services consistent with Chapter 378 of the New York State (NYS) Laws of 2007 and the IDEA 2004 statutes and regulations.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 200.2(a), (b), (d), (e), (h) and (i) Board of Education Responsibilities

Description of Rule: The rule added child find requirements for students with disabilities who are homeless or wards of the State; added data requirements consistent with federal law; added new responsibilities relating to child find, evaluation, data collection and data reporting for students with disabilities placed in private elementary and secondary schools by their parents; required instructional materials to be in a format that meets the National Instructional Materials Accessibility Standard (NIMAS) as published in the federal Register; ensured that amendments to individualized education programs (IEPs) are disseminated consistent with Chapter 408 of the Laws of 2002 and recommendations made to IEPs without convening a meeting or by amending the IEP are provided to the board of education; repealed requirements for a comprehensive system of personnel development and required schools to include personnel development activities for staff working with students with disabilities in the professional development plan pursuant to section 100.2 of the Commissioner's Regulations; required boards of education and boards of cooperative educational services (BOCES) to establish written policies that identify the measurable steps it will take to recruit, hire, train and retain highly qualified personnel; required school districts to develop policies and procedures that describe the guidelines for the provision of appropriate accommodations necessary to measure the academic and functional performance of the student in the administration of district-wide assessments; and required a school district to identify how, to the extent feasible, it will use universal design principles in developing and administering any district-wide assessments.

Need for Rule: The rule is necessary to conform the Commis-

sioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to correct the federal cross citation relating to NIMAS consistent with IDEA and the October 2006 amendments to 34 CFR Part 300, which implement IDEA.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 200.3 Committee on special education (CSE) and committee on preschool special education (CPSE)

Description of Rule: The rule required that not less than one regular education teacher and not less than one special education teacher or provider be members of the CSE, a subcommittee thereof, and the CPSE; and added, consistent with amendments made to section 4402 of the Education Law by Chapter 194 of the Laws of 2004, that the additional parent member on the CSE may be a parent of a student who has been declassified or who has graduated within the past five years.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446 and to NYS Education Law.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7), 4410(13) and Chapter 194 of the NYS Laws of 2004.

Section 200.4 Procedures for referral, evaluation, IEP development, placement and review.

Description of Rule: The rule conformed State regulations to federal law requirements relating to parental consent, individual evaluations and reevaluations, evaluation procedures, eligibility determinations including determinations of learning disabilities, IEP contents including transition services to be in effect beginning with the school year when the student turns age 15, the right of the parent to agree to alternative means of participation for CSE, subcommittee or CPSE meetings, annual review requirements, changes to the IEP after the annual review, and provision of services and transfer of records for students who transfer school districts.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to correct a cross citation and to conform State regulations relating to eligibility determinations including determinations of learning disabilities, IEP contents and provision of services and transfer of records for students who transfer school districts consistent with IDEA and the October 2006 amendments to 34 CFR Part 300, which implement IDEA. The rule was further amended in 2008 to conform State regulations relating to reevaluations and changes to an IEP after the annual review consistent with Chapter 378 of the NYS Laws of 2007 and IDEA statutes and regulations.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 200.5 Due process procedures

Description of rule: The rule conformed State due process requirements to federal law relating to prior written notice, consent, notice of meetings, parent participation in CSE meetings, procedural safeguards notice, mediation, due process hearing request notification requirements, resolution sessions, impartial hearings, appeals of the decision of the State review officer and surrogate parents.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to correct a cross citation and to conform State Regulations relating to prior written notice, consent, procedural safeguards notice, mediation, due process hearing request notification requirements, impartial hearings and resolution process consistent with IDEA and the October 2006 amendments to 34 CFR Part 300, which implement IDEA. The rule was further amended in 2009 to conform State regulations relating to consent to the December 2008 amendments to 34 CFR Part 300.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 200.6(m) Interim alternative educational setting (IAES)

Description of Rule: The rule added IAES to the required continuum of services for students with disabilities.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to re-letter section 200.6(m) to section 200.6(n).)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

200.7(c)(4) and 200.7(d) Additional operational and administrative provisions related solely to private schools and Appointment of blind, deaf and severely physically disabled students to certain State-operated and State-supported schools

Description of Rule: The rule conformed State requirements to federal law relating to CSE members and due process for student placements in State-operated and State-supported schools.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 200.14(d) and (e) Day treatment programs certified by the Office of Mental Health

Description of Rule: The rule conformed the requirements for IEP development for students in day treatment programs to the amended requirements in section 200.4.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 200.16 Educational programs for preschool students with disabilities

Description of Rule: The rule conformed State requirements to federal law relating to CPSE membership, individual evaluation, eligibility determinations, reevaluations, IEP development, annual reviews, changes to the IEP, procedural safeguards and due process procedures.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13). (The rule was amended in 2007 to conform State regulations relating to procedural safeguards consistent with IDEA and the October 2006 amendments to 34 CFR Part 300, which implement IDEA.)

Section 201.2 Definitions relating to procedural safeguards for students with disabilities subject to discipline

Description of Rule: The rule conformed the definition of IAES to federal law and added a definition of serious bodily injury.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to conform the definition of IAES consistent with the federal definition of this term.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 201.3 CSE responsibilities for functional behavioral assessments and behavioral intervention plans

Description of Rule: The rule conformed the CSE responsibilities for functional behavioral assessments and behavioral intervention plans to Federal law.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to repeal section 201.3 and add a new section 201.3 to conform State Regulations consistent with IDEA and the

October 2006 amendments to 34 CFR Part 300, which implement IDEA.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 201.4 Manifestation determinations

Description of Rule: The rule conformed State requirements to federal law relating to the establishment of a manifestation team and factors to determine if the behavior of a student was or was not a manifestation of the student's disability.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to conform State Regulations relating to manifestation determinations consistent with IDEA and the October 2006 amendments to 34 CFR Part 300, which implement IDEA.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 201.5 Students presumed to have a disability for discipline purposes

Description of Rule: The rule revised the basis of knowledge as to whether a student is presumed to have a disability for discipline purposes to be consistent with Federal law.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 201.7(d) and (e) General procedures for suspensions and removals of students with disabilities

Description of Rule: The rule made technical changes relating to the manifestation team; added serious bodily injury as a reason school personnel may change a student's placement to an IAES; and provided that school personnel may consider unique circumstances for students with disabilities relating to discipline decisions.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to correct a cross citation and to conform State regulations relating to the consideration of unique circumstances for students with disabilities relating to discipline decisions consistent with IDEA and the October 2006 amendments to 34 CFR Part 300, which implement IDEA.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 201.8 Authority of impartial hearing officer (IHO) to order a change in placement to an IAES in a dangerous situation

Description of Rule: The rule established the authority of an IHO to order a change of placement to an IAES, consistent with federal law.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to conform State regulations relating to the authority of an IHO to order a change in placement to an IAES in a dangerous situation consistent with IDEA and the October 2006 amendments to 34 CFR Part 300, which implement IDEA.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 201.9(b) and (c) Coordination with superintendent's hearing and other due process procedures applicable to all students

Description of Rule: The rule changed the coordination with a superintendent's hearing and other due process procedures applicable to all students to federal requirements.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446.

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

201.10(c), (d) and (e) Provision of services during suspensions

Description of Rule: The rule defined services a student with a disability must receive during suspensions of 10 school days or more and that the IAES setting shall be determined by the CSE.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to conform State regulations relating to the provision of services during suspensions consistent with IDEA and the October 2006 amendments to 34 CFR Part 300, which implement IDEA.)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Section 201.11(b) and (d) Expedited due process hearings

Description of Rule: The rule required the pendency setting for students with disabilities during expedited impartial hearings to be the IAES or other disciplinary setting.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to IDEA, as amended by Pub L. 108-446. (The rule was amended in 2007 to make a technical correction and to re-letter section 201.11(d) to section 201.11(c).)

Legal Basis for Rule: Education Law sections 207(not subdivided), 3208(1-5), 3209(7), 3602-c(2), 4002(1-3), 4308(3), 4355(3), 4402(1-7), 4403(3), 4404(1-5), 4404-a(1-7) and 4410(13).

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the continuation or modification of any of the above rules by contacting:

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Senior Deputy Commissioner for Education Policy

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OFFICE OF HIGHER EDUCATION

Sections 80-3.3(a)(1) and 52.21(b)(2)(i)(h) – Duration of Initial Teaching Certificate and Flexibility in Staffing of Teacher Preparation Programs.

Description of Rule: The rule increases the duration of the initial certificate for classroom teaching from three, or four years with extension, to five years.

Need for Rule: The rule is needed to extend the previous duration of the initial certificate, which was considered too short to provide new teachers with sufficient time to complete the master's degree program required for the professional certificate. The rule also provides teacher preparation programs that meet articulated standards of institutional accountability greater flexibility in the staffing of those programs

Legal Basis for Rule: Education Law §§ 207; 210; 215; 305(1), (2), and (7); 3001(2); 3004(1); and 3006(1)(b).

Sections 3.47(d)(2) and 3.50(b)(17)– Authorization of Degrees.

Description of Rule: The rule authorizes the conferral in New York State of the graduate professional degree of Doctor of Nursing Practice (D.N.P.) for completion of a practice oriented doctoral program in nursing.

Need for Rule: The rule arose from a request by Columbia University to offer a program in nursing leading to the Doctor of Nursing Practice degree. This degree provides an alternative to the existing doctoral programs in nursing (Ph.D. and D.N.S. degree programs) that are research oriented. The new degree benefits nurses who are interested in achieving a terminal degree that focuses on expert clinical practice. The Department expects the degree to be used primarily by, but not limited to, those programs that educate nurse practitioners and nurse-midwives.

Legal Basis for Rule: Education Law §§ 207; 210; 218(1) and 224(4).

Section 80-2.3(f) Certification and scope of practice in school social work

Description of Rule: The rule updates references to the titles of the new licensed professions in social work and the requirements for permanent certification in school social work and clarifies the scope of practice of certified school social workers in light of the new practice protected licensed professions in social work.

Need for Rule: The rule is needed to implement the statutory requirements of Chapter 2004 of the Laws of 2004. Effective September 1, 2004, social work became a practice protected profession under Article 154 of the Education Law, and the titles changed for individuals licensed in social work under Article 154 of the Education Law. The rule clarifies the scope of practice for holders of provisional or permanent certificates in school social work. The rule also updates these titles and requires the candidate for permanent certification to be licensed and registered by the State Education Department as a licensed master social worker or licensed clinical social worker.

Legal Basis for Rule: Education Law §§ 207; 305(1), (2), and (7); 3001(2); 3004(1); 3006(1)(b); 3009(1); 3010; 7702(2)(a) and (3)(a); and 7706(5)(a).

Sections 52.21(b)(4), 80-4.1(a)(2) and 80-4.3(d) Teacher certification in gifted education.

Description of Rule: The rule requires candidates seeking to meet the education requirement for the extension in gifted education through equivalent coursework to complete 12 semester hours of coursework in specified subjects, rather than six. The rule clarifies the content of the education requirement for the extension, ensuring that coursework is focused specifically on preparing teachers for providing instruction and support to gifted students and adequately preparing candidates for the New York State certification examination.

Need for Rule: The rule clarifies and strengthens the education requirements for the extension of a teaching certificate in gifted education to better align with the competencies tested in the teacher certification examination for this extension as articulated in the examination's framework.

The rule also clarifies the content requirements for meeting the education requirement, either through a registered program or through equivalent course completion and clarifies that the coursework must be specifically focused on training teachers for providing instruction and support to gifted students.

Legal Basis for Rule: Education Law sections 207; 210; 305(1), (2), and (7); 3001(2); 3004(1); 3006(1)(b); 3009(1); and 3010.

Sections 80-2.3(e)(1), 80-2.9(a)(5), and 80-4.3(a)(3) Bilingual school psychologists

Description of Rule: The rule establishes an expedited pathway for licensed psychologists who have demonstrated proficiency in a language other than English to obtain the first level certificate necessary to work as a school psychologist without first completing a college supervised internship in school psychology. In addition, the rule establishes an expedited pathway for holders of certificates in school psychology, speech and language disabilities, and for teaching the speech- and hearing-handicapped to be issued an extension to their certificate authorizing them to provide bilingual education services.

Need for Rule: The rule's purpose is to increase the number of bilingual certified school psychologists and teachers of students with speech and language disabilities to meet the needs of limited English speaking students with disabilities, so as to alleviate serious shortages of bilingual certified school psychologists and teachers of students with speech and language disabilities.

Legal Basis for Rule: Education Law sections 207; 210; 305(1)(2), and (7); 3001(2); 3004(1); 3006(1)(b); 3009(1); and 3010.

126.10(j) & 126.17(c) Monetary assessment of Proprietary Schools

Description of Rule: The rule specifies the existing method that the State Education Department uses for assessing new schools for the tuition reimbursement account and the proprietary vocational school supervision account.

Need for Rule: The rule clarifies requirements for the monetary assessment of new schools and for-profit English as a Second Language (ESL) Schools for the tuition reimbursement account and the proprietary vocational school supervision account.

Legal Basis for Rule: Education Law sections 207; 5001(1), (4)(e) and (f), and (9); and 5007(10) and (12) of the Education Law.

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the modification or continuation of any of the above rules by contacting:

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OFFICE OF THE PROFESSIONS

Section 52.32 and Subpart 79-9 of the Commissioner's Regulations – mental health counseling.

Description of Rule: the rule establishes professional education program registration standards; professional study, examination, experience, and limited permit requirements; provisions for the use of classification systems; and special provisions for the profession of mental health counseling.

Need for Rule: the rule is needed to implement the requirements of Article 163 of the Education Law, as added by Chapter 676 of the Laws of 2002.

Legal Basis for Rule: Education Law sections 207; 210; 6501; 6504; 6507(2)(a), (3)(a), and (4)(a); 6508(1); 8402(3)(b), (c), and (d); 8409; 8411(2)(a) and (b) and (3).

Section 52.33 and Subpart 79-10 of the Commissioner's Regulations – marriage and family therapy.

Description of Rule: the rule establishes professional education program registration standards; professional study, examination, experience, and limited permit requirements; provisions for the use of classification systems; and special provisions for the profession of marriage and family therapy.

Need for Rule: the rule implements the requirements of Article 163 of the Education Law, as added by Chapter 676 of the Laws of 2002.

Legal Basis for Rule: Education Law sections 207; 210; 6501; 6504; 6507(2)(a), (3)(a), and (4)(a); 6508(1); 8403(3)(b), (c), and (d); 8409; 8411(2)(a) and (b) and (3).

Section 52.34 and Subpart 79-11 of the Commissioner's Regulations – creative arts therapy.

Description of Rule: the rule establishes professional education program registration standards; professional study, examination, experience, and limited permit requirements; provisions for the use of classification systems; and special provisions for the profession of creative arts therapy.

Need for Rule: the rule implements the requirements of Article 163 of the Education Law, as added by Chapter 676 of the Laws of 2002.

Legal Basis for Rule: Education Law sections 207; 210; 6501; 6504; 6507(2)(a), (3)(a), and (4)(a); 6508(1); 8404(3)(b), (c), and (d); 8409; 8411(2)(a) and (b) and (3).

Section 52.35 and Subpart 79-12 of the Commissioner's Regulations – psychoanalysis.

Description of Rule: the rule establishes professional education program registration standards; professional study, examination, experience, and limited permit requirements; provisions for the use of classification systems; and special provisions for the profession of psychoanalysis.

Need for Rule: the rule implements the requirements of Article 163 of the Education Law, as added by Chapter 676 of the Laws of 2002.

Legal Basis for Rule: Education Law sections 207; 210; 6501; 6504; 6507(2)(a), (3)(a), and (4)(a); 6508(1); 8405(3)(b), (c), and (d); 8409; 8411(2)(a) and (b) and (3).

Sections 74.3, 74.4, 74.5, 74.6 and 74.8 of the Commissioner's Regulations – social work.

Description of Rule: the rule establishes regulatory requirements for licensure in licensed master social work and licensed clinical social work and for authorization qualifying licensed clinical social workers for certain insurance reimbursements.

Need for Rule: the rule establishes standards for licensure as a licensed master social worker or as a licensed clinical social worker, in accordance with changes in these requirements established by Chapter 230 of the Laws of 2004.

Legal Basis for Rule: Education Law sections 207; 6501; 6507(2)(a) and (3)(a); 7701(1); 7704(2)(b) and (c); 7705(1) and (2); 7706(3); and 7707(2) and (4); and Insurance Law sections 3221(l)(4)(A) and (D) and 4303(i) and (n).

Sections 29.2, 29.15 & 29.16 of Regents' Rules - unprofessional conduct in the social work and mental health professions.

Description of Rule: the rule establishes definitions of unprofessional conduct in the practice of the licensed professions of licensed master social work, licensed clinical social, creative arts therapy, marriage and family therapy, mental health counseling, and psychoanalysis.

Need for Rule: the rule defines unprofessional conduct in accordance with the new statutory requirements in Article 163 of the Education Law relating to the social work professions and mental health practitioners.

Legal Basis for Rule: Education Law sections 207; 6504; 6506(1); 6509(9); 7701(1) and (2); 7702(1); 7708(1) and (2); 8402(1); 8403(1); 8404(1); 8405(1); and 8407(1) and (2).

Sections 50.2 and 59.9 of the Commissioner's Regulations – fees for licensee photo IDs.

Description of Rule: the rule establishes a fee for a photo identification card to be issued to those professionals licensed and registered pursuant to Title VIII of the Education Law who elect to receive one, and repeals an outdated fee provision.

Need for Rule: the rule establishes a fee to defray the costs of photo identification cards for licensed professionals who choose to obtain one.

Legal Basis for Rule: Education Law sections 207, 212, 6502(1), 6507(2)(a) and (4)(f).

Section 24.6 and Part 28 of Regents' Rules – prior disciplinary history.

Description of Rule: the rule establishes procedures for the State Education Department's evaluation of an applicant's prior disciplinary history in another jurisdiction to determine whether the applicant is qualified to practice a licensed profession in New York State under Title VIII of the Education Law.

Need for Rule: the rule is needed to implement sections 6506(6)(g) and 6507(5), as added by Chapter 239 of the Laws of 2004, that require the State Education Department to evaluate such prior disciplinary history and authorizes the Department to deny authorization to practice a licensed profession based upon such review.

Legal Basis for Rule: Education Law sections 207; 6504; 6506(1), (6)(h), and (10); and 6507(5).

Section 29.3 of Regents' Rules and sections 29.3, 68.3, 68.6, 68.11 & 68.12 – land surveying and engineering.

Description of Rule: the rule establishes a definition of unprofessional conduct in the profession of land surveying and licensing examination and continuing education requirements in land surveying and engineering.

Need for Rule: the rule implements the Board of Regents' authority to define unprofessional conduct in the licensed professions and the State Education Department's responsibility to establish requirements relating to professional examinations and continuing education requirements.

Legal Basis for Rule: Education Law sections 207; 6504; 6506(1); 6507(2)(a); 6509(9); 7206(1)(4); 7206-a(1)(4); 7211(1)(d) and (4); and 7212(4).

Sections 69.1, 69.2, and 69.6 of the Commissioner's Regulations – exam and continuing education for architects.

Description of Rule: the rule establishes requirements for the licens-

ing examination in architecture and for continuing education that licensed architects must complete to be registered to practice this profession in New York State.

Need for Rule: the rule discontinues an unnecessary conditional admission requirement for the licensing examination. It also conforms licensing examination requirements to policy changes of the National Council of Architectural Registration Boards, the national organization that gives the licensing examination. Finally, the rule establishes standards for acceptable continuing education for architects, consistent with recent statutory changes.

Legal Basis for Rule: Education Law sections 207; 6506(1); 6507(2)(a); 7304(4); 7308(2) and (4).

Agency representative:

Information may be obtained, and written comments may be submitted, concerning the modification or continuation of any of the above rules by contacting:

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New York State Education Department

Office of the Professions

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OFFICE OF MANAGEMENT SERVICES

100.2(x) & Parts 275 & 276 310 Appeals for Homeless

Description of Rule: The rule modifies the procedures concerning appeals involving homeless children that are brought pursuant to Education Law section 310 to ensure the rights of homeless individuals consistent with Federal statutes.

Need for Rule: The rule is necessary to conform the Commissioner's Regulations to the Federal McKinney-Vento Homeless Education Assistance Act (42 U.S.C. sections 11431 et seq.), as amended by the Federal No Child Left Behind Act of 2001 (NCLB) [Pub.L. 107-110]. The State is required to comply with the requirements of the McKinney-Vento Act and the NCLB as a condition to its receipt of Federal funds. The rule modifies the procedures concerning appeals involving homeless children that are brought pursuant to Education Law section 310 to ensure the rights of homeless individuals consistent with Federal statutes.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 215(not subdivided), 305(1) and (2), 310(not subdivided), 311(not subdivided), 3202(1) and (8), 3209(7), and 3713(1) and (2).

3.8 & 3.9 Chief of Staff and Counsel

Description of Rule: The rule provides for the position of Chief of Staff, to be appointed by the Board of Regents, and designates the Chief of Staff as the deputy commissioner of education as specified in Education Law section 101, who, in the absence or disability of the Commissioner or when a vacancy exists in the office of Commissioner, shall exercise and perform the functions, powers and duties of the Commissioner.

Need for Rule: The rule is necessary to conform the Rules of the Board of Regents to changes made in the internal organization of the State Education Department, resulting in the elimination of the position of Chief of Staff.

Legal Basis for Rule: Education Law section 101(not subdivided).

3.8, 3.9 & 3.15 Chief Operating Officer

Description of Rule: The rule repealed provisions relating to the duties and responsibilities of the Chief Operating Officer of the State Education Department

Need for Rule: The rule is necessary to conform the Rules of the Board of Regents to changes made in the internal organization of the State Education Department, resulting in the elimination of the position of Chief Operating Officer.

Legal Basis for Rule: Education Law section 101(not subdivided) and 305(1) and (6).

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the modification or continuation of any of the above rules by contacting:

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F. CALENDAR YEAR 2000

OFFICE OF P-12 EDUCATION

Section 21.2(a) of the Regents Rules - definition of "textbook"

Description of Rule: the rule provides a definition of Textbook for purposes of the New York State Textbook Loan Program and Textbook Aid and clarifies that certain materials in electronic format qualify for this program and aid.

Need for Rule: the rule is necessary to implement Chapter 405 of the Laws of 1999, and ensures that there is a definition of qualifying courseware and other content-based instructional materials in an electronic format for purposes of Textbook aid.

Legal Basis for Rule: Education Law sections 207 and 701(2) and section 8 of Chapter 405 of the Laws of 1999.

Section 100.2(ff) of the Commissioner's Regulations - education and employment discharge planning for youth released from residential care of other State agencies

Description of Rule: the rule requires that boards of education ensure the prompt enrollment and admittance to attendance of youths released or conditionally released from residential facilities operated by or under contract with the Office of Children and Family Services, the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities or a local department of social services, and that school district personnel cooperate with such facilities and agencies in facilitating such prompt enrollment.

Need for Rule: the rule is necessary to implement the requirements of section 21 of Chapter 181 of the Laws of 2000, Safe Schools Against Violence Act (SAVE).

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2), 112(1).

Section 100.2(c) of the Commissioner's Regulations - instruction in false reporting of crimes

Description of Rule: the rule requires that instruction in fire and arson prevention include materials to educate children on the dangers of falsely reporting a criminal incident or impending explosion or fire emergency involving danger to life or property or impending catastrophe.

Need for Rule: the rule is necessary to implement Chapter 207 of the Laws of 1999.

Legal Basis for Rule: Education Law sections 207 and 808(1) and Chapter 207 of the Laws of 1999.

Section 100.2(l) of the Commissioner's Regulations - school district code of conduct relating to Safe Schools Against Violence in Education Act

Description of Rule: the rule requires school districts and BOCES to adopt codes of conduct for the maintenance of order on school property and at school functions, which govern the conduct of students, teachers and other school personnel as well as visitors.

Need for Rule: the rule is necessary to implement sections 2 and 3 of Chapter 181 of the Laws of 2000, the Safe Schools Against Violence in Education Act (SAVE).

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2), 2801(1) through (5) and 3214(3) and (3-a).

Sections 100.2, 100.3, 100.4 and 100.5 of the Commissioner's Regulations - technical changes to State Learning Standards, State Assessments and New Graduation and Diploma Requirements

Description of Rule: State learning standards, State assessments and graduation and diploma requirements.

Need for Rule: the rule is necessary in that it corrected technical errors in citation of certain sections of the regulations and reinstated certain original language that was incorrectly stated or inadvertently revised in the amendments adopted by the Board of Regents in July 1999.

Legal Basis for Rule: Education Law sections 101, 207, 208, 209, 305(1) and (2), 308 and 309

Sections 100.2(m) and (p) and 100.7(h) and (i) of the Commissioner's Regulations - registration of public schools and school accountability performance criteria

Description of Rule: sections 100.2(m) and (p) and 100.7(h) and (i) of the Commissioner's Regulations establish criteria for school accountability; enable the Commissioner to designate school performance on State assessments on three levels; establish adequate yearly progress targets for schools and require improvement plans for schools that fail to make adequate programs; and use a cohort measure for high school accountability.

Need for Rule: the rule is necessary to implement Regents policy and establishes school accountability criteria, designating schools as farthest from, below, or meeting school accountability performance criteria, consistent with policy adopted by the Board of Regents to ensure that all students in public schools have the skills, knowledge and understanding they need to succeed in the next century. The rule was amended in July 2003 to align the State's System of Accountability for Student Success with the federal No Child Left Behind accountability requirements.

Legal Basis for Rule: Education Law sections 101, 207, 210, 215, 305(1), (2) and (20), 308, 309, 3204(2) and (2-9) and 4403(3)

Section 100.3(b)(2) of the Commissioner's Regulations - State Assessment requirements for students in grades pre-kindergarten through sixth

Description of Rule: section 100.3(b)(2) of the Commissioner's Regulations changes the date from November 2000 to November 2001 for administration in grade 5 of the new State elementary assessment in social studies and requires school districts to retest fifth grade students who scored at Level 1 of the State designated performance level on the English language arts and/or mathematics elementary level assessments administered in grade 4. Such students must receive at least one semester of academic intervention services and be retested using multiple sources of evidence, including, but not limited to, a commercial test or other external test determined by the school district to be a valid and reliable means of evaluating a student's progress in achieving the elementary level State learning standards in these subjects.

Need for Rule: the rule is necessary to implement Regents policy to change the date for administration of the new State elementary assessment in social studies and to require school districts to retest fifth grade students who scored at Level 1 of the State designated performance level on the English language arts and/or mathematics elementary assessments administered in grade 4.

Legal Basis for Rule: Education Law sections 207, 208, 209, 305(1) and (2), 308, 309 and 3204(3)

Section 100.11 of the Commissioner's Regulations - school-based planning and shared decision-making in the NYC School District

Description of Rule: the rule establishes standards for school-based planning and shared decision-making in the City School District of the City of New York.

Need for Rule: the rule is necessary to align section 100.11 of the Commissioner's Regulations with the New York City governance system, as provided in Chapter 720 of the Laws of 1997, by providing for the exercise by community school district superintendents of certain functions relating to school-based planning and shared decision-making. The rule insures that each community school district in the New York City school district will operate with a single, consistent school-based planning and shared decision-making plan.

Legal Basis for Rule: Education Law sections 101, 207, 215, 305(1) and (2), 308, 309, 2590-e(1) and (3), 2590-f(1) and (2) and 2590-h(15).

Section 119.3 of the Commissioner's Regulations - charter school report card

Description of Rule: the rule specifies the academic and performance data items for charter school report cards. The regulation requires each charter school to submit an annual report by August 1 of each year for the preceding school year, one component of which is a charter school report card that includes measures of the school's comparative academic and fiscal performance.

Need for Rule: the rule is necessary to implement Chapter 4 of the Laws of 1998.

Legal Basis for Rule: Education Law sections 207 and 2857(2) and Chapter 4 of the Laws of 1998.

Sections 151-1.4 and 151-1.8 of the Commissioner's Regulations - Universal Pre-Kindergarten Program.

Description of Rule: the rule establishes standards for the implementation of summer programs as part of the Universal Prekindergarten Program.

Need for Rule: the rule is necessary to comply with Chapter 405 of the Laws of 1999 to provide the option of a summer program when a school district is unable to operate a Universal Prekindergarten program during the regular school session.

Legal Basis for Rule: Education Law sections 101, 207, 3602-e(12) and section 39 of Part L of Chapter 405 of the Laws of 1999.

Section 155.2 of the Commissioner's Regulations - school district construction plans and specifications

Description of Rule: the rule requires the submittal of only one set of plans and specifications to the Office of Facilities Planning for review and approval pursuant to Education Law section 408.

Need for Rule: the rule reduces duplicative documentation requirements and thereby streamlines the review process in the Office of Facilities Planning and provides mandate relief to school districts.

Legal Basis for Rule: Education Law sections 101, 207, 305(1), (2) and (19) and 408(1), (2) and (3).

Section 155.9 of the Commissioner's Regulations - State Environmental Quality Review and school district capital construction projects

Description of Rule: the rule removed the State Education Department as the lead agency for purposes of the State Environmental Quality Review (SEQR) process.

Need for Rule: the responsibility for thorough environmental investigations and review more appropriately lies with the local governmental authority proposing a specific project, since that authority is directly familiar with the proposed site and its surroundings and has a greater knowledge for the potential impact that may result from the project.

Legal Basis for Rule: Education Law sections 101, 207, 305(1), (2) and (19), 408(3) and 1950(4)(t) and Environmental Conservation Law sections 8-0113(3) and 8-0117(5).

Section 155.17 of the Commissioner's Regulations - school safety plans

Description of Rule: the rule requires school districts to adopt district-wide school safety plans and building-level school safety plans.

Need for Rule: the rule is necessary to implement Chapter 181 of the Laws of 2000 to improve school safety.

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2) and 2801-a.

Section 155.22 of the Commissioner's Regulations - Qualified Zone Academy Bonds

Description of Rule: the rule establishes the process by which local educational agencies gain access to a federal tax credit program concerning Qualified Zone Academy Bonds.

Need for Rule: the rule is needed to establish the process for allocation of the State's qualified zone academy bond limitation amount pursuant to 26 USC section 1397E.

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2) and 26 USC section 1397E.

Section 170.11 of the Commissioner's Regulations - school property tax report cards

Description of Rule: the rule establishes procedures for the preparation of school property tax report cards. It requires school districts to prepare an annual school tax report card and specified the format for the content, describes how it must be made available to the public and specifies when school districts must submit their school property tax report cards to the State Education Department.

Need for Rule: the rule is necessary implement Chapter 405 of the Laws of 1999 and to make the calculation used for purposes of the display of the difference of Consumer Price Indexes consistent with the calculation used for the six-day budget notice and the calculation of the contingency budget cap.

Legal Basis for Rule: Education Law sections 207, 1608(7) and 1716(7) and sections 10-a and 10-b of Part L of Chapter 405 of the Laws of 1999.

Section 175.5 of the Commissioner's Regulations - use of Superintendent's conference days

Description of Rule: the rule specifies the use of superintendent's conference days by public school districts and boards of cooperative educational services to satisfy a deficiency in the length of public school sessions for the instruction of pupils and to advance the implementation of standards and assessments.

Need for Rule: the rule is necessary to implement section 44 of Chapter 405 of the Laws of 1999. It ensures that a definition of qualifying staff development activities and the acceptable scheduling of such activities is available to determine the number of regularly scheduled days of session and days of authorized superintendents' conferences for purposes of State aid.

Legal Basis for Rule: Education Law sections 207 and 3604(8) and section 44 of Chapter 405 of the Laws of 1999.

Section 175.42 of the Commissioner's Regulations - aid to partitioned school districts

Description of Rule: the rule provides a method of apportioning aid to school districts in the first year of reorganization, where a school district was partitioned pursuant to Education Law section 2818 after July 1st of the school year.

Need for Rule: the rule is necessary to implement Chapter 405 of the Laws of 1999.

Legal Basis for Rule: Education Law sections 207 and 3602-f(5) and section 83-a of Part L of Chapter 405 of the Laws of 1999.

Section 175.44 of the Commissioner's Regulations - partial full day kindergarten conversion aid

Description of Rule: the rule establishes standards for the receipt of full day kindergarten conversion aid by school districts that are converting to full day kindergarten, but which are unable, due to limiting and extenuating circumstances, to serve all children who wish to attend a full day program.

Need for Rule: the rule implements Education Law section 3602(12-a), as amended by section 12 of Part A of Chapter 60 of the Laws of 2000.

Legal Basis for Rule: Education Law sections 101, 207 and 3602(12-a) and section 12 of Part A of Chapter 60 of the Laws of 2000.

Part 57 and section 100.2(dd) of the Commissioner's Regulations - approval of providers of coursework and training in school violence prevention and intervention

Description of Rule: the rule establishes standards for approval of providers of course work or training in school violence prevention and intervention that is offered to candidates for a teachers' certificate of license in classroom teaching service, school service or administrative and supervisory service.

Need for Rule: the rule is necessary to implement section 9 of Chapter 181 of the Laws of 2000, Safe Schools Against Violence in Education Act (SAVE).

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2) and 3004(3).

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the continuation or modification of any of the above rules by contacting:

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OFFICE OF HIGHER EDUCATION

Section 52.21 of the Commissioner's Regulations - teacher education programs

Description of Rule: the rule made technical corrections to requirements for teacher education programs.

Need for Rule: the rule clarifies, corrects omissions in, and makes technical corrections to the requirements for teacher education programs adopted by the Board of Regents in September 1999 and makes the requirements more responsive to school staffing needs, while preserving the standards for preparing effective classroom teachers.

Legal Basis for Rule: Education Law sections 207, 210, 215, 305(1) and 3004(1).

Sections 52.21, 80-1.1, 80-3.4, 80-3.5, 80-5.13 and 80-5.14 - alternative teacher certification program

Description of Rule: the rule defines alternative teacher certification requirements leading to the transitional B certificate and the provisional or initial certificate for all titles in the classroom teaching service; specifies the requirements for registration of such alternative teacher certification programs, and renames the transitional certificate for career changes and others holding a graduate academic or graduate academic or professional degree as the transitional C certificate and the transitional certificate for teaching a specific career and technical subject as the transitional A certificate.

Need for Rule: the rule provides an alternative method for teacher candidates to obtain a provisional or initial teaching certificate and provides a means to alleviate teacher shortages in the public schools.

Legal Basis for Rule: Education Law sections 207, 210, 215, 305(1), (2) and (7), 3004(1) and 3006(1).

Sections 52.21, 80-1.4, 80-3.5 and 80-5.14 of the Commissioner's Regulations - requirements for teacher certification and teacher education programs concerning school violence prevention and intervention

Description of Rule: the rule requires applicants for teaching certificates and licenses to have obtained at least two clock hours of course work or training in school violence prevention and intervention and to require registered teacher education programs to include such course work or training.

Need for Rule: the rule is needed to implement the requirements of Education Law section 3004(3), as amended by Chapter 181 of the Laws of 2000, part of the Safe Schools Against Violence in Education Act (SAVE).

Legal Basis for Rule: Education Law sections 207, 210, 305(1), 3004(1) and (3).

Sections 80.2, 80.6, 80.7, 80.8, 80.10, 80.15 and 80.16 of the Commissioner's Regulations - requirements for provisional teacher certification

Description of Rule: the rule permits an out-of-state certified teacher to obtain a conditional provisional certificate to teach in New York State for two years.

Need for Rule: the rule alleviates personnel shortages in New York State public schools by removing barriers for teachers who are certified to teach in other states to become provisionally certified to teach in New York State public schools.

Legal Basis for Rule: Education Law sections 305(1), (2) and (7), 3004(1), 3006(1), 3007(1) and 3030(1).

Part 80 and 100.2(dd) - requirements for teachers' certificates, teaching practice and professional development for teachers.

Description of Rule: the rule revised the certification requirements for the classroom teaching services and for teaching assistants, revamped certification titles, established professional development requirements for teachers and teaching assistants, and required school districts and BOCES to report and maintain records on professional development.

Need for Rule: the rule implemented Regents teaching policy embodied in the report "New York's Commitment: Teaching to Higher Standards. It strengthens teacher certification requirements and conform to Regents teacher education program standards and ensure that all teachers are prepared to teach to the State learning standards.

Legal Basis for Rule: Education Law sections 101, 207, 215, 305(1), 3003(1), 3004(1), 3006(1)(b) and 3604(8)

Sections 83.4, 83.5 and 83.6 of the Commissioner's Regulations - penalties in moral character proceedings for certified teachers

Description of Rule: the rule conforms the penalties available in moral character proceedings against an individual holding a teaching certificate with penalties established in statute.

Need for Rule: the rule is necessary to implement section 12 of Chapter 181 of the Laws of 2000, the Safe Schools Against Violence in Education Act (SAVE).

Legal Basis for Rule: Education Law sections 207 and 305(7) and section 12 of Chapter 181 of the Laws of 2000.

Section 85.2 of the Commissioner's Regulations - Mentor Teacher-Internship Programs

Description of Rule: the rule permits a school district or board of cooperative educational services seeking a variance allowing an evaluative role for mentors to be eligible for funding of a Mentor Teacher-Internship program, provided that the terms of the applicable collective bargaining agreement prescribe such activity.

Need for Rule: the rule ensures that all qualified school districts and BOCES are given the opportunity to obtain funding for a mentoring program.

Legal Basis for Rule: Education Law sections 207 and 3033(1) and (2).

Part 126 of the Commissioner's Regulations - requirements for licensed private schools and registered business schools/computer training facilities

Description of Rule: the rule established requirements for licensed private schools and registered business schools/computer training facilities.

Need for Rule: the rule is necessary to implement Chapter 434 of the Laws of 1999.

Legal Basis for Rule: Education Law sections 207, 5001(1), (2) and (4)(b), 5002(2)(c), (3)(c), (4)(c) and (e), (6)(a) and (c), and (7), 5003(1)(d) and 5007(10) and Chapter 434 of the Laws of 1999.

Section 59.2 of the Commissioner's Regulations - education requirements for professional licensure

Description of Rule: the rule requires applicants for professional licensure who seek to meet the education requirement for licensure through programs that are not registered or accredited to submit adequate evidence of verification of their educational credentials by an acceptable independent credentials verification organization.

Need for Rule: the rule is needed to ensure that only individuals who meet the educational requirements for licensure are licensed and to protect the public from attempts by individuals to submit fraudulent licensure credentials.

Legal Basis for Rule: Education Law sections 207, 6504 and 6507(1), (2)(a) and (3)(a).

Section 61.10 of the Commissioner's Regulations - certification of licensed dentists in the use of conscious sedation, deep sedation or general anesthesia

Description of Rule: the rule establishes educational and training requirements for licensed dentists to be certified to employ conscious sedation, deep sedation, or general anesthesia in the practice of den-

tistry at any location other than a general hospital, and to establish practice requirements for the use of conscious sedation, deep sedation, or general anesthesia by such licensed dentists.

Need for Rule: Education Law section 6605-a, as amended by Chapter 615 of the Laws of 1999, directs the Commissioner of Education to establish requirements in regulation.

Legal Basis for Rule: Education Law sections 207, 6506(1), 6507(2)(a), 6601 and 6605-a(2).

Section 64.7 of the Commissioner's Regulations and section 29.14 of the Regents Rules - administration of immunization and anaphylaxis treatment agents b registered professional nurses.

Description of Rule: the rule establishes requirements that registered professional nurses must meet to administer immunization and anaphylaxis treatment agents through non-patient specific orders and protocols, the immunization and anaphylaxis treatment agents that may be administered, the requirements for orders and the protocols, and special requirements which define unprofessional conduct for the profession of nursing.

Need for Rule: Chapter 573 of the Laws of 1999 directs the Commissioner of Education to promulgate regulations concerning the administration of immunization and anaphylaxis treatment agents by registered professional nurses pursuant to non-patient specific orders of licensed physicians or certified nurse practitioners.

Legal Basis for Rule: Education Law sections 207, 6503(3), 6506(1) and (9), 6507(2)(a), 6509(9), 6527(6), 6807(3), 6902(1) and 6909(4) and (5).

Section 69.6 of the Commissioner's Regulations - mandatory continuing education for architects

Description of Rule: the rule establishes continuing education requirements and standards for the registration of licensed architects.

Need for Rule: the rule implements Education Law section 7308, as added by Chapter 521 of the Laws of 1999.

Legal Basis for Rule: Education Law sections 207, 212(3), 6502(1), 6504, 6507(2)(a), 6508(1) and 7308(1)(a), (b) and (c).

Section 70.6 of the Commissioner's Regulations - mandatory continuing education for public accountancy

Description of Rule: the rule requires individuals licensed in public accountancy to participate in at least four contact hours of continuing education study in professional ethics during each triennial registration period and to prescribe that full contact hour credit would be given for interactive self-study programs used to fulfill the continuing education requirement.

Need for Rule: the rule conforms the public accountancy continuing education requirements for self-study programs to the national authority's recommended guidelines and to ensure that licensees focus a portion of their continuing education on the subject of professional ethics. A recent amendment to the public accountancy regulations renumbered the sections and eliminated the distinction between interactive and non-interactive continuing education.

Legal Basis for Rule: Education Law sections 207, 6502(1), 6504, 6507(2)(a) and 7409(1)(a)(2) and (4).

Sections 79-4.6 and 79-4.7 of the Commissioner's Regulations - mandatory continuing education for respiratory therapists and respiratory therapy technicians.

Description of Rule: the rule establishes continuing education requirements and standards that licensed respiratory therapists and licensed respiratory therapy technicians must meet to be registered to practice in New York State and requirements for approval of sponsors of continuing education.

Need for Rule: the rule clarifies and implements the requirements of Education Law sections 8504-a and 8510-a, as added by Chapter 505 of the Laws of 1999, by establishing standards for what constitutes acceptable formal continuing education, educational requirements when there is a lapse in practice, requirements for licensees under conditional registration, standards for the approval of sponsors of continuing education to licensed respiratory therapists and licensed respiratory therapy technicians, and the fee for the review of sponsors of continuing education to defray the cost of such review by the State Education Department.

Legal Basis for Rule: Education Law sections 207, 212(3), 6502(1), 6504, 6507(2)(a), 6508(1), 8504-a(1)(a), (b) and (c), (2) through (6), and 8510-a(1)(a)(b) and (c), (2) through (6).

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the modification or continuation of any of the above rules by contacting:

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OFFICE OF THE PROFESSIONS

Section 59.2 of the Commissioner's Regulations - education requirements for professional licensure

Description of Rule: the regulation requires applicants for professional licensure who seek to meet the education requirement for licensure through programs that are not registered or accredited to submit adequate evidence of verification of their educational credentials by an acceptable independent credentials verification organization.

Need for Rule: the regulation is needed to ensure that only individuals who meet the educational requirements for licensure are licensed and to protect the public from attempts by individuals to submit fraudulent licensure credentials.

Legal Basis for Rule: Education Law sections 207, 6504 and 6507(1), (2)(a) and (3)(a).

Section 61.10 of the Commissioner's Regulations - certification of licensed dentists in the use of conscious sedation, deep sedation or general anesthesia

Description of Rule: the regulation establishes educational and training requirements for licensed dentists to be certified to employ conscious sedation, deep sedation, or general anesthesia in the practice of dentistry at any location other than a general hospital, and to establish practice requirements for the use of conscious sedation, deep sedation, or general anesthesia by such licensed dentists.

Need for Rule: Education Law section 6605-a, as amended by Chapter 615 of the Laws of 1999, directs the Commissioner of Education to establish requirements in regulation.

Legal Basis for Rule: Education Law sections 207, 6506(1), 6507(2)(a), 6601 and 6605-a(2).

Section 64.7 of the Commissioner's Regulations and section 29.14 of the Regents Rules - administration of immunization and anaphylaxis treatment agents b registered professional nurses.

Description of Rule: the regulation establishes requirements that registered professional nurses must meet to administer immunization and anaphylaxis treatment agents through non-patient specific orders and protocols, the immunization and anaphylaxis treatment agents that may be administered, the requirements for orders and the protocols, and special requirements which define unprofessional conduct for the profession of nursing.

Need for Rule: Chapter 573 of the Laws of 1999 directs the Commissioner of Education to promulgate regulations concerning the administration of immunization and anaphylaxis treatment agents by registered professional nurses pursuant to non-patient specific orders of licensed physicians or certified nurse practitioners.

Legal Basis for Rule: Education Law sections 207, 6503(3), 6506(1) and (9), 6507(2)(a), 6509(9), 6527(6), 6807(3), 6902(1) and 6909(4) and (5).

Section 69.6 of the Commissioner's Regulations - mandatory continuing education for architects

Description of Rule: the regulation establishes continuing educa-

tion requirements and standards for the registration of licensed architects.

Need for Rule: the regulation implements Education Law section 7308, as added by Chapter 521 of the Laws of 1999.

Legal Basis for Rule: Education Law sections 207, 212(3), 6502(1), 6504, 6507(2)(a), 6508(1) and 7308(1)(a), (b) and (c).

Section 70.6 of the Commissioner's Regulations - mandatory continuing education for public accountancy

Description of Rule: the regulation requires individuals licensed in public accountancy to participate in at least four contact hours of continuing education study in professional ethics during each triennial registration period and to prescribe that full contact hour credit would be given for interactive self-study programs used to fulfill the continuing education requirement.

Need for Rule: the regulation conforms the public accountancy continuing education requirements for self-study programs to the national authority's recommended guidelines and to ensure that licensees focus a portion of their continuing education on the subject of professional ethics. A recent amendment to the public accountancy regulations renumbered the sections and eliminated the distinction between interactive and non-interactive continuing education.

Legal Basis for Rule: Education Law sections 207, 6502(1), 6504, 6507(2)(a) and 7409(1)(a)(2) and (4).

Sections 79-4.6 and 79-4.7 of the Commissioner's Regulations - mandatory continuing education for respiratory therapists and respiratory therapy technicians.

Description of Rule: the regulation establishes continuing education requirements and standards that licensed respiratory therapists and licensed respiratory therapy technicians must meet to be registered to practice in New York State and requirements for approval of sponsors of continuing education.

Need for Rule: the regulation clarifies and implements the requirements of Education Law sections 8504-a and 8510-a, as added by Chapter 505 of the Laws of 1999, by establishing standards for what constitutes acceptable formal continuing education, educational requirements when there is a lapse in practice, requirements for licensees under conditional registration, standards for the approval of sponsors of continuing education to licensed respiratory therapists and licensed respiratory therapy technicians, and the fee for the review of sponsors of continuing education to defray the cost of such review by the State Education Department.

Legal Basis for Rule: Education Law sections 207, 212(3), 6502(1), 6504, 6507(2)(a), 6508(1), 8504-a(1)(a), (b) and (c), (2) through (6), and 8510-a(1)(a)(b) and (c), (2) through (6).

Agency representative:

Information may be obtained, and written comments may be submitted, concerning the modification or continuation of any of the above rules by contacting:

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OFFICE OF MANAGEMENT SERVICES

Part 281 of the Commissioner's Regulations - appeals to Commissioner of Education pursuant to Education Law section 3020(3) relating to employees or titles in the NYC School District

Description of Rule: the regulations establish procedures for appeals to the Commissioner of Education of certain disciplinary determinations for employees or titles in the City School District of the City of New York.

Need for Rule: the regulation is necessary to implement Chapter 3 of the Laws of 2000.

Legal Basis for Rule: Education Law sections 101, 207, 305(1) and (2), 308 and 3020(3) and Chapter 3 of the Laws of 2000.

Agency Representative:

Information may be obtained, and written comments may be submitted, concerning the modification or continuation of any of the above rules by contacting:

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Department of Financial Services

INTRODUCTION

Pursuant to Section 207 of the State Administrative Procedure Act, Review of Existing Rules, the Department of Financial Services (the "Department") must review, after five years and at five-year intervals thereafter, rulemakings adopted on or after January 1, 1998. In addition, effective January 1, 2013, for any rule that requires a regulatory flexibility analysis, rural area flexibility analysis, or job impact statement, the Department must initially review that rule in the third calendar year after the year the rule first was adopted. The purpose of the review is to analyze the need for and legal basis of the adopted rulemakings. Please note that all references to the "Department" and the "Superintendent" prior to October 3, 2011 mean, respectively, the former Insurance Department or Banking Department and the former Superintendent of Insurance or Superintendent of Banking, as appropriate to the context, and that the references to laws cited are as of the date of the amendment to the regulations. Thereafter, "Department" and "Superintendent" mean, respectively, the Department of Financial Services and the Superintendent of Financial Services.

PART 1. INSURANCE REGULATIONS

Notice is hereby given of the following rules relating to insurance that the Department will review this year to determine whether they should be continued or modified. These rules were adopted in 2017, 2015, 2010, 2005, and 2000. These rules as published in the State Register ("Register") contain a regulatory flexibility analysis, a rural area flexibility analysis and/or a job impact statement. If no such analysis was filed, a statement setting forth why one or all those analyses was unnecessary was published in the Register. Public comment on the continuation or modification of the following rules is invited. Comments must be received within 60 days of the date of publication of this notice. Comments should be submitted to:

Camielle Barclay
Associate Attorney
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Unless otherwise noted, the Department intends to continue the rules discussed herein without modification, while continually monitoring the regulations to ensure that the provisions remain consistent with related statutory and regulatory requirements.

The following rulemakings were adopted in 2017:

- Amendment to Part 12 (Insurance Regulation 50) (Agent Training Allowance Subsidies for Certain Life Insurance and Annuity Business) of Title 11 NYCRR, effective January 25, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301 and 4228.

This amendment to Insurance Regulation 50 permits an increase in training allowance limits that were initially set by statute in 1998, to adjust for inflationary increases that have arisen since the regulation was first promulgated on September 28, 2007.

- Addition of new Part 363 (Insurance Regulation 211) (Minimum Standards for the Form and Rating of Family Leave Benefits cover-

age, Including the Establishment and Operation of a Risk Adjustment Mechanism) to Title 11 NYCRR, effective May 31, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302 and Insurance Law Sections 301, 3201, 3217, 3221, and 4235, and Workers' Compensation Law ("WCL") Sections 204(2)(a), 208(2) and 209(3)(b).

This new Part implements the statutory mandates set forth in Insurance Law Section 4235(n) and WCL Sections 204(2)(a), 208(2), and 209(3)(b). This regulation establishes that family leave benefits coverage under WCL Article 9 must be community rated and may be subject to a risk adjustment mechanism, sets the procedures for publishing the maximum employee contribution, and requires issuers and self-funded employers to submit information electronically on claims.

- Amendment of Subpart 60-2 (Insurance Regulation 35-D) (Supplementary Uninsured/Underinsured Motorists Insurance) of Title 11 NYCRR, effective August 1, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301 and 3420.

This amendment interprets Insurance Law Section 3420(f)(2), in light of ensuing judicial rulings and experience, by establishing a standard form for supplementary uninsured/underinsured motorist ("SUM") coverage, in order to eliminate ambiguity, minimize confusion and maximize its utility.

This amendment clarifies an inadvertent misinterpretation to ensure that the SUM coverage will not provide less benefits than the mandatory uninsured motorist coverage. In addition, this amendment amends the rules related to the manner in which the organization designated by the Superintendent to administer the SUM arbitration program assesses the cost of the program to the insurance industry, in accordance with the recommendation and authorization of the Supplementary Uninsured Motorist Optional Arbitration Advisory Committee, and amends all references in Sections 60-2.3 and 60-2.4 to "AAA/American Arbitration Association" to read "designated organization." Furthermore, this amendment incorporates various editorial revisions to the prescribed endorsement and other portions of the regulation to clarify the intent and application of the coverage.

Insurance Regulation was amended effective November 25, 2018, to conform with new Insurance law Section 3420(f)(2-a), which was implemented by Chapter 490 of the Laws of 2017 and Chapter 15 of the Laws of 2018.

- Addition of new Part 111 (Insurance Regulation 207) (Statement of Actuarial Opinion and Actuarial Opinion Summary for Property/Casualty Insurers) to Title 11 NYCRR, effective August 2, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301, 307, 316, and 4117.

This new rule incorporates Section 2A of the National Association of Insurance Commissioners' ("NAIC") Property and Casualty Actuarial Opinion Model Law (the "Model Law"), which requires an authorized property/casualty insurer to submit an annual statement of actuarial opinion ("SAO") unless otherwise exempted by the insurer's domiciliary state, and Section 2B of the Model Law, which requires a domestic property/casualty insurer that must submit an SAO to submit an annual actuarial opinion summary ("AOS") written by the insurer's appointed actuary. This incorporation ensures that the Department meets NAIC accreditation standards and relieves the Department of the need to continue reissuing circular letters each year. The rule also requires an authorized property/casualty insurer to submit an AOS electronically, unless the Superintendent grants the insurer an exemption from filing electronically.

- Amendment to Part 52 (Insurance Regulation 62) (Minimum Standards for Form, Content, and Sale of Health Insurance, including Standards of Full and Fair Disclosure) of Title 11 NYCRR, effective August 20, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301, 3201, 3217, 3221, 4235, 4237, and 4303.

This amendment makes explicit that individual, group and blanket accident insurance policies and contracts that provide hospital, surgical, or medical expense coverage delivered or issued for delivery in

New York State may not exclude coverage for medically necessary abortions and must provide such coverage at no cost sharing.

In addition, the amendment provides for an optional, limited exemption for religious employers. However, the amendment still ensures that medically necessary abortion coverage is maintained for any insured of a policy issued to a religious employer at no additional cost to the insured by requiring an insurer to issue a rider to each certificate holder of a policy issued to the religious employer that provides coverage for medically necessary abortions, at no premium to be charged to the certificate holder or religious employer.

- Amendment to Part 52 (Insurance Regulation 62) (Minimum Standards for Form, Content, and Sale of Health Insurance, including Standards of Full and Fair Disclosure) of Title 11 NYCRR, effective August 20, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301, 3216(i)(17) and (33), 3217, 3221(l), (8), (16), and (19), and 4303(j), (cc), and (qq).

This amendment requires an insurer to allow, where the prescription so provides, for the dispensing of an initial three-month supply of a contraceptive to an insured, and up to a 12-month prescribed supply for any subsequent dispensing of the same contraceptive prescribed by the same health care provider and covered under the same policy or contract or renewal thereof.

- Consolidated Amendment of Parts 20 (Insurance Regulations 9, 18 and 29) (Brokers, Agents and Certain other Licensees – General); 29 (Insurance Regulation 87) (Special Prohibitions); 30 (Insurance Regulation 194) (Producer Compensation Transparency); 34 (Insurance Regulation 125) (Requirements Pertaining to the Location of an Insurance Agent or Broker at Each Place of Insurance Business); and Addition of new Part 35 (Insurance Regulation 206) (Title Insurance: Title Insurance Agents, Affiliated Relationships, and Required Disclosures) of Title 11 NYCRR, effective October 18, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 107(a)(54), 301, 2101(k), 2109, 2112, 2113, 2119, 2120, 2122, 2128, 2129, 2132, 2139, 2314, and 6409.

These rules are necessary in order to include title insurance agents in a number of existing regulations governing insurance producers and to clarify those regulations. In addition, the rules address unique circumstances involving title insurance agents, including affiliated persons' arrangements and required consumer disclosures.

- Consolidated Amendment of Part 27 (Insurance Regulation 41) (Excess Line Placements Governing Standards); Subpart 60-1 (Insurance Regulation 35-A) (Minimum Provisions for Auto Liability Insurance Policies); Subpart 60-2 (Insurance Regulation 35-D) (Supplementary Uninsured/Underinsured Motorists Insurance); Subpart 65-1 (Insurance Regulation 68-A) (Regulations Implementing the Comprehensive Motor Vehicle Insurance Repairs Act – Prescribed Policy Endorsements); Subpart 65-3 (Insurance Regulation 68-C) (Regulations Implementing the Comprehensive Motor Vehicle Insurance Repairs Act – Claims for Personal Injury Protection Benefits); Subpart 65-4 (Insurance Regulation 68-D) (Regulations Implementing the Comprehensive Motor Vehicle Insurance Repairs Act – Arbitration); Part 169 (Insurance Regulation 100) (Noncommercial Motor Vehicle Insurance Merit Rating Plans); Part 216 (Insurance Regulation 64) (Unfair Claims Settlement Practices and Claim Cost Control Measures); and Addition of new Subpart 60-3 (Insurance Regulation 35-E) (Transportation Network Companies: Minimum Provisions for Auto Liability Policies and other Requirements) of Title 11 NYCRR, effective October 25, 2017).

Statutory Authority: Financial Services Law Sections 202 and 302, Insurance Law Sections 301, 2115, 2118, 2305, 2307, 2334, 2335, 2601, 3420, 3455, 5102, 5105, and 5406 and Articles 23 and 51, Vehicle and Traffic Law ("VTL") Sections 1693, 1694 and 311, and Chapter 59 of the Laws of 2017 Part AAA.

Part AAA of Chapter 59 of the Laws of 2017, established a new Article 44-B of the VTL ("Article 44-B"), which was signed into law on April 10, 2017, and which took effect on June 29, 2017, regarding transportation network companies ("TNCs") and amended or added other laws to implement new Article 44-B. A TNC is a company that uses a digital network, such as an application on a phone, to connect

people seeking rides with drivers who are interested in providing those rides. Although TNCs have several different models, the most typical model utilizes drivers that are not professional livery drivers and who use their own personal automobiles to provide those prearranged rides and it is that model that Chapter 59 recognizes. The new TNC laws necessitated a change to New York's motor vehicle financial responsibility requirements, including regulations promulgated by the Superintendent. In addition, the law provides that the Superintendent establish the provisions for policies satisfying the new financial responsibility requirements of Article 44-B.

The rules listed above have been adopted to implement the new TNC law, particularly to establish the minimum requirements for policies satisfying the financial responsibility requirements of Article 44-B, and to ensure that minimum insurance requirements are in place at all times with appropriate protections in order to protect the drivers and owners of the vehicles, and the general public.

- Amendment to part 101 (Insurance Regulation 164) (Standards for Financial Risk Transfer Between Insurers and Health Care Providers) of Title 11 NYCRR, effective November 3, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302, Insurance Law Sections 301, 1102, 1109 and Articles 32, 41, 42, 43, and Public Health Law Section 4403(1)(c) and Article 29-E.

To advance the objectives of Public Health Law Article 29-E (which established a demonstration program to test the ability of accountable care organizations ("ACOs") to assume a role in delivering an array of health care services, from primary and preventive care through acute inpatient hospital and post-hospital care), the Commissioner of the New York State Department of Health ("Commissioner") adopted a new regulation (10 NYCRR 1003) ("ACO Regulation") that establishes standards for the issuance of certificates of authority to ACOs by the Commissioner. The Commissioner also adopted an amendment to 10 NYCRR 98 to: (1) expand the definition of an independent practice association ("IPA") to allow such entities to become certified as ACOs pursuant to Public Health Law Article 29-E and the ACO Regulation; and (2) upon certification, contract with third party health care payers.

This amendment to Insurance Regulation 164 expands the definition of "intermediary entity" to include ACOs as defined by the Commissioner's ACO Regulation and thereby permit insurers to enter into financial risk transfer arrangements with ACOs that are certified pursuant to Article 29-E and the ACO Regulation.

- Addition of new Part 228 (Insurance Regulation 208) (Title Insurance Rates, Expenses, and Changes) of Title 11 NYCRR, effective December 18, 2017.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301, 2110, 2119, 2303, 2304, 2306, 2315, and 6409 and Articles 23 and 24.

This new rule is necessary in order to: (a) ensure that title insurance corporations and title insurance agents comply with the Insurance Law; (b) level the playing field so that a title insurance corporation or title insurance agent is not selected based on which entity can provide the most lavish inducements; (c) help ensure that title insurance rates are not excessive; and (d) eliminate unreasonable and excessive markups of ancillary charges. This rule provides consumers with additional protection against excessive rates and unreasonable closing costs.

- Amendment of Part 68 (Insurance Regulation 83) (Charges for Professional Health Services) of Title 11 NYCRR, effective January 23, 2018.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301, 2601, 5221, and Article 51.

This amendment to Insurance Regulation 83 limits insurers' reimbursement of no-fault insurance health care services provided outside New York State at the election of a New York State eligible injured person to the lowest of: (1) the amount of the fee in the region in New York State that has the highest applicable amount in the fee schedule for that service; (2) the amount the provider charged; and (3) the prevailing fee in the geographic location of the provider. If the jurisdiction where the out-of-state provider renders treatment has

established a fee schedule for services rendered in connection with motor vehicle-related injuries, the prevailing fee shall be the amount prescribed in that fee schedule for the respective service. This limit on reimbursement does not apply to services provided out-of-state which: (1) would constitute emergency care; (2) are provided to a non-resident of this State; or (3) are provided to a New York State resident who, at the time of treatment, is residing in the jurisdiction where the treatment is being rendered for reasons unrelated to the treatment.

- Amendment of Part 154 (Insurance Regulation 150) (Private Passenger Motor Vehicle Multi-Tier Programs) of Title 11 NYCRR, effective March 13, 2018.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301, 2301, 2303, and 2349, and Insurance Law Article 23.

This amendment to Insurance Regulation 150 makes clear that an insurer may not use a policyholder's occupational status or educational level as a factor in either initial tier placement or tier movement unless the insurer demonstrates, to the Superintendent's satisfaction, that the use of occupational status or educational level attained in initial tier placement or tier movement does not result in a rate that violates Insurance Law Article 23. This rule accords with the public policy objectives that the New York State Legislature sought to advance in Insurance Law Sections 2301, 2303, and 2349.

- Amendment to Part 48 (Insurance Regulation 210) (Life Insurance and Annuity Non-Guaranteed Elements) of Title 11 NYCRR, effective March 19, 2018.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301, 1106, 1113, 3201, 3203, 3209, 3219, 3220, 3223, 4216, 4221, 4223, 4224, 4231, 4232, 4238, 4239, 4240, 4511, 4513, 4518 and Article 24.

This rule addresses several issues that have been highlighted by company announcements, media commentary, and complaints received by the Department regarding the determination and readjustment of non-guaranteed elements in life insurance policies, particularly with respect to universal life, indeterminate premium term life, and whole life insurance, and annuity contracts. The rule assists consumers to better understand at the time of purchase and upon any adverse readjustment of non-guaranteed elements how life insurance policies and certain annuity certificates and contracts with non-guaranteed elements subject to change at the discretion of the insurer or fraternal benefit society operate, and thereby reduce consumer dissatisfaction and the number of lapsed policies. The rule accomplishes this by requiring additional disclosures at the time the policy, contract or certificate is issued and by requiring notice to be provided in advance of any adverse change in the current scale of non-guaranteed elements, in order to give the owner enough time to address any projected insufficiency.

The following rulemakings were adopted in 2015:

- Amendment to Subpart 65-4 (Insurance Regulation 68-D) (Regulations Implementing the Comprehensive Motor Vehicle Insurance Reparations Act - Arbitration) of Title 11 NYCRR, effective February 4, 2015.

Statutory Authority: Financial Services Law Sections 202 and 302, and Insurance Law Sections 301 and 5221 and Article 51 of the Insurance Law.

This amendment to Insurance Regulation 68-D: (1) eliminates the \$60 minimum attorney's fee; (2) eliminates the \$60-or-\$80 attorney-fee limit that applies during the conciliation phase of the arbitration process; and (3) increases the maximum fee to be awarded to an attorney who prevails in court or at arbitration to \$1,360. These changes to the current fee structure should reduce the backlog of pending lawsuits and arbitrations by creating a more expeditious process to resolve disputes. The amendment should also reduce no-fault fraud and abuse by making billing practices more transparent, because when an action is consolidated, multiple services billed by a health service provider will be presented in a single legal action, allowing the finder of fact in arbitration or court to identify any questionable billing patterns, whereas with separate legal proceedings, billed services are spread out among multiple arbitrators or judges, making fraudulent and abusive billing more difficult to detect.

- Addition of new Part 227 (Insurance Regulation 202) (Regulation of Force-Placed Insurance) of Title 11 NYCRR, effective February 6, 2015.

Statutory Authority: Financial Services Law Sections 202, 301, and 302, and Insurance Law Sections 301, 308, 2110, 2303, and 2304 and Articles 21, 23, 24 and 34.

This new Part 227 ensures that force-placed insurance market participants comply with New York law. This rule is also necessary to protect homeowners and investors from the harm caused by the multiple law violations.

- Amendment to Part 67 (Insurance Regulation 79) (Mandatory Underwriting Inspection Requirements for Private Passenger Automobiles) of Title 11 NYCRR, effective April 1, 2015.

Statutory Authority: Financial Services Law Sections 202 and 302 and Insurance Law Sections 301, 301, 3411, 5303, and Article 53.

Inspections of automobiles have been mandatory since 1977 in order to combat insurance fraud, and only under limited circumstances has the current rule permitted insurers to waive or defer inspections. However, with advances in technology to combat automobile physical damage insurance fraud, certain provisions of the current rule have been rendered obsolete or unduly burdensome to insurers and insureds. This amendment to Insurance Regulation 79 has been updated to reduce unnecessary expenses to insurers and consumers, while maintaining necessary requirements to combat fraud. The amendment also clarifies various provisions of the regulation, including the types of automobiles subject to the inspection requirement, as well as expands the optional inspection waivers available to insurers.

The Department is considering adding a new subpart to Insurance Regulation 79 pertaining to automobile photo inspections.

- Consolidated Amendment to Parts 98 (Insurance Regulation 147) (Valuation of Life Insurance Reserves) and 100 (Insurance Regulation 179) (Recognition of the 2001 CSO Mortality Table for Use in Determining Minimum Reserve Liabilities and Nonforfeiture Benefits and Recognition and Application of Preferred Mortality Tables for Use in Determining Minimum Reserve Liabilities) of Title 11 NYCRR, effective April 1, 2015.

Statutory Authority: Financial Services Law Sections 202 and 302 and Insurance Law Sections 301, 1304, 1308, 4217, 4218, 4221, 4224, 4240, and 4517.

Insurance Regulation 147 is amended to recognize mortality improvement beyond the valuation date for universal life policies that guarantee that coverage remains in force as long as the accumulation of premiums paid satisfies the secondary guarantee requirement, issued on or after January 1, 2015. Additionally, a lapse rate of two percent may be used for the first five years, followed by a rate of no more than one percent for the remaining life of the policy.

Insurance Regulation 179 is amended consistent with mortality improvement. Because insureds are generally living longer, the amendment applies a 1.0 percent mortality improvement factor to the current mortality table (2001 CSO) for up to 40 years, and it applies a 0.5 percent mortality improvement factor thereafter through attained age 80. The mortality rates linearly grade from attained ages 81 through 90. These factors will apply only during the first segment.

- Amendment to Part 21 (Insurance Regulation 60) (Replacement of Life Insurance Policies and Annuity Contracts) of Title 11 NYCRR, April 21, 2015.

Statutory Authority: Financial Services Law Sections 202 and 302 and Insurance Law Sections 301, 2123, 2403 and 4226.

This amendment to Insurance Regulation 60 changes the time in which a completed Disclosure Statement must be presented or delivered to an applicant from “no later than at the time the applicant signs the application” to “prior to the delivery of the replacement policy,” achieving the stated goals of the National Association of Insurance and Financial Advisors – New York State and gaining the life insurance industry’s support while still retaining the current regulation’s significant consumer protections. In addition, this amendment will benefit insureds, insurance producers and insurers by:

- allowing an insurance producer to bind coverage for a consumer more quickly, subject to an insurer’s underwriting requirements,

because the insurance producer will be able to accept the consumer’s application immediately without waiting for a completed Disclosure Statement;

- enabling the underwriting process to proceed immediately, thereby expediting the policy issuance process. Applicants who are determined to replace their existing coverage are, reportedly, often aggravated or upset that they must wait several weeks to apply for new coverage. Some applicants seek a quick exit from their current policies to avoid market losses (such as with variable annuities), but must wait several weeks before a new application can be completed;

- facilitating more insurance purchased over the internet. The current process of having to wait several weeks for a response from the replaced insurer effectively inhibits internet sales when replacements are involved;

- reducing the number of “revised” Disclosure Statements that are currently necessary to account for changes that occurred between the time the application was taken and the date that the policy is ultimately issued. The issuance of multiple Disclosure Statements can be confusing to policyholders, and this amendment is expected to dramatically reduce the number of instances where “revised” Disclosure Statements are necessary;

- preserving the Disclosure Statement as a valuable tool for consumers to compare policies at the time of policy issuance and to review later if they have questions about the new coverage; and

- making it easier for insurance producers and insurers to comply with the regulation. Moving the Disclosure Statement to the back-end of the process will streamline the process and eliminate many of the technical issues that insurers encountered in the past.

The following rulemakings were adopted in 2010:

- Repeal of Part 163 and Adoption of a new Part 163 (Insurance Regulation 153) (Flexible Rating for Nonbusiness Automobile Insurance Policies) of Title 11 NYCRR, effective January 6, 2010.

Statutory Authority: Insurance Law Sections 201, 301, 2350 and Article 23.

This new Part 163 adopted rule re-established flexible rating for nonbusiness automobile insurance policies as required by Insurance Law Section 2350, which was enacted by section 13 of Chapter 136 of the Laws of 2008. Section 2350 permits insurers to put into effect nonbusiness automobile insurance rates without the Superintendent’s prior approval, provided that the overall average rate level does not result in an increase above five percent from the insurer’s prior rate level in effect during the preceding 12 months. Section 2350 also limits the overall average rate level decreases without prior approval up to five percent from the insurer’s current rate level regardless of when it went into effect. The former Insurance Regulation 153, implementing the former flex rating system, had been repealed when the former section 2350 had expired and a new Insurance Regulation 153 was adopted to establish rules and provide guidance to insurers to implement the requirements of the newly enacted Section 2350.

- Adoption of a new Part 30 (Insurance Regulation 194) (Producer Compensation Transparency) of Title 11 NYCRR, effective January 1, 2011.

Statutory Authority: Insurance Law Sections 201, 301 and Article 21.

Insurance Regulation 194 requires an insurance producer to disclose the following: its role in the transaction; that the producer will receive compensation from the insurer based upon the sale of the policy; that the compensation paid by insurers may vary; and that the purchaser may obtain from the producer, upon request, information about the compensation the producer expects to receive from the sale of the policy. The regulation also requires that upon the customer’s request, the producer disclose the amount of compensation for the policy selected and any alternative quotes presented. The required disclosures should minimize the potential conflicts that arise from producer compensation because insurance customers can request information about the compensation for the insurance policy and alternative policies quoted.

- Repeal of Part 135 (Insurance Regulation 67) (Reporting of Reserve Liabilities by Public Retirement Systems) of Title 11 NYCRR, effective March 3, 2010.

Statutory Authority: Insurance Law Sections 201, 301, 307(a); Retirement and Social Security Law Sections 15, 315; Education Law Section 523; Administrative Code of the City of New York Sections 13-183, 13-266, 13-378, 13-562; and the Rules and Regulations of the Retirement Board of the Board of Education of the City of New York Section 25.

Insurance Regulation 67 required reporting of certain financial transactions and reserve liabilities by public retirement systems maintained by the City of New York and the State of New York. The regulation referred to items in an annual statement form that was made obsolete by the replacement of a new form in 2007, which included the reporting requirements and filing instructions that were formerly set forth in Insurance Regulation 67. Thus, Insurance Regulation 67 was repealed to eliminate requirements relating to a previous annual statement form that is no longer in use and eliminated regulatory provisions that are no longer applicable to any person.

- Addition of new Subpart 151-3 (Insurance Regulation 119) (Workplace Safety and Loss Prevention Incentive Program) of Title 11 NYCRR, effective April 21, 2010.

Statutory Authority: Insurance Law Sections 201, 301 and 308, and Chapter 6 of the Laws of 2007.

Subpart 151-3 was adopted to comply with WCL § 134(6)(c), which requires the Superintendent to promulgate regulations to establish workers compensation premium credits for employers insured by the State Insurance Fund or another workers compensation insurer that implement a safety incentive program, drug and alcohol prevention program, or a return to work program, and to require re-certification on an annual basis.

- Consolidated Amendment of Parts 52 (Insurance Regulation 62) (Minimum Standards for the Form, Content, and Sale of Health Insurance, Including Standards for Full and Fair Disclosure), 215 (Insurance Regulation 34) (Advertisements of Accident and Health Insurance), 360 (Insurance Regulation 145) (Rules to Assure an Orderly Implementation of Ongoing Operation of Open Enrollment and Community Rating of Individual and Small Group Health Insurance), 361 (Insurance Regulation 146) (Establishment and Operation of Market Stabilization Mechanisms for Individual and Small Group Health Insurance and Medicare Supplement Insurance), and Addition of Part 58 (Insurance Regulation 193) (Minimum Standards for the Form, Content and Sale of Medicare Supplement Insurance) to Title 11 NYCRR, effective May 3, 2010.

Statutory Authority: Federal Social Security Act (42 U.S.C. Section 1395ss); Insurance Law Sections 201, 301, 3201, 3216, 3217, 3218, 3221, 3231, 3232, 4235, and Article 43.

In 1992, Congress enacted the federal Omnibus Budget Reconciliation Act of 1990 which establishes uniform requirements to govern Medicare supplement insurance. In 1992, the Department amended regulatory provisions pertaining to the rules for the regulation of Medicare supplement insurance to ensure compliance with federal standards. In 2008, Congress amended federal law to revise the standards governing Medicare supplement insurance plans. These regulations were amended to conform to federal requirements, as set forth in the revised NAIC's Medicare Supplement Insurance Minimum Standards Model Act.

- Amendment to Part 68 (Insurance Regulation 83) (Charges for Professional Health Services) of Title 11 NYCRR, effective September 22, 2010.

Statutory authority: Insurance Law Sections 201, 301, 2601, 5221, and Article 51.

This rule established, for the purposes of no-fault reimbursement, a fee schedule for dental services because at the time the Workers' Compensation Board ("WCB") had not established a fee schedule for such services. In 2009, the WCB adopted a dental fee schedule effective March 1, 2009. This amendment repealed Part A of Appendix 17-C to Part 68 that pertains to the fee schedule previously established by the then-Insurance Department for dental services. The charges for dental services are covered by the fee schedule established by the WCB.

- Amendment to Part 125 (Insurance Regulations 17, 20, and 20-A)

(Credit for Reinsurance from Unauthorized Insurers) of Title 11 NYCRR, effective January 1, 2011.

Statutory Authority: Insurance Law Sections 110, 201, 301, 307(a), 308, 332, 1301(a)(9), 1301(c), and 1308.

This rule applies to insurers authorized to do business in New York State and addresses whether a ceding insurer may take credit on its balance sheet, as an asset or deduction from reserves, for reinsurance recoverable from an unauthorized assuming insurer. The amendment established certain requirements for ceding insurers and reinsurers and placed the onus on ceding insurers to prudently manage their risk.

Effective March 20, 2013, the Department adopted another amendment to Part 125 to establish rules governing when an authorized ceding insurer may take credit on its balance sheet for a reinsurance recoverable.

The following rulemakings were adopted in 2005:

- Amendment to Part 39 (Insurance Regulation 144) (Partnership for Long-Term Care Program) of Title 11 NYCRR, effective January 26, 2005.

Statutory Authority: Insurance Law Sections 201, 301, 3201, 3217, 3221, 3229, 4235, 4237 and article 43; Social Services Law 367-f.

By Chapter 454 of the Laws of 1989, as amended by Chapter 659 of the Laws of 1997, the Legislature enacted the Partnership for Long-Term Care Program ("the Program") to provide that citizens of New York State who purchase a long-term care insurance policy/certificate under the Program, and who exhaust benefits under such policy/certificate, will become eligible for long-term care protection through the New York State Medicaid program. Insurance Regulation 144 establishes the standards and requirements relating to the Program. This amendment was necessary to expand the plan design options under the New York State Partnership for Long-Term Care Program. Prior to the amendment, there was only one plan design offered.

Effective June 1, 2012, The Department adopted another amendment to Insurance Regulation 144 to amend minimum standards for inflation protection, to add a new plan and add disclosure requirements relating to reciprocity.

Effective January 1, 2014, the Department adopted another amendment to Insurance Regulation 144 to amend the minimum daily benefit amounts for 2014 through 2023 for the New York State Partnership for Long-Term Care Program.

- Addition of new Part 217 (Insurance Regulation 178) (Prompt Payment of Health Insurance Claims) to Title 11 NYCRR, effective February 2, 2005.

Statutory Authority: Insurance Law Sections 201, 301, 1109, 2403, 3224 and 3224-a.

Chapters 637 and 666 of the Laws of 1997, which amended the Insurance Law relating to the settlement of claims for health care and payment for health care services, took effect January 22, 1998. The legislation was intended to set timeframes within which insurers and health maintenance organizations must pay undisputed claims for health care services submitted by subscribers and health care providers. One area of continuing concern had been determining when a claim was deemed to be "clean," and therefore ready for payment. This regulation created claims payment guidelines for determining when a health care insurance claim is considered complete and ready for payment. By its terms, the regulation is applicable only to claims submitted on paper.

Effective December 27, 2006, the Department adopted an amendment to Insurance Regulation 178 to update the claim payment guidelines for determining when a health care insurance claim is considered complete and ready for payment.

Effective July 15, 2009, the Department adopted another amendment to Insurance Regulation 178 to facilitate the timely processing and payment of health insurance claims in those circumstances where the patient is covered by more than one policy issued by different insurers.

- Amendment to Part 52 (Insurance Regulation 62) (Minimum Standards for Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure) of Title 11 NYCRR, effective September 7, 2005.

Statutory Authority: Federal Social Security Act (42 U.S.C. section 1395ss) and Insurance Law Sections 201, 301, 3201, 3216, 3217, 3218, 3221, 3231, 3232, 4235, 4237, and Article 43

The federal Medicare Prescription Drug, Improvement and Modernization Act of 2003 ("MMA") included several changes to the standardized Medicare supplement insurance plans. The Act charged the NAIC's Senior Issues Task Force, with the task of updating the standards for Medicare supplement insurance. This updating of standards was accomplished through adoption of a revised Model Regulation to Implement the NAIC Medicare Supplement Insurance Minimum Standards Model Act on September 8, 2004. This amendment conforms Regulation 62 to the requirements of the MMA.

- Amendment to Part 41 (Insurance Regulation 143) (Accelerated Payment of Death Benefits under a Life Insurance Policy) of Title 11 NYCRR, effective December 7, 2005.

Statutory Authority: Insurance Law Sections 201, 301, 1113, 1304, 3201, 3209, 4217 and 4517.

Chapter 537 of the Laws of 2000 added Sections 1113 (a)(1)(C) and (D) to the Insurance Law, allowing insurers to offer an insured the option of accelerating the death benefit under a life insurance policy when the insured is chronically ill and may need additional financial resources to assist with meeting long term needs and expenses. Access to the death benefit of a life insurance policy provides an alternate way for insureds to meet increasing long-term care needs and related expenses. The legislation also required that the accelerated death benefit payments for chronic illness be federally tax-qualified. The standards set forth by this regulation provide consumers with proper disclosure about this benefit, and they have helped to ensure the favorable federal tax treatment for the payment of the benefits.

The following rulemakings were adopted in 2000:

- Addition of Part 261 (Insurance Regulation 161) (Prepaid Legal Services Plans), Addition of Part 262 (Insurance Regulation 162) (Legal Services Insurance), Amendment to Part 26 (Insurance Regulation 25) (Independent Adjusters), Amendment to Part 161 (Insurance Regulation 129) (Flexible Rating System; Rating Plans; Tort Reform Re-filing Requirements), Amendment to Part 260 (Insurance Regulation 132) (Experimental Monoline Prepaid Legal Services Plans), Amendment to Part 73 (Insurance Regulation 121) (Claims-Made Policies; Scope of Application; Minimum Standards), Amendment to Part 71 (Insurance Regulation 107) (Legal Defense Costs in Liability Policies) (State Register of March 22, 2000) of Title 11 NYCRR, effective March 22, 2000.

Statutory Authority: Insurance Law Sections 201, 301, 1113(a)(29), and 1116, and Article 23; Chapter 65 of the Laws of 1998.

Prior to enactment of Chapter 65 of the Laws of 1998, Insurance Law Section 1116 of the authorized insurers to offer experimental plans of prepaid legal services insurance, and, except in connection with such plans, the Insurance Law did not authorize insurers to provide legal services insurance. Chapter 65 added a new paragraph 29 to Insurance Law Section 111(a), effective April 1, 1999 setting forth a new kind of insurance entitled "legal services insurance." Legal services insurance means insurance providing legal services or reimbursement of the cost of legal services. Chapter 65 also amended Insurance Law Section 1116 (retitled "Prepaid legal services plans and legal services insurance").

These new regulations and amendments to existing regulations implemented the legislative purpose to make affordable legal services insurance and prepaid legal services plans available in New York, subject to appropriate safeguards and limitations.

Effective January 10, 2007, the Department adopted an amendment to Part 262. Prior to this amendment, legal services insurance that was written as part of a policy of liability insurance was subject to the filing and approval requirements of Insurance Law Article 23 and did not qualify as a special risk coverage pursuant to 11 NYCRR 16 (Insurance Regulation 86). Thus, a liability policy that might otherwise be exempt from Article 23 filing requirements, except for the fact that it includes legal services insurance coverage, was required to be submitted to the Department for approval before it could be used. This rule permits legal services insurance to qualify as a special risk only if the coverage of the policy of liability insurance of which it is a part

also qualifies as special risk coverage pursuant to Insurance Law Article 63 and Insurance Regulation 86, and the policy is written on that basis.

- Amendment to Part 50 (Insurance Regulation 47) (Separate Accounts and Separate Account Annuities) of Title 11 NYCRR, effective April 26, 2000.

Statutory Authority: Insurance Law Sections 201, 301, 3201, 4240 and 4527.

New York Insurance Law section 4240 authorizes insurers to provide life insurance and annuity benefits that vary according to the investment experience of an insurer's separate account. This amendment to Insurance Regulation 47 allows insurers to utilize additional methods in calculating variable annuity payments where the Superintendent has determined the methods to be fair, equitable, reasonable and not less favorable to participants or annuitants than the methods previously employed. The amendment is consistent with the legislative objective of permitting insurers to provide variable annuity income payments to consumers that equitably reflect the investment performance of the separate account.

- Amendment to Part 70 (Insurance Regulation 101) (Medical Malpractice Insurance Rate Modifications, Provisional Rates, Required Policy Provisions and Availability of Additional Coverages) of Title 11 NYCRR, effective June 23, 2000.

Statutory Authority: Insurance Law Sections 201, 301, 1113(a)(13) and (14), 3426, 3436, 5504, 5907, 6302, 6303 and Article 23 of the Insurance Law; and Chapter 147 of the Laws of 1999 as amended by Part JJ of Chapter 407 of the Laws of 1999.

This amendment establishes physicians and surgeons' medical malpractice insurance rates and appropriate surcharges for the policy year July 1, 1999 through June 30, 2000 and establishes rules to collect and allocate surcharges to recover deficits based on past experience.

Effective June 20, 2001, the Department adopted an amendment to Insurance Regulation 101, which established the framework for the rates and forms of policies of physicians' medical malpractice insurance. This amendment establishes the rates and surcharges for primary policies of physicians and surgeons' medical malpractice insurance effective July 1, 2000.

Since 2001, the Superintendent has continued to establish physicians and surgeons' medical malpractice insurance rates and appropriate surcharges pursuant to Section 40 of Chapter 266 of the laws of 1986 and amendments thereof. The Superintendent's authority has been extended periodically by the Legislature.

- Amendment to Part 126 (Insurance Regulation 114) (Trust Agreements) of Title 11 NYCRR, effective August 21, 2000.

Statutory Authority: Insurance Law Sections 201, 301, and 1301(a)(14).

This amendment specifically permits a trust company to be the trustee under a trust agreement. Previously, the regulation required that the trustee be a bank that either was a member of the Federal Reserve or New York State charter.

- Amendment to Subpart 62-4 (Insurance Regulation 96) (Anti-Arson Application) of Title 11 NYCRR, effective September 27, 2000.

Statutory Authority: Insurance Law Sections 201, 301 and 340.

New York Insurance Law section 3403 specifies the circumstances under which an anti-arson application must be completed by an applicant for a new or renewal policy or binder covering the perils of fire or explosion. Insurance Regulation 96 creates the anti-arson application form that elicits the disclosure of certain types of information. The regulation also provides for cancellation of coverage if the application is not received within the statutorily mandated time frame.

Chapter 456 of the Laws of 1999 added a new subsection to Insurance Law section 3403, which allows the Superintendent to suspend or waive the requirement that the insurer use the anti-arson application upon renewal of policies if substantially equivalent information can be obtained by the insurer by other means. This amendment to Insurance Regulation 96 establishes a procedure whereby an insurer may request such suspension or waiver.

- Amendment to Part 360 (Insurance Regulation 145) (Open Enroll-

ment and Community Rating of Individual and Small Group Health Insurance) of Title 11 NYCRR, effective January 3, 2001.

Statutory authority: Insurance Law Sections 201, 301, 1109, 3201, 3216, 3217, 3221, 3232, 3233, 4235, 4237, Articles 43 and 45; and Chapter 501 of the Laws of 1992

Chapter 501 of the Laws of 1992 was enacted to increase access to affordable health insurance coverage through mandatory community rating and open enrollment. Insurance Regulation 145 was first promulgated in 1993 to ensure that the objectives of the legislation were realized. This amendment prohibits premium discounts and per case charges – mechanisms that tended to result in coverage for smaller groups becoming more expensive and less accessible relative to larger groups. The amendment also prohibits insurers from establishing commission payment schedules that would make agents and brokers reluctant to spend time and resources selling and procuring coverage to smaller groups.

- Amendment to Part 361 (Insurance Regulation 146) (Pooling Mechanism for Individual and Small Group Health Insurance) of Title 11 NYCRR, effective December 13, 2000.

Statutory authority: Insurance Law Sections 201, 301, 1109, 3201, 3216, 3217, 3221, 3231, 3232, 3233, 4235, 4304, 4305, 4317, 4318, 4321, 4322, and Article 45; and Chapter 501 of the Laws of 1992, and Chapter 504 of the Laws of 1995.

Chapter 501 of the Laws of 1992 established requirements for open enrollment, community rating and portability of individual and small group health insurance coverage, and it also provided for a pooling mechanism for individual and small group health insurance to ensure the stabilization of health insurance markets and premium rates. Chapter 504 of the Laws of 1995 specifically required the phase-out of demographic based pooling mechanisms and the expansion of pooling processes designed to share the risk of or equalize high cost claims or the claims of high cost persons.

This amendment implements the legislative objective of Chapter 504, while also retains and enhances consumer protections, by assuring that coverage is made available to all segments of the population at reasonable rates.

Effective May 22, 2002, the Department adopted another amendment to Part 361 to implement and assure the ongoing operation of open enrollment and community rating, including mechanisms designed to ensure the stability of the individual and small group health insurance markets. Chapter 504 of the Laws of 1995 provided for modification of pooling processes designed to share the risk of insurers and HMOs providing individual and small group health insurance coverage.

This amendment exercises the statutory authority and responsibility placed upon the Superintendent to implement and assure the ongoing operation of open enrollment and community rating, including mechanisms designed to ensure the stability of the individual and small group health insurance markets. Chapter 504 permitted the Superintendent, after January 1, 2000, to establish more than one type of mechanism for insurers and HMOs to share risks or prevent undue variation in claims costs. This amendment phased out (as of January 1, 2000) pooling based on demographics for individual and small group coverage, other than Medicare supplement insurance, and replaces them with modified specified medical condition pools. The rule continues a demographic pooling mechanism for Medicare supplement insurance.

Effective June 25, 2008, the Department adopted another amendment to Part 361 to phase out the existing market stabilization pool. Payments, collections and data reports were not required in 2005, and the new pooling methodology established by the amendment was established in 2006 and became fully operational in 2008.

Effective May 5, 2010, Insurance Regulation 146 was amended as part of a consolidation of regulations that were amended to address Medicare Supplement Insurance as discussed supra.

Effective August 15, 2018, the Department amended Insurance Regulation 146 to authorize the Superintendent to implement a market stabilization pool for the small group health insurance market if, after reviewing the impact of the federal risk adjustment program on this

market, the Superintendent determines that a market stabilization mechanism is a necessary amelioration. The rule: (1) ameliorates a possible disproportionate impact that federal risk adjustment may have on insurers and health maintenance organizations; (2) addresses the needs of the small group health insurance market in New York; and (3) prevents unnecessary instability in the health insurance market.

- Adoption of Part 310 (Regulation 167) (Product or System Group Policies) of Title 11 NYCRR, effective October 18, 2000.

Statutory Authority: Insurance Law Sections 201, 301, 3446 and article 23 and Chapter 187 of the Laws of 1999.

Chapter 187 of the Laws of 1999 added a new Section 3446 to the Insurance Law, which permits a group policy to be issued to a manufacturer, distributor, or installer of a product or system, or to a trustee on behalf of more than one manufacturer, distributor or installer. The regulation implements Insurance Law Section 3446 by establishing requirements for issuance of certificates to group members, payment of premium, and cancellation and renewal.

PART 2. BANKING REGULATIONS

Notice is hereby given of the following rules relating to banking that the Department will review this year to determine whether they should be continued or modified. These rules were adopted in 2017, 2015, 2010, 2005, and 2000. These rules as published in the Register contain a regulatory flexibility analysis, a rural area flexibility analysis, and/or a job impact statement. If no such analysis was filed, a statement setting forth why one or all of those analyses was unnecessary was published in the Register. Public comment on the continuation or modification of the above rules is invited. Comments must be received within 60 days of the date of publication of this notice. Comments should be submitted to:

Christine M. Tomczak
Assistant Counsel
New York State Department of Financial Services
One State Street
New York, NY 10004
Telephone: (212) 709-1642
Email: christine.tomczak@dfs.ny.gov

There were no new Banking regulation amendments or adoptions in 2017, 2015 or 2010.

The following rulemakings were adopted in 2005:

- Adoption of New Part 6.7 of the General Regulations of the Superintendent (Additional Authority of Banks, Trust Companies, Savings Banks and Savings and Loan Associations Pursuant to Banking Law §§ 14-g and 14-h; Additional Authority of Banks and Trust Companies to Underwrite and Deal in Certain Securities, including Municipal Bonds)

- a. Description of rule: This rule gives New York state-chartered banks and trust companies the power to underwrite and deal in certain securities including municipal bonds.

- b. Legal Basis for the rule: Banking Law §§ 13.4, 14, 14-g and 14-h.

- c. Need for rule: This rule is necessary to give New York state-chartered banks and trust companies parity with national banks in underwriting and dealing in municipal revenue bonds and other government securities.

- Amendment to Part 70.2 of the General Regulations of the Superintendent (Interlocking Directors and Officers of Banking Organizations and Bank Holding Companies: Exceptions)

- a. Description of rule: This rule allows for an executive officer of a bank, trust company, bank holding company, foreign banking corporation, national bank, savings bank, savings and loan association or federal savings and loan association to be the executive officer of any other such institution.

- b. Legal Basis for the rule: Banking Law §§ 130(3)(b), 143(3)(b), 209(3), 247(5)(b), 399(5)(b) and 399-a(2).

- c. Need for rule: This rule is needed to eliminate the requirement that interlock permissions granted by the Banking Board must be expressed in a special regulation.

- Amendments to Part 95.2 of the General Regulations of the Superintendent (Borrowings by Credit Unions)

a. Description of rule: This rule outlines borrowings by credit unions.

b. Legal Basis for the rule: Banking Law §§ 14, 453(7) and 454(9).

c. Need for rule: This rule was repealed.

- Amendments to Part 96.2 of the General Regulations of the Superintendent (Lending Limits for Credit Unions: Fully Secured Loans)

a. Description of rule: This rule describes how a credit union may make a loan to a member secured by that member's shares.

b. Legal Basis for the rule: Banking Law §§ 14, 453(5) and 454(6).

c. Need for rule: This rule is needed to conform the regulation to changes in the Banking Law intended to provide New York state-chartered credit unions with powers comparable to, and competitive with, those of federally-chartered credit unions.

- Amendments to Part 96.6 of the General Regulations of the Superintendent (Lending Limits for Credit Unions: Maximum Amount of Loan)

a. Description of rule: This rule provides the maximum amount that a credit union may loan to a member without permission of the superintendent and that a loan to a member may not exceed 25 percent of the net worth of the credit union.

b. Legal Basis for the rule: Banking Law §§ 14, 453(5) and 454(6).

c. Need for rule: This rule is needed to conform the regulation to changes in the Banking Law intended to provide New York state-chartered credit unions with powers comparable to, and competitive with, those of federally chartered credit unions.

- Amendments to Part 97.5 of the General Regulations of the Superintendent (Investment in Credit Union Organizations: Aggregate Limitation)

a. Description of rule: This rule sets forth the aggregate limit of a credit union's investments in the stock, capital notes and debentures of credit union organizations.

b. Legal basis for the rule: Banking Law §§ 14, 453(14-a), 454(19) and 460-a.

c. Need for rule: This rule is needed to conform the regulation to changes in the Banking Law intended to provide New York state-chartered credit unions with powers comparable to, and competitive with, those of federally chartered credit unions.

- Amendments to Part 113 of the General Regulations of the Superintendent (Investment by Credit Unions in the Shares of Central Credit Unions Located in this State)

a. Description of rule: This rule sets forth the limitations of investment by credit unions in the shares of central credit unions located in this state.

b. Legal basis for the rule: Banking Law §§ 14, 453(14-a), 454(19) and 460-a.

c. Need for rule: This rule was repealed.

- Amendments to Part 207 of the General Regulations of the Superintendent (Permission to Serve as an Executive Officer, Director or Trustee of Banks, Trust Companies, Savings Banks, Savings and Loan Associations, Foreign Banking Corporations, National Banks, Federal Savings and Loan Associations and Banking Holding Companies)

a. Description of rule: This rule allows executive officer and director interlocks at banking organizations.

b. Legal Basis for the rule: Banking Law §§ 130(3)(b), 143(3)(b), 209(3), 247(5)(b) and 399-a(2).

c. Need for rule: This rule is needed to allow an individual to serve as both an executive officer of an institution and a director of another institution.

- Amendment to Part 301.5 of the Superintendent's Regulations (Security at Automated Teller Machines: Type and Frequency of Video Tapes or Digital Recording Media for ATM surveillance systems)

a. Description of rule: The rule sets forth the requirements for the quality and maintenance of surveillance equipment at Automatic Teller Machines.

b. Legal basis for the rule: Banking Law §§ 12 and 75-n.

c. Need for rule: Part 301.5 provides detailed standards regarding the retention of surveillance image records.

- Adoption of New Part 326 of the Superintendent's Regulations (Maintenance of Reserves by Credit Unions)

a. Description of rule: This rule outlines the maintenance of reserves by credit unions.

b. Legal Basis for the rule: Banking Law §§ 12 and 458-a.

c. Need for rule: This rule is needed to conform the regulation to changes in the Banking Law intended to provide New York state-chartered credit unions with powers comparable to, and competitive with, those of federally chartered credit unions.

- Adoption of New Part 327 of the Superintendent's Regulations (Investments by Credit Unions in the Shares of Corporate Credit Unions Located in this State)

a. Description of rule: This rule outlines the requirements for investments by credit unions in the shares of corporate credit unions located in New York.

b. Legal Basis for the rule: Banking Law §§ 12, 454 and 454(14).

c. Need for rule: This rule is needed to conform the regulation to changes in the Banking Law intended to provide New York state-chartered credit unions with powers comparable to, and competitive with, those of federally chartered credit unions.

- Amendments to Supervisory Policy G 4 (Public Accommodation Offices, Adjoining Facilities, and Adjacent Facilities)

a. Description of rule: This rule outlines the procedure for the establishment of public accommodation offices, adjoining facilities and adjacent facilities.

b. Legal Basis for the rule: Banking Law § 195.

c. Need for rule: This rule is needed to provide for an expedited branch application process for well-rated institutions; provide simplified application forms; eliminate outdated or unnecessary informational requirements; and establish more consistent applications requirements for different types of banking institutions.

- Amendments to Supervisory Policy G 6 (Branching Policy for Banking Organizations)

a. Description of rule: This rule outlines the Department's policy regarding authorization of branches of state-chartered banking organizations.

b. Legal Basis for the rule: Banking Law § 195.

c. Need for rule: This rule is needed to provide for an expedited branch application process for well-rated institutions; provide simplified application forms; eliminate outdated or unnecessary informational requirements; and establish more consistent applications requirements for different types of banking institutions.

- Amendments to Supervisory Procedure G 104 (Application for a Public Accommodation Office)

a. Description of rule: This rule describes the requirements for a public accommodation office application.

b. Legal Basis for the rule: Banking Law §§ 12 and 29

c. Need for rule: This rule is needed to provide for an expedited branch application process for well-rated institutions; provide simplified application forms; eliminate outdated or unnecessary informational requirements; and establish more consistent applications requirements for different types of banking institutions.

- Amendments to Supervisory Procedure G 105 (Application for a Change of Location or a Change of Designation of Principal Office)

a. Description of rule: This rule describes the process for the filing of a change of location or a change of designation of principal office.

b. Legal Basis for the rule: Banking Law §§ 12 and 28.

c. Need for rule: This rule is needed to provide for an expedited branch application process for well-rated institutions; provide simplified application forms; eliminate outdated or unnecessary informational requirements; and establish more consistent applications requirements for different types of banking institutions.

- Amendments to Supervisory Procedure G 108 (Evidence of Compliance with Executive Law § 296-a)

a. Description of rule: This rule describes the procedure that a person, corporation, partnership or other entity must follow when fil-

ing certain applications to evidence that it is in compliance with Executive Law § 296-a.

b. Legal Basis for the rule: Executive Law § 296-a and Banking Law § 9-d.

c. Need for rule: This rule is needed to provide for an expedited branch application process for well-rated institutions; provide simplified application forms; eliminate outdated or unnecessary informational requirements; and establish more consistent applications requirements for different types of banking institutions.

• Amendments to Supervisory Procedure CB 103 (Application for Commercial Bank Branch Offices)

a. Description of rule: This rule describes the application process for institutions wishing to open branch offices.

b. Legal Basis for the rule: Banking Law §§ 11 and 29.

c. Need for rule: This rule is needed to provide for an expedited branch application process for well-rated institutions; provide simplified application forms; eliminate outdated or unnecessary informational requirements; and establish more consistent applications requirements for different types of banking institutions.

• Amendments to Supervisory Procedure SB 101 (Application for Savings Bank Branch Offices)

a. Description of rule: This rule describes the application process for savings banks wishing to open branch offices.

b. Legal Basis for the rule: Banking Law §§ 12 and 29.

c. Need for rule: This rule is needed to provide for an expedited branch application process for well-rated institutions; provide simplified application forms; eliminate outdated or unnecessary informational requirements; and establish more consistent applications requirements for different types of banking institutions.

The following rulemakings were adopted in 2000:

• Adoption of New Part 41 of the General Regulations of the Superintendent (Restrictions and Limitations on High Cost Home Loans)

a. Description of rule: The rule sets forth the guidelines for the making of high cost mortgage loans by regulated lenders.

b. Legal basis for the rule: Banking Law §§ 6-I, 6-l, 13 and 14.

c. Need for rule: Part 41 establishes various consumer protections with regard to the making of high cost mortgage loans.

• Amendment to Part 301.5 of the Superintendent's Regulations (Security at Automated Teller Machines: Type and Frequency of Video Tapes or Digital Recording Media for ATM surveillance systems)

a. Description of rule: The rule sets forth the requirements for the quality and maintenance of surveillance equipment at Automatic Teller Machines.

b. Legal basis for the rule: Banking Law §§ 12 and 75-n.

c. Need for rule: Part 301.5 provides detailed standards regarding video tape quality and usage.

PART 3. FINANCIAL SERVICES REGULATIONS

Notice is hereby given of the following rules relating to financial services that the Department will review this year to determine whether they should be continued or modified. These rules as published in the Register contain a regulatory flexibility analysis, a rural area flexibility analysis, and/or a job impact statement. If no such analysis was filed, a statement setting forth why one or all of those analyses was unnecessary was published in the Register. Public comment on the continuation or modification of these rules is invited. Comments must be received within 60 days of the date of publication of this notice. Comments should be submitted as indicated in the summaries below.

The following rulemakings were adopted in 2017:

• Adoption of new Part 500 (Cybersecurity Requirements for Financial Services Companies) of Title 23 NYCRR

Statutory Authority: Financial Services Law Sections 102, 201, 202, 301, 302 and 408.

The Financial Services Law is intended to ensure the safe and sound operation of the financial system. Cybercriminals present an ever-growing threat to that system. They can cause significant financial

losses for Department-regulated entities and for New York consumers who use the products and services of those entities. In addition, the private information of such consumers may be revealed and/or stolen by cybercriminals for illicit purposes. The adopted rule is intended to ensure that all financial services providers regulated by the Department have and maintain cybersecurity programs that meet certain minimum cybersecurity standards in order to protect consumers and continue operating in a safe and sound manner.

The contact for this rulemaking is Thomas S. Eckmier, Deputy General Counsel – tom.eckmier@dfs.ny.gov; (212) 709-1661.

• Adoption of new Part 501 (Nationwide Multistate Licensing System and Registry) of Title 23 NYCRR

Statutory Authority: Banking Law Sections 10, 14, 359, 371, 498-b, 561, 587 and 649, and Financial Services Law Sections 102, 201, 202, 301, 302, 309 and 408.

The adopted rulemaking allows regulated entities and applicants, which choose to do so, to use the Nationwide Multistate Licensing System and Registry ("NMLS") in making submissions to the Department. The Department anticipates that this will prove both easier and more cost effective for those entities which choose to take advantage of the permitted use of NMLS.

The contact for this rulemaking is Thomas S. Eckmier, Deputy General Counsel – tom.eckmier@dfs.ny.gov; (212) 709-1661.

The following rulemakings were adopted in 2015:

• Amendment of Part 1 (Debt Collection by Third-Party Debt Collectors and Debt Buyers) of Title 23 NYCRR

Statutory Authority: Financial Services Law Sections 202, 302, and 408.

The Financial Services Law is intended to promote the reduction and elimination of fraud, criminal abuse, and unethical conduct by, and with respect to, banking, insurance and other financial services institutions and their customers. Debt collectors have the potential to cause significant harm to New York's consumers and residents when engaging in overzealous, mistaken, or fraudulent debt collection. Debt collection practices can contribute to personal bankruptcies, marital instability, loss of jobs, and invasions of individual privacy. The adopted rule is intended to ensure that any debt collector that collects on debt from a New York consumer or resident meet certain minimum disclosure standards, such as requiring additional information in the debt collector's initial communications with a consumer and disclosing when a statute of limitations for a debt may be expired, prior to accepting payment on the debt. It also requires debt collectors to provide additional documentation to New York consumers or residents that dispute the validity of a charged-off debt or right of the debt collector to collect on a charged-off debt.

The contact for this rulemaking is Bruce Wells, Associate Counsel – bruce.wells@dfs.ny.gov; (212) 709-3802.

• Adoption of new Part 200 (Virtual Currencies) of Title 23 NYCRR.

Statutory Authority: Financial Services Law Sections 102, 104, 201, 202, 206, 301, 302, 303, 304-a, 305, 306, 309, 404 and 408; Banking Law Sections 10, 14, 36, 37, 39, 40, 44, 44-a, 78, 128, 225-a, 600, 601-a and 601-b; and Executive Law Section 63.

The adopted rule provides a comprehensive framework for the licensing and supervision by the Department of persons who engage in virtual currency business activity. Consistent with the goals of the Financial Services Law, this framework is intended to protect New York consumers and users of virtual currency, to ensure that virtual currency businesses operate safely and soundly, and to support continued growth and innovation in this constantly developing area of financial services.

The contact for this rulemaking is Thomas S. Eckmier, Deputy General Counsel – tom.eckmier@dfs.ny.gov; (212) 709-1661.

• Adoption of new Part 400 (Independent Dispute Resolution for Emergency Services and Surprise Bills) of Title 23 NYCRR.

Statutory Authority: Financial Services Law Sections 202, 301, 302, and Article 6, Insurance Law Section 301, and Part H of Chapter 60 of the Laws of 2014

Part H of Chapter 60 of the Laws of 2014 provided new rights and obligations, effective March 31, 2015, concerning disputes involving bills by health care providers. Health care plans, physicians, and when applicable, other health care providers and patients, have the right to request a review by an independent dispute resolution entity ("IDRE") to resolve a payment dispute regarding a bill for certain emergency services or surprise bills. This Part implements the requirements of Financial Services Law Article 6 by establishing a dispute resolution process and the standards for such process, including criteria and the process for certifying and selecting an IDRE.

The contact for this rulemaking is Emily Donovan, Associate Attorney – emily.donovan@dfs.ny.gov; (518) 473-4177.

New York State Gaming Commission

Pursuant to section 207 of the State Administrative Procedure Act, notice is hereby provided of rules adopted by the New York State Gaming Commission (or its two predecessor agencies, the Racing and Wagering Board and the Division of Lottery) for the calendar years 2015, 2010, 2005 and 2000. Public comments on the continuation or modification of these rules are invited and those received by March 16, 2020, will be considered. Please forward comments to Kristen M. Buckley, Secretary of the New York State Gaming Commission, One Broadway Center, Suite 500, Schenectady, New York 12301-7500 or by electronic mail at gamingrules@gaming.ny.gov.

The following contains a brief description of each rule, including the statutory authority, and a statement setting forth the justification for the need for each rule and its continuation without further modification.

2015

SGC-49-13-00009 Clenbuterol regulatory threshold and restricted time period

This rulemaking amended 9 NYCRR § 4043.2(g)(5) to limit the 96-hour restricted time period before a standardbred horse may race after an administration of clenbuterol to only horses that raced during the preceding 30 days and added a new rule, 9 NYCRR § 4043.2(k), which restricts from racing for 14 days a horse that has not raced for 30 or more days. This rule is needed because 14 days allow the anabolic effects of clenbuterol administration, which may occur when the drug is administered regularly for many days, to dissipate before the horse races. The legal basis for the rules is Racing, Pari-Mutuel Wagering and Breeding Law ("RWL") §§ 103, 104 and 122.

SGC-49-13-00011 Regulatory thresholds for 16 drugs

This rulemaking added a new rule, 9 NYCRR § 4120.3, to supplement the restricted time periods with regulatory thresholds consistent with national standards and to control the use of 16 common equine drugs in a standardbred horse before it races. This rule is needed because the thresholds are designed to keep a horse from racing while a drug is affecting its performance. The legal basis for the rule is RWL §§ 103, 104 and 122.

SGC-49-13-00014 Depo Medrol threshold and tests required after administration

This rulemaking added paragraph (17) to 9 NYCRR § 4120.3(a) to create a regulatory threshold for methylprednisolone acetate ("Depo Medrol") in a standardbred horse that demonstrates a joint injection of Depo Medrol within the previous seven days; repealed the 48-hour restricted time period in 9 NYCRR § 4120.2(e)(9); and added a new rule, subdivision (1) of 9 NYCRR § 4120.2, to require a standardbred horse treated with Depo Medrol to test below the regulatory threshold for the drug and be released by the stewards to race. This rule is needed because it allows a time sufficient to allow an evaluation of whether the drug helped the horse to heal and because the long half-life of the drug makes it difficult to regulate with a restricted time period and threshold. The legal basis for the rules is RWL §§ 103, 104 and 122.

SGC-49-13-00015 48-hour restricted time period for flunixin

This rulemaking repealed subdivision (d) and amended subdivision (e) of 9 NYCRR § 4120.2 to no longer permit the non-steroidal anti-inflammatory drug ("NSAID") flunixin to be administered until 24 hours before a standardbred horse races. This rule is needed because it

standardized the restricted time period for all NSAIDs, removed an unwanted incentive to use flunixin, and protects horsepersons from exceeding the flunixin threshold. The legal basis for the rule is RWL §§ 103, 104 and 122.

SGC-49-13-00017 14-day restricted time period for firocoxib

This rulemaking added a new rule, subdivision (m) of 9 NYCRR § 4120.2, to restrict the administration of the NSAID firocoxib within 14 days before a standardbred horse race. This rule is needed to protect horsepersons from exceeding the firocoxib threshold and because a higher threshold would fail to identify administrations that are efficacious on race day. The legal basis for the rule is RWL §§ 103, 104 and 122.

SGC-49-13-00018 DMSO threshold and restricted time period

This rulemaking added paragraph (23) to 9 NYCRR § 4120.3(a) to establish a regulatory threshold that is consistent with national standards, and clarified subdivision (a) and amended subdivision (e) of 9 NYCRR § 4120.2 to increase the time restriction after an administration of dimethyl sulfoxide (i.e., DMSO) to 48 hours before a standardbred horse races to be consistent with this new threshold. This rule is needed for consistency with national standards. The legal basis for the rules is RWL §§ 103, 104 and 122. 9 NYCRR § 4120.3(a)(23) has been renumbered § 4120.3(a)(8).

SGC-37-14-00005 Depo Medrol tests required after administration

This rulemaking added a new rule, subdivision (k) of 9 NYCRR § 4043.2, to require a thoroughbred horse treated with Depo Medrol to test below the regulatory threshold for this drug and be released by the stewards to race. This rule is needed because the long half-life of the drug makes it difficult to regulate with a restricted time period and threshold. The legal basis for the rule is RWL §§ 103, 104 and 122.

SGC-37-14-00007 Reporting corticosteroid joint injections

This rulemaking added a new rule, 9 NYCRR § 4120.4(b), to require corticosteroid joint injections be reported to the Commission and claimants of a standardbred horse. This rule is needed because this information helps limit the debilitating effects of repetitive corticosteroid treatments. The legal basis for the rule is RWL §§ 103 and 104.

SGC-19-15-00017 Thoroughbred superfecta wager

This rulemaking added a new rule, 9 NYCRR § 4011.22, to describe and allow expressly the superfecta wager on thoroughbred races and to permit the wager with coupled horses in the race by assigning the best finish of the coupled horses to the wager. These changes make the wager easier for racetracks to offer and increases bettor interest, wagering handle and the return to government. The legal basis for the rule is RWL §§ 103 and 104.

SGC-20-15-00003 Thoroughbred coupled entries

This rulemaking amended 9 NYCRR § 4025.10 to permit coupled entries in thoroughbred races with stakes of a minimum purse of \$50,000 rather than \$1,000,000, provided that the racetrack adequately informs the public of the common ownership. This change increases the opportunity for the racetracks to offer this wager, wagering handle and the return to government. The legal basis for the rule is RWL §§ 103 and 104.

SGC-20-15-00012 Definitions for casino gaming rules

This rulemaking added a new rule, 9 NYCRR § 5300.1, to define terms for the casino gaming regulations in subchapter B of Chapter IV of the Gaming Commission's rules. This rule is needed for effective regulation of casinos. Subsequent rule making has added definitions of credit slip, dealer, drop box, fill, gaming cheat, hand, match-play coupon, pit, promotional gaming chip and coupon, shift, and supervisor; and the initial subdivisions (a) – (m) have been renumbered by subsequent rule making to maintain in alphabetical order all the terms defined now in subdivisions (a) – (y) of 9 NYCRR § 5300.1. The legal basis for the rule is RWL §§ 104 and 1307.

SGC-29-15-00013 Gaming facility license application

This rulemaking added a new Part 5301 (§§ 5301.1 to 5301.10) to 9 NYCRR to prescribe the form and process for gaming facility license applications. This rule is necessary to implement gaming facility licensing prescribed in statute. The legal basis for the rules is RWL

§§ 104, 1305, 1306, 1307, 1311, 1312, 1313, 1315, 1316, 1317 and 1318.

SGC-29-15-00014 Minority- and Women-Owned Business and Workforce Diversity

This rulemaking added a new Part 5311 (§§ 5311.1 to 5311.8) to 9 NYCRR to establish a utilization plan for MWBE in the construction and operation of commercial casinos and a new Part 5312 (§§ 5312.1 to 5312.5) to 9 NYCRR to require gaming facilities to ensure a diverse workplace. This rule is necessary to implement policy prescribed in statute. The legal basis for the rules is RWL §§ 104, 1307, 1316 and 1320.

SGC-29-15-00015 Gaming facility employee and vendor licensing

This rulemaking created new Parts 5303 through 5307 to 9 NYCRR for the licensing and registration of gaming facility employees and vendors. Sections 5303.1 through 5303.10 set forth the minimum requirements and application procedure, background investigation, license criteria, fees, reapplication process, license discipline and wagering restrictions for all applicants. Part 5304 has rules specific for key casino employees, Part 5305 for gaming employees, Part 5306 for non-gaming employees and Part 5307 for vendors. This rule is necessary to implement occupational licensing prescribed in statute. The legal basis for the rules is RWL §§ 104, 1307, 1322, 1323, 1324, 1325, 1326 and 1327.

SGC-29-15-00026 Powerball and other Lottery draw game rules

This rulemaking amended §§ 5004.9, 5007.2, 5007.13, 5007.15, 5007.16, 5009.2 and 5010.2 of 9 NYCRR to use the term Quick Pick for the random-selection tickets and to change how many numbers are in the fields from which a player selects numbers to play Powerball, a multi-jurisdictional lottery game offered in New York, because innovative games generate more revenue. This rule is needed for New York to continue to participate in the Powerball game. The legal basis for the rule is RWL § 104 and Tax Law §§ 1601, 1604, 1612 and 1617.

SGC-33-15-00013 Numbers and Win-4 Lottery wagers

This rulemaking amended §§ 5009.2 and 5010.2 of 9 NYCRR to allow a Close Enough type of wager for the New York's Numbers and Win-4 Lottery games because innovative games generate more revenue. The legal basis for the rule is RWL §§ 103 and 104 and Tax Law §§ 1601, 1604 and 1612.

SGC-29-15-00001 Video lottery gaming facility closing hours

This rulemaking amended § 5118.9 of 9 NYCRR to remove the 4:00 a.m. restriction that was rendered obsolete by an amendment to Tax Law § 1617-a(b). The legal basis for the rule is RWL §§ 103 and 104 and Tax Law § 1617-a(b).

SCG-40-15-00003 Standardbred races for New York-bred horses

This rulemaking added subdivision (c) to § 4108.8 of 9 NYCRR to permit standardbred racetracks to offer races with entries limited to only New York-bred horses, which is rulemaking required by an amendment to RWL § 307-a. The legal basis for the rules is RWL §§ 103, 104 and 307-a.

2010

Rules adopted by the Division of Lottery:

LTR-19-10-00013. Multi-state Powerball game and payment of prizes

This rulemaking to 21 NYCRR added a new § 2806.13 to permit New York to offer the multi-state Powerball lottery game and amended §§ 2803.12, 2806.2, 2806.7 and 2806.11 to codify an agreement of Mega Millions state lottery jurisdictions like New York with the Multi-State Lottery Association and permit the sale of Powerball and Mega Million lottery tickets in all such states, define Quick Pick to be consistent with the Powerball game, and require that prize winners cooperate in publicity events. Joining the Powerball game increases Lottery revenue and aid to education in New York. These rules have been renumbered as 9 NYCRR §§ 5007.13 and 5002.12, 5007.2, 5007.7 and 5007.11. The legal basis for the rules is Tax Law §§ 1601, 1604, 1612 and 1617.

Rules adopted by the Racing and Wagering Board:

RWB-16-10-00034 Uncoupling of entries with common thoroughbred trainers

This ruling amended §§ 4025.10(d) and 4035.2(e) of 9 NYCRR to allow horses with a common trainer to compete in the same race as separate betting interests, and to permit the stewards to disqualify each horse of the trainer that finished ahead of an uncoupled horse committing a racing violation in the race that was disqualified, respectively. The uncoupling of entries increases bettor interest, handle and the return to government. The authority to disqualify other horses of the trainer protects the integrity of the races. The legal basis for the rules is RWL §§ 101 and 231.

2005

No rules were adopted by the Division of Lottery

Rules adopted by the Racing and Wagering Board:

RWB-48-04-00011 Programming and naming of jockeys entered to ride

This rulemaking amended § 4025.33 of 9 NYCRR to allow the race secretary to find an unassigned, replacement jockey on an "also eligible" list when another jockey was listed for two horses in the same race, rather than requiring that a back-up jockey be listed in the printed program for every horse. This rule is needed to assist the wagering public in receiving adequate electronic notice of the substitution and the list is an efficient means to find and assign the jockey. The legal basis for the rule is RWL §§ 103, 104 and 218.

RWB-09-05-00001 Drug rules for reserpine, fluphenazine, EPO and rhEPO

This rulemaking amended §§ 4043.6, 4043.7, 4038.18, 4120.10, 4120.11, 4109.7 and 4113.3 of 9 NYCRR to use antibody tests to disqualify horses that recently were given the tranquilizers reserpine or fluphenazine, and to prohibit the use of the blood-doping agents erythropoietin (EPO) and darbepoietin (rhEPO), which stimulate the horse to produce more red blood cells, deliver more oxygen to its muscles and improve race performance. This rule promotes fair racing. The legal basis for the rules is RWL §§ 103, 104 and 301.

RWB-10-05-00003 Definition of bingo "occasion"

This rulemaking amended subdivision (q) of § 5800.1 of 9 NYCRR 5800.1 to define a single bingo occasion, for an organization that conducts more than one bingo occasion, as limited to no more than 10 games. This rule is needed to provide clear guidance to organizations licensed to conduct bingo, players, inspectors and municipal clerks who issue the bingo licenses; allows for ample time for inspection and supervision by inspectors; and preserves certain traditional social elements of bingo. This rule has been renumbered by subsequent rule making as 9 NYCRR § 4800.1(q). The legal basis for the rule is Executive Law § 435.

RWB-10-05-00004 Public inspection of records

This rulemaking repealed subdivision (i) of § 5400.1 of 9 NYCRR to no longer require that the commission notify each person who has records on file when there is a FOIL request for those records because this practice was unduly delaying the production of records. The commission continues to notify each person who requested it at the time the person filed the records. This rule is needed for the efficient implementation of FOIL. The legal basis for the rule is Public Officers Law § 87(1)(b).

2000

No rules were adopted by the Division of Lottery

Rules adopted by the Racing and Wagering Board:

RWB-47-99-00001 Bell jar ticket art approval rule

This rulemaking amended § 5608.4 of 9 NYCRR to allow a manufacturer of bell jar tickets to submit an artist's rendition of the bell jar ticket, payout cards and flare when seeking commission approval for a new bell jar game, rather than the previous, costly requirement that the manufacturer produce and submit exemplars of these items. This rule makes regulation more efficient. This rule has been renumbered by subsequent rule making as § 4608.4. The legal basis for the rule is General Municipal Law §§ 186 and 188-a(1).

RWB-15-00-00005 Games of chance and bingo regulations

This rulemaking amended §§ 5600.1, 5602.1, 5603.7, 5607.13, 5611.1, 5611.2, 5623.1, 5814.6, 5815.11 and Parts 5608, 5620, 5622, 5624, and 5820 of 9 NYCRR to give force and effect to comprehensive

bell jar game statutory changes to Articles 9-A and 14-H of the General Municipal Law and strengthen the commission's enforcement capabilities. These rules have been renumbered by subsequent rule making as §§ 4600.1, 4602.1, 4603.7, 4607.13, 4611.1, 4611.2, 4623.1, 4814.6, 4815.11 and Parts 4608, 4620, 4622, 4624, and 4820 of 9 NYCRR. The legal basis for the rules is Executive Law § 435 and General Municipal Law §§ 186 and 188-a.

RWB-38-00-00001 Occupational license renewal dates

This rulemaking amended §§ 4002.7, 4101.24(d) and 4205.1(j) of 9 NYCRR to base the renewal date for standardbred, thoroughbred and quarter horse occupational licenses on the birthdate of the licensee rather than a calendar year basis. This rule is needed to distribute the workload of processing license applications throughout the year. The legal basis for the rules is RWL 103, 104, 213, 309 and 409.

Department of Health

Pursuant to the State Administrative Procedure Act Section 207 and 202-d, the Department of Health invites public comment on the continuation or modification of the following rules. Public comments will be accepted for 45 days from the date of publication in the State Register and should be submitted to Katherine Ceroalo, Bureau of Program Counsel, Regulatory Affairs Unit, Corning Tower, Room 2438, Empire State Plaza, Albany, NY 12237 by email at REGSQNA@health.ny.gov.

Title 10 NYCRR - Three Year Review

Amendment of Sections 23.1 and 23.2 of Title 10

(Expansion of Minor Consent for HIV Treatment Access and Prevention)

Statutory Authority:

Public Health Law Sections 225(4), 2304, 2305 and 2311

Description of the regulation:

This amendment supports the Governor's plan to end the AIDS epidemic in New York State by 2020, by connecting persons diagnosed with HIV with treatment, including prevention services. After being diagnosed, young people currently face barriers that can prevent or delay access to care, including denial and fear of their HIV infection, misinformation, HIV-related stigma, low self-esteem, lack of insurance, homelessness, substance use, mental health issues, and lack of adequate support systems. Because of these factors, many young people need the ability to consent to HIV treatment, including prevention services. These regulations are necessary to provide appropriate health care rights and protections to minors and remove the barriers that can prevent or delay access to care. The regulation should continue without modification.

Amendment of Section 86-1.47 of Title 10

(Hospital Indigent Care Pool Payment Methodology)

Statutory Authority:

Public Health Law Section 2807-k (5-d)

Description of the regulation:

Part 86-1.47 of Title 10 NYCRR extends for another two calendar years, 2019 and 2020, the current indigent care distribution methodology which replaced a complex distribution approach that expired December 31, 2012. Public Health Law Section 2807-k (5-d) requires the Department to have such a methodology in place through 2020. This regulation will be extended to accommodate a not greater than seventeen and a half percent for 2019 and a twenty percent for 2020 reduction in payments.

Addition of Part 350 to Title 10

(All Payer Database)

Statutory Authority:

Public Health Law Sections 2816 and 206(18-a)(d)

Description of the regulation:

These regulations establish New York State's All Payer Database (APD). The APD provides a robust dataset that supports a variety of comparative analyses. The APD enables evaluation of care delivery and payment models and identifies opportunities to avoid waste, over/

under utilization, misuse of treatments, and conflicting plans of care. The regulations should continue without modification.

Amendment of Part 405 of Title 10

(Federal Conditions of Participation)

Statutory Authority:

Public Health Law Section 2803

Description of the regulation:

The Centers for Medicare and Medicaid Services (CMS) requires hospitals to meet specified Conditions of Participation (CoPs) in order to participate in the federal Medicare and Medicaid programs. The CoPs outline the basic requirements related to a hospital's structure, operations and delivery of patient care. CMS made numerous changes to the CoPs effective on July 16, 2012. As a result, New York State general hospital regulations were revised to reflect the federal changes. The regulation should continue without modification.

Amendment of Section 405.21 of Title 10

(Perinatal Services)

Statutory Authority:

Public Health Law Section 2505-a

Description of the regulation:

Describes hospital requirements for perinatal care. This amendment expanded rights of breastfeeding mothers. Marketing of breast milk substitutes was restricted. Hospitals were required to annually disseminate hospital breastfeeding policies and procedures to staff providing maternity and newborn care, inform the mother of community services, including the Special Supplemental Nutrition Program for Women, Infants and Children (WIC), and to make referrals to such community services as appropriate. The regulation should continue without modification.

Amendment of Part 1004 and Subpart 55-2 of Title 10

(Medical Use of Marijuana)

Statutory Authority:

Public Health Law Sections 3369-a and 502

Description of the regulation:

These regulations comprehensively govern the medical marijuana program pursuant to Public Health Law §§ 3360-3369 and set the rules for patients to participate in the program, as well as for practitioners to certify them and for Registered Organizations to manufacture and distribute medical marijuana products in New York State.

Subpart 55-2 describes certification requirements for environmental laboratories that test samples that originate from New York State. Section 55-2.15, which describes requirements for testing for medical marijuana, was updated to correct the name of the Drug Enforcement Administration and to include disposal requirements for medical marijuana.

The regulations should be amended to improve patient access to the medical marijuana program, reduce the costs of medical marijuana products, clarify requirements for research on medical marijuana products, and promote social equity within the medical marijuana industry. Section 55-2.15 was recently amended, effective 08/21/2019, and future amendments may be required with changes in industry standards.

Title 10 NYCRR - Five Year Review

Amendment of Section 9.1 of Title 10

(Prohibit Additional Synthetic Cannabinoids)

Statutory Authority:

Public Health Law Section 225

Description of the regulation:

The regulation prohibits the manufacture and sale of certain synthetic cannabinoids.

The regulation should be amended to conform to and supplement subsequent amendments to Public Health Law § 3306, which added several synthetic cannabinoids to New York State's schedule of controlled substances.

Amendment of Subpart 50-3 of Title 10

(Medical Records Access Review Committees)

Statutory Authority:

Public Health Law Section 18(4)

Description of the regulation:

Effective January 1, 1987, patients and other qualified persons were granted access to health care records by Section 18 of the New York State Public Health Law (PHL), which was enacted in Chapter 497 of the Laws of 1986. The law contains the procedures for making records available, the conditions under which a provider can deny access to records, and a process to resolve situations in which patients or other qualified persons dispute a provider's denial of access to records.

If a patient is denied access to their health care records, the patient or other qualified persons are afforded the right of appeal to Medical Records Access Review Committees (MRARC) designated by the Commissioner of Health pursuant to PHL Section 18 to hear and make determinations on appeals. Subpart 50-3 of Title 10 of the New York State Codes, Rules and Regulations (NYCRR) governs the operations of the MRARCs, comprised of Department of Health professionals.

Subpart 50-3 describes the steps that physicians and non-physician professionals must take in the event of an appeal to the denial of access to patient information and the process to be followed by MRARCs in hearing and issuing determinations on appeals. The regulation should continue without modification.

Amendment of Parts 58 and 34 of Title 10

(Patient Access of Laboratory Test Results)

Statutory Authority:

Public Health Law Sections 576 & 587

Description of the regulation:

Subparts 58-1 (Clinical Laboratories), 58-8 (HIV Testing) and 34-2 (Laboratory Business Practices) had previously included language that prohibited a patient from obtaining their test results directly from a laboratory. These regulations were amended to allow patients to access their test results directly from a laboratory. The regulation should continue without modification.

Amendment of Subpart 58-2 of Part 58 of Title 10

(Blood Banks)

Statutory Authority:

Public Health Law Section 3121(5)

Description of the regulation:

This regulation describes requirements for blood banks and requirements for laboratories performing immunohematology testing. Numerous amendments were made to update practice standards, to address changes in nomenclature and technologies used in the field of blood banking and immunohematology testing and added requirements for ambulance services that administers blood components during transport from one hospital to another hospital.

Amendments will be proposed to clarify requirements for reinfusion procedures; modify the requirements for the collection and handling of blood for subsequent transfusion; establish requirements for the issuance of blood, blood components and derivatives during routine and emergency situations; revise donor qualifications, collection and testing requirements for whole blood, apheresis and serial plasmapheresis; update record retention requirements to be consistent with the FDA and industry standards; amend requirements for standard operating procedures; amend the standards for transfusion and immunohematology testing requirements; clarify personnel and supervisory requirements for serial plasmapheresis and apheresis collection of blood components.; clarify requirements for transfusions that occur outside of a hospital setting and during interfacility transport; and revise criteria for exceptions to reflect industry standards.

Amendment of Subpart 66-1 of Title 10

(School Immunization Requirements)

Statutory Authority:

Public Health Law Sections 2164 and 2168

Description of the regulation:

On June 13, 2019, Governor Andrew Cuomo signed legislation

removing non-medical exemptions from school vaccinations for children. Therefore, in August 2019, Section 2164(10) of the Public Health Law (PHL), sections 66-1.1, 66-1.2, 66-1.3, 66-1.6, and 66-1.10 of Title 10 (Health) of the Official Compilation of Codes, Rules and Regulations of the State of New York were amended via emergency regulation changes, to be compatible with the new legislation. At the same time, a notice of proposed rulemaking was submitted for public comment.

Amendment of Section 80.138 of Title 10

(Opioid Overdose Programs)

Statutory Authority:

Public Health Law Section 3309

Description of the regulation:

The Commissioner is authorized to establish standards for approval of any opioid overdose prevention program, and opioid antagonist prescribing, dispensing, distribution, possession and administration pursuant to this section which may include, but not be limited to, standards for program directors, appropriate clinical oversight, training, record keeping and reporting.

The standards, since the inception of New York State's opioid overdose prevention initiative in 2006, have been codified in 10 NYCRR 80.138. These standards, with minor proposed amendments to the regulation, must remain to ensure the orderly continuance of the state's opioid overdose prevention initiative. Modifications will be proposed to conform to updated program standards.

Addition of Section 86-1.45 to Title 10

Inpatient Rate for Language Assistance Services

Statutory Authority:

Public Health Law Section 2807-c(35)

Description of the regulation:

Reimbursement for language assistance services in the hospital inpatient setting. The regulation should continue without modification.

Amendment of Subpart 86-10 of Title 10

Rate Rationalization for Community Residences (CRs) / Individualized Residential Alternatives (IRAs) Habilitation and Day Habilitation

Statutory Authority:

Public Health Law Section 201

Description of the regulation:

Rate rationalization reformed the operating component of the rate by introducing methodological rigor into what was previously a negotiated rate. Further, these regulations consolidate the rate-setting functions of Medicaid services previously exercised by the Office for People with Developmental Disabilities (OPWDD) within the Department of Health.

OPWDD was responsible for the reimbursement of the capitol cost component of Residential and Day Habilitation providers and the Department of Health is responsible for reimbursement of the operating cost component. This arrangement has been ratified by the Centers for Medicare and Medicaid Services (CMS), along with the changes to reimbursement for Residential and Day Habilitation services reflected by this regulation.

The regulation should not continue without modification.

Amend regulation to add the following:

- Direct Care Support Professional and Clinical 2% compensation increases

- Cap reimbursement of Agency Administration at 15 percent

- Offset other income surpluses against allowable Medicaid costs.

Amendment of Subpart 86-11 of Title 10

Rate Rationalization for Intermediate Care Facilities for Persons with Developmental Disabilities (ICF/DDs)

Statutory Authority:

Social Services Law Section 201

Description of the regulation:

Rate rationalization reformed the operating component of the rate

by introducing methodological rigor into what was previously a negotiated rate. Further, these regulations consolidate the rate-setting functions of Medicaid services previously exercised by the Office for People with Developmental Disabilities (OPWDD) within the Department of Health.

OPWDD was responsible for the reimbursement of the capitol cost component of ICF/DD services and the Department of Health is responsible for reimbursement of the operating cost component. This arrangement has been ratified by the Centers for Medicare and Medicaid Services (CMS), along with the changes to reimbursement for ICF/DD services reflected by this regulation.

The regulation should not continue without modification.

Amend regulation to add the following:

- Direct Care Support Professional and Clinical 2% compensation increases

- Cap reimbursement of Agency Administration at 15 percent Addition of Subpart 86-12 to Title 10

(Outpatient Services Licensed Under the Mental Hygiene Law)

Statutory Authority:

Sections 26 and 111(a) of part H of chapter 59 of the laws of 2011

Description of the regulation:

Utilization limits applied to Office for People with Developmental Disabilities licensed clinics. The regulation should continue without modification.

Amendment of Part 94 of Title 10

(Physician Assistants and Specialist Assistants)

Statutory Authority:

Public Health Law Sections 3308, 3701 and 3703

Description of the regulation:

Part 94 of Title 10 sets forth the supervision and scope of duties of a licensed physician assistant or a registered specialist assistant performing medical services only under the supervision of a physician. This includes the number of assistants that can be supervised by a physician, the prescribing authority of an assistant, and the types of specialist assistants. The regulation should continue without modification.

Amendment of Sections 98-1.2 & 98-1.11 of Title 10

(Managed Care Organizations)

Statutory Authority:

Public Health Law Sections 2801, 2801-a and 2803(2)

Description of the regulation:

Section 98-1.2 includes a definition for the HARP line of business. Section 98.11(e) (1) ii maintains the contingent reserve percentage at 7.25% for the Medicaid Managed Care, HARP and HIV SNP Programs. The regulation should continue without modification.

Amendment of Section 98-1.16(c) and Addition of Subpart 98-3 to Title 10

(Audited Financial Statements for Managed Care Organizations)

Statutory Authority:

Public Health Law Sections 4403(2) and 4403(f)(7)

Description of the regulation:

The regulation extends audit and reporting standards to all managed care organizations (MCOs) certified under Article 44 of the Public Health Law. The regulation applies to MCOs (Prepaid Health Services Plans, HIV Special Needs Plans and Managed Long Term Care Plans) (PHSPs, HIV SNPs and MLTCPs) that were not included under the Department of Financial Services Regulation 118. This ensures that all MCOs authorized to operate under Article 44 must adhere to the same financial reporting requirements and standards in the filing of audited financial statements. The regulation is closely patterned upon 11 NYCRR 89 (Regulation 118) adopted by the Department of Financial Services and the National Association of Insurance Commissioners model audit rule ("NAIC model") that reflects a consensus of the insurance regulators of all states and territories of the United States as to scope, detail, needs and benefits. The regulation should continue without modification.

Addition of Section 400.25 to Title 10

(Disclosure of Quality and Surveillance Related Information)

Statutory Authority:

Public Health Law Sections 2803 and 2805-t

Description of the regulation:

The Nursing Care Quality Protection Act (Chapter 422 of the Laws of 2009), added PHL Section 2805-t which requires Article 28 facilities to disclose identified nursing quality indicator information upon request to any member of the public, and to the Commissioner of any State agency responsible for licensing the facility or responsible for overseeing the delivery of services by the facility, or any organization accrediting the facility. PHL Section 2805-t authorizes the Commissioner to promulgate regulations regarding disclosure of nursing quality indicators to such requesters. This regulation establishes standards for the collection and disclosure of data regarding nursing staffing levels and nursing-sensitive patient outcome indicators. The regulation should continue without modification.

Addition of Part 404 to Title 10

(Integrated Outpatient Services)

Statutory Authority:

Public Health Law Section 2803

Description of the regulation:

The regulation relates to standards applicable to programs licensed or certified by the Department of Health, Office of Mental Health or Office of Alcoholism and Substance Abuse Services which desire to add to services provided under the licensure or certification of one or both agencies. The regulation should not continue without modification. In response to the Regulatory Modernization Initiative and to and to make permanent the DSRIP Project 3.a.i. Licensure Threshold, these regulations will be amended by DOH, OMH, and OASAS to facilitate the integration of health care services by any provider licensed by one of those agencies.

Amendment of Part 405 of Title 10

(Hospital Observation Services)

Statutory Authority:

Public Health Law Sections 2803, 2805-v & 2805-w

Description of the regulation:

Legislation passed in 2013 added new Sections 2805-v and 2805-w of the Public Health Law. This legislation established new requirements for hospital observation services. Since these requirements differed from those in the existing regulations, amendments were made to bring the regulations into conformance with the provisions of PHL. The regulation should continue without modification.

Amendments of Section 415.3(h) of Title 10

Nursing Home Transfer and Discharge Rights

Statutory Authority:

Public Health Law Sections 2801, 2801-a and 2803(2)

Description of the regulation:

Resident rights as it relates to transfer and discharge from nursing home facility. The regulation should continue without modification.

The Division is currently reviewing all of Part 415 of Title 10 and intends to make appropriate updates.

Amendment of Sections 600.3 and 710.5 of Title 10

(Amendment of Certificate of Need (CON) Applications)

Statutory Authority:

Public Health Law Sections 2801-a(1) and 2802(1)

Description of the regulation:

The regulation clarified language relating to changes to Certificate of Need applications prior to and after Public Health and Health Planning Council (PHHPC) approval and set forth conditions under which such changes would be referred back to PHHPC for reevaluation and recommendations. The regulation should continue without modification.

Amendment of Section 710.1 of Title 10

(Certificate of Need Requirements)

Statutory Authority:

Public Health Law Section 2802

Description of the regulation:

The regulation removed CON review requirements for repair and maintenance projects and equipment replacement projects costing more than \$6 million. The regulation also removed the requirement that non-clinical infrastructure projects exceeding \$15 million be subject to administrative review. In lieu of the submission of administrative or full review CON applications, the amended rule required the submission of only a written notice and, where applicable, specified certifications and a plan for patient safety during project construction.

The regulation was amended again effective 9/6/17 to eliminate the requirement that notice be provided for non-clinical infrastructure projects that do not exceed \$6 million and to apply the notice requirement to non-clinical infrastructure projects costing over \$6 million. The regulation should continue without modification.

Amendment of Part 757 of Title 10

(Chronic Renal Dialysis Services)

Statutory Authority:

Public Health Law Section 2803

Description of the regulation:

Part 757 of Title 10 of the New York Codes Rules and Regulations (NYCRR) outlines the requirements for services provided in New York State chronic renal dialysis centers. These centers must comply with the regulations contained in Title 42 of the Code of Federal Regulations (CFR). Amendments to 42 CFR established new conditions for coverage that chronic renal dialysis centers must meet to be approved by the Centers for Medicare and Medicaid Services. It establishes performance expectations for centers and encourages patients to participate in their plan of care and treatment. It also reflects advances in dialysis technology and standard care practices. This regulation was updated in 2015 to be in compliance with the revised federal requirements. The regulation should continue without modification.

Amendment of Part 800 of Title 10

(Emergency Medical Services)

Statutory Authority:

Public Health Law Section 3002

Description of the regulation:

This regulation provides descriptions of all terms used in regulations, outlines the requirements and process in order to become a certified EMS provider in New York State. Further, this regulation outlines the requirements to participate in the NYS Continuing Medical Education recertification program, provides the guidelines that regulate the conduct of EMS providers related to pre-hospital care and provides the guidelines on disciplinary action of EMS providers and agencies.

The regulations will be amended to match current medical practice, educational standards and EMS operations.

Addition of Part 1004 and Amendment of Subpart 55-2 of Title 10

(Medical Use of Marihuana)

Statutory Authority:

Public Health Law Section 3369-a

Description of the regulation:

These regulations comprehensively govern the medical marijuana program pursuant to Public Health Law §§ 3360-3369 and set the rules for patients to participate in the program, as well as for practitioners to certify them and for Registered Organizations to manufacture and distribute medical marijuana products in New York State.

Subpart 55-2 describes certification requirements for environmental laboratories that test samples that originate from New York State. A new section, Section 55-2.15, was added which describes requirements for testing for medical marihuana.

The regulations should be amended to improve patient access to the medical marijuana program, reduce the costs of medical marijuana products, clarify requirements for research on medical marijuana products, and promote social equity within the medical marijuana industry.

Section 55-2.15 was recently amended, effective 08/21/2019, and future amendments may be required with changes in industry standards.

Title 18 NYCRR - Five Year Review

Amendment of Section 505.2(l) of Title 18

(Transgender Related Care and Services)

Statutory Authority:

Public Health Law Sections 201 and 206 & Social Services Law Sections 363-a and 365-a(2)

Description of the regulation:

Authorizes the provision of transition-related care and services for Medicaid eligible persons diagnosed with gender dysphoria. The regulation should continue without modification.

Amendment of Sections 505.14 and 505.28 of Title 18

Personal Care Services Program (PCSP) and Consumer Directed Personal Assistance Program (CDPAP)

Statutory Authority:

Social Services Law Sections 363-a(2), 365-a(2)(e) & 365-f and Public Health Law Section 201(1)(v)

Description of the regulation:

Sets forth the requirements for Medicaid payment for home health services provided by personal care agencies.

This regulation is under review for amendment.

Title 10 NYCRR - Ten Year Review

Amendment of Subpart 6-2 of Title 10

(Ocean Surf Bathing Beaches and Automated External Defibrillators (AEDs))

Statutory Authority:

Public Health Law Section 225

Description of the regulation:

The regulation requires automated external defibrillation (AED) equipment and at least one lifeguard trained in the use of an AED at regulated surf beaches during all hours of operation. The regulation further requires all ocean surf beaches operated by a homeowners association to have qualified surf lifeguards on duty, and to comply with Subpart 6-2 of the State Sanitary Code. The regulation should continue without modification.

Addition of Section 23.5 to Part 23 of Title 10

(Expedited Partner Therapy to Treat Chlamydia Trachomatis)

Statutory Authority:

Public Health Law Section 2312

Description of the regulation:

The regulation permits health care providers to provide Chlamydia trachomatis patients with antibiotics or a written prescription for antibiotics to deliver to his or her sexual partner(s) without prior clinical assessment of those partners. The regulation furthers an important goal to reduce the incidence of Chlamydia re-infection and augments provider options for managing the care of Chlamydia patients. The regulation is under review for amendment to conform to chapter 298 of the Laws of 2019.

Amendment of Part 40 of Title 10

(State Aid for Public Health Services: Counties and Cities)

Statutory Authority:

Public Health Law Section 602(3)(a)

Description of the regulation:

10 NYCRR Part 40 establishes regulations regarding State Aid to local health departments for general public health work. Subpart 40-1 establishes the administrative aspects of the State Aid program.

In 2010, certain Subpart 40-1 regulations relating to State Aid eligibility were amended. Effective December 31, 2014, Subpart 40-1 was repealed and a new Subpart 40-1 was issued. The new Subpart 40-1 clarifies, simplifies and modernizes certain regulations related to the administrative aspects of the State Aid program.

Part 42 establishes regulations for State Aid for public health

laboratories. Part 42 was also amended in 2010 to eliminate State Aid for laboratory services that do not support public health programs. The Part 42 regulations should continue without modification.

Amendment of Sections 40-1 & 40-3 of Title 10

(State Aid for Public Health Services: Counties and Cities - Reimbursement to Municipalities per PHL Article 6 for Home Health Services)

Statutory Authority:

Public Health Law Section 602(3)(a)

Description of the regulation:

10 NYCRR Part 40 establishes regulations regarding State Aid to local health departments for general public health work. Subpart 40-1 establishes the administrative aspects of the State Aid program. In 2010, certain regulations relating to State Aid for home health services provided by the local health department were amended.

Effective December 31, 2014, Subpart 40-1 was repealed and a new Subpart 40-1 was issued. The new Subpart 40-1 clarifies, simplifies and modernizes the regulations related to the administrative aspects of the State Aid program, including those for home health services provided by the local health departments.

Subpart 40-3, related to optional programs reimbursable for State Aid, was also repealed effective December 31, 2014. This regulation should continue without modification.

Amendment of Subpart 43-2 of Title 10

(HIV Uninsured Care Programs)

Statutory Authority:

Public Health Law Sections 2776(1)(e), 201(1)(h) & (p) & 206(3)

Description of the regulation:

The regulation supports access to medications, primary care and insurance premium assistance for uninsured and underinsured New Yorkers. Additional amendments to the regulation were promulgated in April 24, 2019. The regulation should continue without modification.

Addition of New Part 48 to Title 10

(Palliative Care Certified Medical Schools and Residency Programs)

Statutory Authority:

Public Health Law Sections 2807-n

Description of the regulation:

Section 48.10 establishes the criteria for New York Medical Schools and Residency programs to become certified. The regulation provides that in order to become NYS certified the school must be accredited by the Liaison Committee on Medical Education or the American Osteopathic Association.

Section 48.20 provides for the Commissioner or his/her designee to award designation upon receipt of an application from a NYS Medical School or residency program which meets the criteria in 48.10

The regulations should continue without modification.

Amendment of Subpart 55-2 of Title 10

(Environmental Testing for Critical Agents Using Autonomous Detection Systems (ADS))

Statutory Authority:

Public Health Law Section 502

Description of the regulation:

Subpart 55-2 describes certification requirements for environmental laboratories that test samples that originate in New York State. The amendment revised Sections 55-2.10 and 55-2.13, as well as added a new Section 55-2.14, established standards for the certification and operation of environmental laboratories that seek approval to engage in critical agent testing by means of new technologies, including polymerase chain reaction (PCR)-based methods and immune-based bioassays employed at a fixed-base facility, or by use of an autonomous detection system (ADS) deployed in the field. An ADS is, generally speaking, an automated, real-time, self-contained sampling and analytical system for detection of critical agents situated outside a fixed-base laboratory. This regulation should continue without modification.

Amendment of Section 60-1.13 of Title 10

(WIC Vendor Minimum Stocking Requirements)

Statutory Authority:

Public Health Law Section 2500

Description of the regulation:

10 NYCRR 60.1.13 sets forth the criteria that a retail vendor must meet in order to become an approved vendor for the New York State Women, Infant and Children's (WIC) supplemental food program.

The regulations, as they pertain to minimum stocking requirements, should continue without modification. However, the Department intends to propose amendments to other provisions of the existing regulation to conform to U.S. Department of Agriculture (USDA) program requirements regarding vendor authorization and management including vendor participant ratio, geographic proximity and transaction volume of nearby vendors.

Amendment of Subpart 69-4 of Title 10

(Early Intervention Program)

Statutory Authority:

Public Health Law Sections 2540 - 2559-b

Description of the regulation:

These regulations set forth State requirements, in conformance with federal requirements, for New York's Early Intervention Program for infants and toddlers ages birth to three years and their families. The regulations include definitions, child find to identify potentially eligible children, provider qualifications and standards, multidisciplinary evaluations, initial and ongoing eligibility criteria, individualized family service plans, service delivery options and standards, monitoring of providers, procedural safeguards, transition, content and retention of records, and computation of reimbursement rates for program services. These regulations must be revised to conform to revised federal regulations and amendments to state statute.

Amendment of Appendix 75-A of Part 75 of Title 10 - Wastewater Standard-Residential Onsite Systems

Statutory Authority:

Public Health Law Section 201(1)(l)

Description of the regulation:

The regulation sets forth design standards to be met in the construction of residential onsite wastewater treatment systems. These design standards provide for the safe, sanitary means of treating and dispersing wastewater. The Department intends to propose amendments to the regulations to delete reference to obsolete standards. This regulation should continue until the proposed amendments are adopted.

Amendment of Subpart 86-8 of Title 10

(Ambulatory Patient Groups (APGs) Methodology)

Statutory Authority:

Public Health Law Section 2807(2-a)

Description of the regulation:

Modifies existing APG transition provisions for new providers and the listing of APG reimbursable and non-reimbursable services. The regulation is under review for amendment.

Amendment of Subpart 86-8 of Title 10

(Ambulatory Patient Groups (APGs) Outpatient Rate Setting Methodology)

Statutory Authority:

Public Health Law Section 2807(2-a)(e)

Description of the regulation:

To refine APG payment methodology regarding new APG weights, new procedure-based weights & minor changes in APG payment rules. The regulation is under review for amendment.

Amendment of Parts 405, 410, 420, 600, 703, 705, 709 and 710 of Title 10

(Revisions to Certificate of Need (CON) Process for Threshold Levels)

Statutory Authority:

Public Health Law Sections 2802 and 2803(2)(a)

Description of the regulation:

The regulations set forth the dollar cost thresholds that determine the various levels of CON review—limited, administrative or full review—for construction projects by health care facilities subject to Article 28 of the Public Health Law. The regulations should continue as modified in 2017 to raise dollar cost thresholds for general hospital projects.

Amendment of Sections 405.3, 405.9, 405.10, 415.26, 751.6, 763.13, 766.11, and 793.5 of Title 10

(Personnel Health Amendments and Medicare Conditions of Participation)

Statutory Authority:

Public Health Law Sections 2800, 2803, 3612 and 4010

Description of the regulation:

The regulations were amended to permit the use of the FDA-approved blood assays for the detection of latent TB infection, as an alternative to the skin test as a condition of employment or affiliation in general hospitals, diagnostic and treatment centers, nursing homes, certified home health agencies, long term home health care programs or AIDS home care programs, licensed home care service agencies, and hospices. In addition, the amendments were made to update the regulations to be consistent with federal requirements (Medicare Conditions of Participation) regarding the timeframe for completion of the hospital admission history and physical examinations, and for authentication of verbal orders and persons who may authenticate verbal orders in hospitals. The regulations should continue without modification.

Amendment of Sections 405.6, 405.7, 405.19, 708.5 of Title 10
(Hospital Minimum Standards and Appropriateness Review)

Statutory Authority:

Public Health Law Section 2803

Description of the regulation:

The regulations were amended to allow hospitals a five year “look back” period of a person’s employment instead of ten years when granting privileges to physicians, podiatrists and dentists. The existing regulation concerning patient’s rights prohibited hospitals from discriminating against patients on the basis of race, color, religion, sex, national origin, disability, sexual orientation, or source of payment. This amendment added a prohibition against discrimination based on age. In addition, hospital emergency department requirements were amended to allow hospitals with less than 15,000 emergency department visits a year to staff their emergency departments with a supervising or attending physician who is not present, but is available within 30 minutes, instead of the previous requirement of 20 minutes, provided that a nurse practitioner or physician assistant is on site. The regulations should continue without modification.

Amendment of Section 405.12 of Title 10

(Circulating Nursing Required)

Statutory Authority:

Public Health Law Sections 2800, 2803(2) and 2805-s

Description of the regulation:

The regulation was amended to implement Chapter 158 of the Laws of 2008. This chapter law requires general hospitals to employ a registered nurse, qualified by training and experience, to be present as a circulating nurse, in any and each separate operating room where surgery is performed for the duration of the operative procedure. The regulation should continue without modification.

Amendment of Section 709.3 of Part 709 of Title 10

(Residential Health Care Facility (RHCF) Bed Need Methodology)

Statutory Authority:

Public Health Law Section 2803(2)

Description of the regulation:

The regulation lists the factors and formulas used in the calculation of the public need for residential health care facility beds as reviewed in the Certificate of Need (CON) process under Article 28 of the Public Health Law. The regulation should be amended to project bed need out to 2025.

Amendment of Parts 711, 712, 713, 714, 715 & 716 of Title 10
(Standards of Construction for Health Care Facilities)

Statutory Authority:

Public Health Law Section 2803(2)

Description of the regulation:

These regulations establish architectural, engineering and construction standards for hospitals, nursing homes, diagnostic and treatment centers and other facilities subject to Article 28 of the Public Health Law. The regulation should be amended to require that future health care facility construction projects conform to the 2014 edition of Guidelines for Design and Construction of Health Care Facilities.

Amendment of Section 755.6 of Part 755 of Title 10

(Post Anesthesia Evaluations at Freestanding and Hospital Off-Site Ambulatory Surgery Centers (ASCs))

Statutory Authority:

Public Health Law Section 2803

Description of the regulation:

This amendment was made to conform the regulation with a federal regulatory change (42 CFR 416.42), which specifies that in the ambulatory surgery center (ASC) setting the post anesthesia assessment must be completed and documented by a physician, anesthetist, or certified registered nurse anesthetist (CRNA). Previously, the regulation only authorized a physician to evaluate each patient for proper anesthesia recovery in ASCs. The regulation now permits CRNAs and dentists (the federal definition of physicians includes dentists) to conduct the post-anesthesia evaluation. The regulation should continue without modification.

Title 18 NYCRR - Ten Year Review

Amendment of Section 505.23 of Title 18

(Certified Home Health Agency Program)

Statutory Authority:

Social Services Law Sections 363-a(2), SSL 365-a(2)(d)

Description of the regulation:

Sets forth the requirements for Medicaid payment for home health services provided by a certified home health agency. The regulation should continue without modification.

Title 10 NYCRR - Fifteen Year Review

Amendment of Section 2.1(a) of Title 10 (Communicable Diseases-Addition of Laboratory Confirmed Influenza)

Statutory Authority:

Public Health Law (PHL) §§ 225(4) and (5)(a), (g) and (h)

Description of the regulation:

This amendment to the regulation added laboratory confirmed influenza to the NYS list of reportable communicable diseases. This initiative protected the public health by permitting closer monitoring of communicable diseases. This addition was the basis for the Department’s enhanced monitoring of influenza and has been instrumental in the prompt identification and surveillance of unusual strains of influenza circulating in NYS such as the novel A influenza H1N1 virus. Requiring laboratories to electronically submit confirmed influenza laboratory data via the NYSDOH electronic clinical laboratory reporting system (ECLRS) permitted adequate disease monitoring without unnecessarily burdening the disease reporting system. During the 2008-2009 influenza season there were 30,144 laboratory reports of confirmed influenza received via ECLRS which has more than doubled the number of cases previously reported. This data allowed the department to characterize the outbreak, watch for changes in transmission, monitor for antiviral resistance, determine geographic and temporal changes and mount an appropriate public health response. For these reasons, amending the list of reportable communicable diseases to add laboratory confirmed influenza, should be retained. The Department intends to further amend the list of reportable diseases set forth in the regulation in the future.

Revisions to Subparts 5-1, 5-2, Repeal existing Appendix 5-B and add a new Appendix 5-B, and addition of a new Appendix 5-D to Part 5 of Title 10 (Water Well Construction)

Statutory Authority:

PHL §§ 201, 206(18), 225 and 1120

Description of the regulation:

Section 206 of Public Health Law was amended in 1999 to require the Department to promulgate standards for water wells, including drilling, construction, abandonment, repair, maintenance, water flow and pumps. Extensive outreach to water well drillers, other interested parties and also to other states with long-standing water well programs was conducted to assure that all directives of the law were implemented. Appendix 5-B was promulgated, containing standards for all water supply wells, including both residential and public water supply wells. Appendix 5-D was promulgated to include supplementary and complementary requirements for public water supply wells. Subparts 5-1 and 5-2 were revised to accommodate 5-B and 5-D as reference standards. These regulations should continue without modification.

Amendment of Section 5-1.52 and 5-1.91 of Subpart 5-1 of Title 10 (Treatment, Monitoring and Reporting for Radionuclides)

Statutory Authority:

PHL § 225

Description of the regulation:

Sections 5-1.52 and 5-1.91 of Subpart 5-1 were amended to incorporate and reflect federal regulations promulgated by the U.S. Environmental Protection Agency. New maximum containment levels, monitoring frequencies, notification and compliance requirements for various radionuclide contaminants were established, as were provisions for variances from specified treatment techniques. The U.S. Environmental Protection Agency has further revised federal regulations. For the Department to obtain primacy for the implementation and enforcement of federal drinking water regulations, these regulations should be amended.

Amendment of Sections 69-1.1, 69-1.2 and 69-1.3 of Subpart 69-1 of Title 10 (Newborn Screening Panel)

Statutory Authority:

PHL § 2500-a

Description of the regulation:

Subpart 69-1 designates diseases or conditions which must be included in the state's newborn screening panel and enumerates the responsibilities of the hospital CEO with regard to such screening, in accordance with the Department's mandate to prevent infant and child mortality, morbidity and diseases and disorders of childhood. The rule implemented the public health aims of early identification and timely medical intervention for all the State's youngest citizens. The Department's Newborn Screening Program continues to perform testing on newborns and continually updates the panel of tests that are performed.

The regulation should continue with modification. Subpart 69-1 was recently amended, effective on 2/13/19, that reflect recent recommendations by the Department of Health and Human Services Advisory Committee on Heritable Disorders in Newborns and Children related to improving timeliness in newborn screening programs. Section 69-1.2 was amended such that the diseases to be screened will no longer be listed and will instead be listed on the Department's web page.

Addition of new Subpart 69-9 to Title 10 (Standardized Autopsy Protocols for Unanticipated Infant Deaths)

Statutory Authority:

PHL § 4210, as amended by Chapter 58 of the Laws of 2002

Description of the regulation:

The regulation was established to provide standardized autopsy protocols. The Infant Autopsy Protocol is intended to:

- Ensure comprehensive postmortem examinations of infants who die suddenly and unexpectedly.
- Provide findings to correlate with the decedent's medical history.
- Provide findings to correlate with the death scene investigation.
- Develop documentation that justifies the autopsy diagnoses.
- Establish accurate causes of death.
- Develop accurate vital statistics, information and records.

- Assist in prioritizing the allocation of health care resources.
- Fulfill criteria to make a diagnosis of Sudden Infant Death Syndrome (SIDS)

- Allow comparison of SIDS and sudden, unexpected death cases in different locales.

The regulation should continue without modification.

Amendment of 86-1.89 of Part 86 of Title 10 (Supplemental Distributions of Regional Professional Education Pools)

Statutory Authority:

PHL § 2807-m(5)

Description of the regulation:

This regulation defined "reform goals" for the Supplemental Distribution of Regional Education Pools and specified the method of distributing funds to the pools. This rule was repealed in 2011 as part of the 2009/2010 Executive Budget implementation.

Addition of Subpart 86-8 of Part 86 of Title 10 (Rates of Payment for Limited Home Care Agencies)

Statutory Authority:

Laws of 1995, Chapter 81, section 105-d as amended by Laws of 1997, Chapter 433, section 69

Description of the regulation:

The regulation establishes a rate of payment for limited home care services agencies to reduce Medicaid expenditures for certain personal care services furnished to eligible residents of an adult home or enriched housing program. It provides reimbursement directly to the limited home care services agency rather than an outside personal care provider or certified home health agency. The regulation should continue without modification.

Amendment of Subpart 98-1 of Title 10 (Managed Care Organizations)

Statutory Authority:

PHL Article 44

Description of the regulation:

Article 44 was amended by Chapter 649 and 705 of the Laws of 1996, Chapter 433 of the Laws of 1997 and Chapter 659 of the Laws of 1997 in relation to Medicaid managed care, managed care consumer rights and managed long term care programs. The amendments changed the title and clarified the department's authority over specified forms of managed care organizations, including primary care partial capitation providers, HIV special needs plans and managed long term care plans. The regulations removed obsolete provisions and provided clearer guidance to the health care industry concerning certification and operational requirements for managed care organizations. This regulation should continue without modification because it is necessary for the operation of managed care programs in NYS.

Amendment of Sections 128-1.6 and 128-3.8 of Title 10 (New York City Watershed Rules and Regulations)

Statutory Authority:

PHL §§ 1100-1103

Description of the regulation:

The Department adopted amendments to NYC's Watershed Rules and Regulations at New York City's request for the purpose of protecting the water quality of NYC reservoir sources. These amendments were also necessary for NYC to maintain the "filtration avoidance" issued by U.S. Environmental Protection Administration and NYSDOH for the City's Catskill/Delaware sources. Due to recent federal and state regulatory changes and in order to implement new "filtration avoidance" mandates, these regulations should be amended. The Department plans to propose amendments to this regulation that will continue to protect NYC's watersheds and preserve NYC's Filtration Avoidance Determination (FAD). This regulation should continue until the proposed amendments are adopted.

Amendment of Section 131.1 of Title 10 (City of Syracuse-Watershed Rules and Regulations)

Statutory Authority:

PHL § 1100

Description of the regulation:

The Department adopted amendments to the City of Syracuse's Watershed Rules and Regulations at Syracuse's request for the purpose of protecting the water quality of Syracuse's Skaneateles Lake source. These amendments were also necessary for the City of Syracuse to maintain "filtration avoidance," previously issued by the Department for this source. These regulations should continue without modification.

Addition of new Section 400.10 to Part 400; Addition of new subdivision (f) to 763.11, new subdivision (o) to 766.9 and new subdivision (n) to 793.1 of Title 10 (Health Provider Network (HPN) Access and Reporting Requirements)

Statutory Authority:

PHL §§ 2800, 2803, 3612 and 4010

Description of the regulation:

This regulation required Article 28 facilities, home care facilities and hospices to establish and maintain health commerce system (HCS) accounts with the Department of Health for the purpose of exchanging information with the Department in a rapid and efficient manner in times of emergency or urgent matters. The HCS is a secure web-based application that can be utilized by facilities to receive current and up-to-date information as well as submit data to specialized programs for reporting or surveillance purposes. In times of emergencies or urgent matters, such as disease outbreaks, it is imperative that facilities receive from and submit to the Department information in a rapid, efficient manner. The HCS, a free service, is the best means to ensure this exchange of information. This regulation should continue with the above noted technical modification to the System's correct name.

Amendment of Section 400.18, Appendix C-4 & C-5 of 400.18 and Section 405.27 (Emergency Department Data Collection by SPARCS)

Statutory Authority:

PHL § 2816

Description of the regulation:

Section 400.18 regulates the operation of the Statewide Planning and Research Cooperative System (SPARCS). The Department intends to repeal the current Section 400.18 and a new Section 400.18 will be promulgated. The reasons for the complete revision are to delete obsolete language and to update the regulation. The new Section 400.18 will authorize SPARCS to collect additional outpatient data not currently being collected by SPARCS from general hospitals and diagnostic and treatment centers licensed under Article 28 of the Public Health Law. This regulation should continue until it is amended.

Amendment of Sections 405.21, 407.14, 708.2, 708.5, 711.4 and Addition of new Part 721 of Title 10 (Perinatal Regionalization)

Statutory Authority:

PHL §§ 2500, 2800, 2803(2) and 2803-j

Description of the regulation:

These regulatory changes updated previous requirements for maternal and newborn care, and formalized perinatal regionalization and designation requirements. The new Part 721 was added to collect in one section all the regulations governing the perinatal regionalization system, which had been divided among several sections of the New York State Hospital Code. The regulatory changes also described the kinds of resources that should be available for different levels of hospitals, and deleted outdated appropriateness-review standards used in the 1985 designation of hospitals at different levels of high-risk neonatal care.

These regulations govern the perinatal regionalization system, in which Regional Perinatal Centers (RPCs) coordinate the perinatal delivery system within their region; provide critical care and transport of pregnant women and infants; provide specialty care, including pediatric open heart surgery; and oversight of quality improvement activities within affiliate hospitals. Perinatal regionalization plays a critical role in reducing maternal and newborn morbidity and mortality.

Section 405.21 for hospital-based perinatal services was amended to support perinatal regionalization efforts, and to clarify and simplify some other existing regulatory requirements.

Sections 407.14, 711.4(d)(21) and (e)(10) were amended to reflect the change in terminology in section 405.21 in which hospital-based "maternity and newborn" services began to be referred to as "perinatal" services.

Section 708.2(b)(6) and Section 708.5(f) were repealed since new Part 721 integrated the requirements for perinatal re-designation and regionalization in one section.

Part 721 defines the perinatal regionalization system including requirements for affiliation agreements between Levels I, II and III hospitals and regional perinatal centers (RPCs), staffing requirements and quality improvement activities. The regulations formalize the designation process, update the Department of Health expectations for resources to be available at each level of care, and clarify the relationship between Levels I, II, and III programs and RPCs.

Amendments to these regulations have been proposed. In particular:

405.21 Perinatal Services - Perinatal hospital standards to be reviewed and updated to be consistent with national authorities based on a literature review and input from an expert workgroup of clinicians and key stakeholders. The regulations will address the professional qualifications of the obstetric and pediatric staff, the requirements for consultation with a qualified specialist when required by specific medical conditions, protocols and resources available to stabilize and assess newborns for their need of neonatal intensive care, and the daily care of maternity patients and infants in the perinatal service.

721.4 Statewide Perinatal Regionalization System - Perinatal hospital standards to be reviewed and updated to be consistent with national authorities based on a literature review and input from an expert workgroup of clinicians and key stakeholders. The regulations will provide definitions and requirements for level of care designations as well as patient care and patient transfers, qualifications and responsibilities of staff and ancillary personnel, quality improvement activities, and affiliation and transfer agreements.

Amendment of Sections 703.6 and 710.1 of Title 10 (Part-Time Clinics)

Statutory Authority:

PHL § 2803(2)

Description of the regulation:

Since its issuance in 2005, the current regulation has proven adequate to help ensure that services provided in part-time clinics are appropriate to those settings, and that the existing number of part-time clinics is sufficient to promote access to needed care. The regulation has also guarded against the operation of an excess number of part-time clinics, which occurred in some parts of the State prior to the amendment of the rule. The regulations should continue without modification.

Amendment of Sections 708.2, 708.5 and 709.16 of Title 10 (Review Criteria for Therapeutic Radiology)

Statutory Authority:

PHL § 2803(2)

Description of the regulation:

The regulations establish a methodology to be used to evaluate public need for therapeutic radiology devices as affected by prevailing medical practice in the use of these devices for curative and palliative care.

The Department intends to repeal this regulation as technological advances in the last 15 years have made it no longer necessary.

Amendment of Sections 709.16 and 709.17 of Title 10 (Need Methodology for Long-Term Ventilator Beds in Nursing Homes)

Statutory Authority:

PHL § 2803(2)

Description of the regulation:

The current regulation provides a methodology to be used in the evaluation of certificate of need applications for certification of long term ventilator beds. Since its issuance in 2005, the regulation has ensured that long-term ventilator beds are distributed throughout the State in a manner that both provided sufficient access to care and

guarded against the costs associated with the operation and maintenance of beds in excess of those needed.

The regulation should continue with modification. The Department intends to amend this regulation in keeping with medical and technological advances that have occurred over the last 15 years.

Amendment of Section 763.13, Section 766.11 and addition of new Section 400.32 to Title 10 and amendment of Section 505.14 of Title 18 (Criminal History Record Check)

Statutory Authority:

PHL §§ 201, 2803 and 3612 and Social Services Law (SSL) § 363-a

Description of the regulation:

Section 400.23 related to the criminal history record check program and was repealed on December 19, 2007. It was replaced by Section 402 which implemented the statutory criminal history record check program defined in PHL Article 28-E. Sections 763.13, 766.11 of Title 10, and the amendment of Section 505.14 of Title 18 added a criminal background check requirement under Section 402. Although the CHRC program had been covered by emergency regulations since August 2006, permanent regulations became effective on December 2, 2009. The regulation should continue without modification.

Title 18 NYCRR - Fifteen Year Review

Amendment of 360-4.10(a)(9) of Title 18 (Spousal Impoverishment Budgeting)

Statutory Authority:

SSL § 366-c (2)(d)

Description of the regulation:

This regulation clarified that the community spouse's pension/retirement funds are resources of the community spouse which are to be included for purposes of determining the community spouse resource allowance and determining the institutionalized spouse's Medicaid eligibility. These funds are considered otherwise available to the community spouse under spousal impoverishment budgeting rules. This regulation should continue without modification.

Amendment of Section 486.2 and 486.5 of Part 486 of Title 18 (Adult Care Facility Inspection Reports)

Statutory Authority:

SSL §§ 460 and 461

Description of the regulation:

These amendments changed the requirement that an adult care facility inspection report include areas where the facility met or exceeded compliance with regulation and also steps for rectification of violations. The amendment provides that a report need only include a statement attesting that areas reviewed are deemed to be in compliance with applicable requirements if no violation is noted. The report may also include directions as may be appropriate as to the manner and time in which compliance with applicable requirements of law and regulation of the Department shall be effected. The regulations should continue without modification.

Addition of new subdivision (k) to Section 487.12, new subdivision (m) to Section 488.12 and new subdivision (k) to Section 490.12 of Title 18 (Health Provider Network (HPN) Access and Reporting Requirements – Adult Facilities)

Statutory Authority:

SSL §§ 460 and 461

Description of the regulation:

This regulation required adult homes, enriched housing programs and residences for adults to establish and maintain Health Commerce System (HCS) accounts with the Department of Health for the purpose of exchanging information with the Department in a rapid and efficient manner in times of emergency or urgent matters. The HCS is a secure web-based application that can be utilized by facilities to receive current and up-to-date information as well as submit data to specialized programs for reporting or surveillance purposes. In times of emergencies or urgent matters, such as disease outbreaks, it is imperative that facilities exchange information with the Department in a rapid, efficient manner. The HCS, a free service, is the best means to ensure this exchange of information. This regulation should continue

with the above noted technical modification to the system's correct name.

Amendment of Section 505.5 of Part 505 of Title 18 (Medicaid Enteral Nutrition Reimbursement Methodology)

Statutory Authority:

PHL § 230(1)(a)

Description of the regulation:

This methodology remains appropriate and consistent with the payment policy of other medical care insurers on this subject. This regulation should continue without modification.

Title 10 NYCRR – Twenty Year Review

Amendment of Parts 2 and 23 of Title 10 (Communicable Diseases)

Statutory Authority:

PHL §§ 225(4) and (5)(a), (g) and (h)

Description of the regulation:

This regulation protected the public health by permitting closer monitoring of communicable diseases. Diseases and infections of substantial public health importance were added to the list of communicable diseases that must be reported to public health authorities and/or require specimen submission for laboratory testing. These changes facilitated the diagnosis and treatment of disease and implementation of preventive measures to stop the spread of disease. In addition, the regulation eliminated from both the reporting list and the list of diseases requiring specimen submission diseases that were no longer of significance. In addition to rabies, clarification of reporting, prevention and control measures and treatment procedures were also made for emerging infections such as West Nile virus, and Severe Acute Respiratory Syndrome (SARS). The regulation was amended in 2005 to add confirmed influenza to the list of reportable communicable disease. These regulations should be retained without modification. The Department intends to amend the list of reportable communicable diseases in Part 2 in the future.

Amendment of Subparts 6-1 and 6-2 of Title 10 (Swimming Pools and Bathing Beaches)

Statutory Authority:

PHL §§ 225(4) and 225(5)

Description of the regulation:

Prior to the amendments, the regulation stated that temporary residence/campground bathing facilities were not required to provide lifeguards for their bathing facilities in 1991 or 1992 and may provide supervision through patron use rules and signage or a responsible person, depending on the level of supervision required at that time. The amendments allowed all temporary residence and campground operators, except those with ocean surf beaches, to select the level of supervision at swimming pools and bathing beaches operated as part of their temporary residence or campground, regardless of the supervision level provided in 1991 or 1992. The amendments provided a uniform standard allowing the same opportunity for selection of bathing facility supervision at all regulated temporary residences and campgrounds in the state, eliminating the differential standards that existed in the State. Also, the amendments clarified the intent, by specifying that parents, guardians, or similar adults must accompany children less than 16 years of age to a Supervision Level IV bathing facility. The regulation should continue without modification.

Amendment of Sections 12.2, 12.3, 12.13 and 23 of Title 10 (Regulation Affecting Nurse Practitioners, Licensed Nurses and Midwives)

Statutory Authority:

PHL § 225

Description of the regulation:

Amendments to these regulations were adopted to bring these provisions into conformance with amendments to Articles 139 (Nursing) and 140 of the Education Law (Midwife Practice Act). Article 140 of the Education Law, enacted in 1992, defined and established licensure and practice standards for the practice of midwifery. Those amendments rendered several provisions of the Department's regulations either obsolete or inconsistent with the new law. The regulations should continue without modification.

Repeal of Subpart 24-1 of Title 10 (AIDS Reporting)

Statutory Authority:

PHL §§ 225(4) and 225 (5)(a)

Description of the regulation:

This regulation deleted provisions to conform to Part 63 amendments requiring HIV and AIDS case reporting. The deletions continue to be necessary. The regulation should continue without modification.

Amendment of Parts 36, 58, 66, 69, 82, 85 and 766 of Title 10 (Nurse Midwives)

Statutory Authority:

PHL §§ 576, 2164, 2500-a, 2522(6) and 4175; SSL §§ 364(2) and 365-a

Description of the regulation:

Amendments to these regulations were adopted to bring these regulations into conformance with the amendments to Articles 139 (Nursing) and 140 of the Education Law (Midwife Practice Act). Article 140 of the Education Law, enacted in 1992 defined and established licensure and practice standards for the practice of midwifery. Those amendments rendered several provisions of the Department's regulations either obsolete or inconsistent with the new law. This regulation should continue without modification.

Amendment of Part 52 of Title 10 (Tissue Banks and Nontransplant Anatomic Banks)

Statutory Authority:

Article 43-B of the PHL

Description of the regulation:

This regulation details administrative and technical requirements pertaining to the collection, processing, storage, and distribution of tissue and nontransplant anatomic parts so as to protect the health of donors and recipients and advance the safety and utility of tissue and nontransplant anatomic parts for transplant, education, and research, as applicable.

The regulations should continue with modification. The regulation had not been amended since 2007 and amendments are proposed to re-organize the regulation to update categories of tissues and activities, their definitions and requirements to reflect advances in technology and changes in industry standards and medical practice; update requirements that need to be met for tissue bank directors; revise requirements for procurement of tissue from deceased donors, including setting restrictions on banks' ownership and business relationships with funeral directors and funeral firms, and limiting recovery of tissue to specific locations; revise requirements for reproductive tissue banking; clarify requirements for activities subject to FDA oversight; revise requirements for compensation of donors; clarify requirements for tissue-derived products; clarify language for license denial and add language for other enforcement procedures, including license revocation, to be consistent with public health law.

Amendment of Subpart 58-2 of Title 10 (Blood Banks)

Statutory Authority:

PHL Article 31

Description of the regulation:

Subpart 58-2 amendments provided technical standards for NYS-permitted blood banks that collect, process, store, distribute and/or transfuse blood and blood components, and laboratories that perform related testing. The Department's efforts to ensure the safety of the blood supply and prevent adverse reactions in donors and transfusion recipients must be maintained through continuation of Subpart 58-2.

The regulation should continue without modification. Amendments will be proposed to clarify requirements for reinfusion procedures; modify the requirements for the collection and handling of blood for subsequent transfusion; establish requirements for the issuance of blood, blood components and derivatives during routine and emergency situations; revise donor qualifications, collection and testing requirements for whole blood, apheresis and serial plasmapheresis; update record retention requirements to be consistent with the FDA and industry standards; amend requirements for standard operating procedures; amend the standards for transfusion and immunohematol-

ogy testing requirements; clarify personnel and supervisory requirements for serial plasmapheresis and apheresis collection of blood components; clarify requirements for transfusions that occur outside of a hospital setting and during interfacility transport; and revise criteria for exceptions to reflect industry standards.

Amendment of Part 63 of Title 10 (HIV/AIDS Testing, Reporting and Confidentiality of HIV Related Information)

Statutory Authority:

PHL §§ 2786 and 2139

Description of the regulation:

This regulation described the protocols and procedures required for HIV/AIDS testing, reporting and confidentiality of HIV related information. Revisions to specific sections of Part 63 are being proposed currently to implement revisions to PHL sections 2781 and 2135. The regulation should continue without modification.

Addition of Section 68.6 of Title 10 (Distributions from the Health Care Initiatives Pool for Poison Control Center Operations)

Statutory Authority:

PHL §§ 2500-d(7) and 2807-1(l)(c)(iv)

Description of the regulation:

This regulation described the methodology for distributing funds from the Health Care Initiatives Pool to regional poison control centers. The regulation should continue without modification.

Amendment of Section 80.132 of Title 10 (Hypodermic Syringes and Needles)

Statutory Authority:

PHL §§ 3308 and 3381

Description of the regulation:

This regulation designates persons or classes of persons who may obtain and possess hypodermic needles and syringes without a prescription for use within the scope of their professions or activities, subject to additional conditions as specified. The regulation implements Public Health Law section 3381(1)(b), which authorizes the Commissioner to designate such persons, and eliminates unnecessary barriers in the provision of care to patients and animals. This regulation should continue without modification. This regulation should continue without modification.

Amendment of Section 86-2.30 of Title 10 (PRI Instructions)

Statutory Authority:

PHL §§ 2803(2), 2807(3) and 2808

Description of the regulation:

This regulation modified the instructions for completing the PRI form to recognize certain medical treatments provided to persons newly admitted as nursing facility residents, and services provided by nurse practitioners and physician assistants.

This regulation should be repealed. The NYSDOH no longer uses from the Patient Review Instrument (RUGS-II) and has adopted the Minimum Data Set (MDS) and RUGS-III for measuring patient acuity, beginning with rates effective April 1, 2009.

Amendment of Sections 401.1 and 710.1 of Title 10 (CON Requirements for Acute Care Beds and Major Medical Equipment)

Statutory Authority:

PHL § 2803(2)

Description of the regulation:

This regulation addressed the removal of certificate of need review of transfers of beds and equipment within established Article 28 hospital networks. This regulation should continue without modification.

Amendment of Section 405.25 of Title 10 (Organ and Tissue Donation Anatomical Gifts)

Statutory Authority:

PHL §§ 2803 and 4351

Description of the regulation:

This regulation sets forth a hospital's responsibilities with regard to organ and tissue donation. Section 405.31 establishes the require-

ments for performing living donor transplants. Section 405.25 requires the hospital to establish appropriate protocols for contacting the proper organ procurement organizations (OPOs) when a patient is at or near death, and for selecting an OPO and eye and tissue banks, as well as a designated requester, with whom the hospital will work. Medicare Federal Conditions of Participation were considered when these regulations were developed, and the regulations reflect those conditions as well as the requirements of Article 43 of the Public Health Law. The Department intends to amend the regulations to conform to changes made to Article 43. These regulations should continue without modification while the amendments are being developed.

Amendment of Sections 600.3 and 710.5 of Title 10 (Requirements for Amendment of Approved CON Applications)

Statutory Authority:

PHL §§ 280-1-a(10)(a), 2808(2) and 2803(2)(a)

Description of the regulation:

This regulation simplified the certificate of need (CON) process related to the requirements for amendment of approved CON applications. Sections 600.3 and 710.5 have been further amended to reclassify additional changes which currently constitute “amendments” and thus require full review, so that they are instead considered to be “modifications” which are reviewed only by the Commissioner. The regulations should continue without modification.

Amendment of Section 710.1 of Title 10 (CON Requirements for Acquisition of Major Medical Equipment)

Statutory Authority:

PHL §§ 2808(2) and 2803(2)(a)

Description of the regulation:

This regulation amended CON requirements for acquisition of major medical equipment to simplify the purchase of additional equipment and replacement of such equipment by Article 28 facilities. This regulation should continue without modification.

Title 18 NYCRR - Twenty Year Review

Amendment of Section 360-3.2 of Title 18 (Finger Imaging for Medicaid Applicants/Recipients)

Statutory Authority:

Chapter 436 of the Laws of 1997

Description of the regulation:

This regulatory amendment made finger imaging an eligibility requirement for adults who apply for Medicaid and who are subject to the photo identification requirements established by the Department of Health. Chapter 58 of the Laws of 2009 eliminated the finger imaging requirement for Medicaid applicants/recipients. This amendment needs to be repealed.

Office of Temporary and Disability Assistance

Pursuant to the State Administrative Procedure Act (SAPA) § 207, the Office of Temporary and Disability Assistance (OTDA) must review at regular intervals those regulations that were adopted on or after January 1, 1997. The purpose of the review is to determine whether the regulations should be retained as written or modified. On January 30, 2019, OTDA published in the New York State Register a list of regulations from Title 18 of the New York Codes, Rules and Regulations (NYCRR) that OTDA adopted in 2016, 2014, 2009, 2004 and 1999. Those regulations are set forth below:

Rules adopted in 2016

A. TDA-03-16-00001 Referrals of Human Trafficking Victims from Established Providers of Social or Legal Services*

Amended 18 NYCRR 765.1 and 765.2 to clearly define the participant agencies that are statutorily authorized to participate in the referral process.

Analysis for the need for the rule: These amendments were needed to conform State regulations with Chapter 368 of the Laws of 2015.

Legal basis for the rule: Social Services Law (SSL) § 20(3)(d); L. 2015, ch. 368; L. 2011, ch.24; L. 2007, ch. 74; SSL Article 10-D

B. TDA-45-15-00012 Public Assistance (PA) Resources Exemption for Four-Year Accredited Post-Secondary Educational Institutions

Amended 18 NYCRR 352.23(b)(4) to exempt up to \$1,400 for funds in a separate bank account for the sole purpose of paying tuition at two-year or four-year accredited post-secondary educational institutions, so long as the funds are not used for any other purpose.

Analysis for the need for the rule: By allowing PA recipients to utilize the exempt resources amount for either a two-year or four-year accredited educational institution, the regulatory amendment offers PA recipients enhanced educational options to advance their workforce readiness and financial earning capabilities through the pursuit of higher education.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 131(1) and 131-n; L. 2014, ch. 58, part J, § 5

C. TDA-45-15-00011 Burden of Proof at Fair Hearings Challenging Interim Assistance Reimbursement (IAR) Amounts

Amended 18 NYCRR 358-5.9(a) to clarify the burden of proof for fair hearings concerning Interim Assistance reimbursement (IAR). The amendments provided that a social services district (district) must establish that its actions were correct at a fair hearing concerning the amount deducted from the initial payment of supplemental security income as reimbursement of PA.

Analysis for the need for the rule: The amendments rendered State regulations consistent with case precedents set by the New York State courts.

Legal basis for the rule: SSL §§ 20(3)(d), 22(8) and 95; L. 2012, ch. 41

D. TDA-47-15-00004 Child Support Program*

Amended 18 NYCRR §§ 346.2, 347.12, 347.17, 347.25, 352.15, 352.22, 352.31, and 369.1; repealed and added new §§ 347.2 and 347.13, and added § 300.13 to amend regulatory requirements concerning the distribution and disbursement of child support collections.

Analysis of the need for the rule: These amendments were required to comply with federal statutes and requirements.

Legal basis for the rule: SSL §§ 17(a)-(b), (i), 20(2)-(3), 34, 111-a, 111-c(2)(a), (d), 131-a(8)(a)(v), 158(5)-(6)(i), 348(2)-(3); Federal Social Security Act, §§ 408(a)(3), 457; 45 CFR §§ 302.32, 302.50-302.52, 303.72; Federal Deficit Reduction Act of 2005 (P.L. 109-171)

E. TDA-20-15-00001 Information Appropriate for Victims of Sexual Assault*

Added 18 NYCRR § 351.2(m) to require districts to make all applicants for and recipients of public assistance aware of their option to receive information appropriate for victims of sexual assault

Analysis of the need for the rule: The amendment increased outreach to victims of sexual assault and promoted access to essential services necessary for victims of sexual assault to overcome the physical, mental and emotional trauma associated from such abuse.

Legal basis for the rule: SSL §§ 17(a)-(b), (i), 20(2)-(3)(d), 34(3)(f) and 131(20); L. 2009, ch. 427

F. TDA-27-15-00002 Child Support Federal Incentive Payments*

Amended 18 NYCRR § 347.16 in order to establish the procedures by which the State distributes child support incentives received from the U.S. Department of Health and Human Services and allocate portions of those incentives to districts.

Analysis of the need for the rule: The amendment complied with changes to the federal incentive payment process under the Child Support Performance and Incentive Act (CSPIA).

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 111-a; 42 USC § 658a; 45 CFR, §§ 302.55, 303.52, 305.2, 305.31, 305.33

G. TDA-37-15-00005 Monthly Shelter Supplements*

Amended 18 NYCRR § 352.3(a)(3)(i) in order to update State regulations to reflect current State law by extending the authority to provide additional monthly shelter supplements to eligible public assistance applicants and recipients, including single adults and childless couples.

Analysis of the need for the rule: For homeless households that are moving from temporary housing to permanent housing, public assistance can be a stabilizing factor allowing households to begin working

or increase earnings as they receive assistance to help pay bills, purchase food and meet their monthly rent. When necessary, rent supplements are also a stabilizing factor to help pay for some of the rent until the households become self-sufficient.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 131(1); L. 2009, 2011-2015, Ch. 53; L. 2010, chs. 58, 110

H. TDA-39-15-00016 Temporary Housing Placements*

Amended 18 NYCRR §§ 352.8(b)(1) and 352.3(h) and added § 352.3(m) to adjust the rate approval process for temporary housing placements and expand the scope of inspections for such placements.

Analysis of the need for the rule: OTDA's review and approval of the room and board rates help ensure that rates for temporary housing negotiated between districts and temporary housing providers are fair and affordable, and that they include services necessary to assist vulnerable families and individuals in their transitions out of homelessness. The expansion of inspections promotes greater accountability by districts for the quality of the temporary housing that is utilized.

Legal basis for the rule: SSL §§ 20(2), (3)(d), 34 and, 131-v(4)

I. TDA-06-16-00016 Emergency Shelters for the Homeless*

Added 18 NYCRR § 352.37 to allow OTDA full authority to take immediate emergency action against facilities and districts that are not providing emergency shelter that comports with prescribed standards.

Analysis of the need for the rule: The regulation helps ensure that emergency shelters are maintained in safer, more sanitary conditions, and that the welfare of residents is better protected.

Legal basis for the rule: SSL §§ 17(a)-(b), (i), 20(2)-(3), 34, 460-c and 460-d; Executive Law § 43(1); General Municipal Law § 34; State Finance Law § 109(4); New York City Charter § 93; Buffalo City Charter, ch. C, art. 7, § 7-4

J. TDA-19-16-00007 SNAP

Amended 18 NYCRR § 387.9(a)(7)(ii)(a)-(b)(2)-(3); and added 18 NYCRR § 387.9(a)(7)(ii)(c) to provide that in the event one or more household members no longer reside with a household terminated for refusal to cooperate, the penalty for refusal to cooperate will attach to the household of the person(s) refusing to cooperate.

Analysis of the need for the rule: The amendments are necessary to bring the State regulations concerning household cooperation with quality control reviews into compliance with federal statutes and regulations.

Legal basis for the rule: 7 USC, ch. 51 (generally) and §§ 2011 and 2013; 7 CFR § 273.2(d); SSL §§ 17(a)-(b) and (j), 20(3)(d), 34(3)(f) and 95; L. 2012, ch. 41

K. TDA-21-16-00005 Income Withholding of Child or Combined Child and Spousal Support

Amended Part 344 and § 347.9 of 18 NYCRR in order to update State regulations related to income withholding of child support or combined child and spousal support for persons who are not served by Part D of Title IV of the federal Social Security Act and for persons who are in receipt of Title IV-D services, respectively.

Analysis of the need for the rule: The regulatory amendments were necessary to conform the State regulations to federally-mandated changes to Civil Practice Law and Rules (CPLR) §§ 5241 and 5242 and SSL § 111-b(14).

Legal basis for the rule: 42 USC §§ 651, 654b, 666(a)(8)(B)(iii) and (b)(6); CPLR §§ 5241 and 5242; SSL §§ 17(a)-(b), (j), 20(3)(d), 34(3)(f), 111-a and 111-b(14)

L. TDA-25-16-00002 Emergency Shelters*

Added 18 NYCRR 352.38 to address security measures and incident reporting in shelters for the homeless. The regulatory amendments required the operator of each emergency shelter to submit to OTDA and the district in which the emergency shelter is located an annual security plan for the emergency shelter. In addition, each district shall submit an annual plan to OTDA to help ensure that emergency shelters operating within the district are providing security and taking appropriate measures to protect the physical safety of emergency shelter residents and staff. Additionally, the regulatory amendments would clarify not only that reports of all serious incidents impacting upon the

safety and well-being of shelter residents or staff must be documented and timely submitted to OTDA, but also OTDA's authority to direct a district or emergency shelter operator to take additional security measures where an incident is reported.

Analysis of the need for the rule: The regulations help ensure that reasonable security measures are implemented at emergency shelters and that the safety of emergency shelter residents and staff is protected.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(2)-(3), 34, 460-c and 460-d

M. TDA-22-15-00005 SNAP*

Amended 18 NYCRR § 387.1, and added § 387.25 to update regulations for the Transitional Benefits Alternative (TBA) program, which provides additional federally funded SNAP benefits to certain households with children that are leaving cash assistance programs. These additional benefits help families meet their nutritional needs while making the transition from cash assistance to employment.

Analysis of the need for the rule: Both social services districts and recipients benefitted from having the requirements of the TBA program set forth in State regulations.

Legal basis for the rule: 7 USC § 2020(s); SSL § 20(3)(d) and 95

N. TDA-39-16-00010 Standard Utility Allowances for SNAP*

Amended 18 NYCRR § 387.12 to set forth the federally approved standard utility allowances as of October 1, 2016.

Analysis of the need for the rule: It is of great importance that the federally approved standard utility allowances for SNAP were applied to SNAP benefit calculations effective October 1, 2016. If post standard utility allowances were not updated on October 1, 2016, it could have resulted in thousands of SNAP dependent households receiving SNAP overpayments each month. Households receiving such overpayments could be subject to an extended period of SNAP recoupments at the rate of 10% of their monthly SNAP benefits to recover the resulting overpayments of SNAP benefits. Thus, the rule was necessary for the preservation of the public health and the general welfare of SNAP dependent households.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(3)(d) and 95; 7 USC § 2014(e)(6)(C); 7 CFR § 273.9(d)(6)(iii)

O. TDA-37-16-00004 PA Use of Resources - General Policy

Amended 18 NYCRR 352.23(b)(2) to update PA resource exemptions related to automobiles. Prior to this amendment, PA applicants and recipients were allowed to exempt one automobile, up to \$4,650 fair market value. The amendment raised the fair market value of the exempt automobile on the following time line: one automobile, up to \$10,000 fair market value, through March 31, 2017; one automobile, up to \$11,000 fair market value, from April 1, 2017 through March 31, 2018; and one automobile, up to \$12,000 fair market value, beginning April 1, 2018 and thereafter, or such other higher dollar value as the district may elect to adopt. However, if the automobile is especially equipped with apparatus for individuals with a disability, the apparatus must not increase the value of the automobile.

Analysis of the need for the rule: This amendment was needed to make State regulations consistent with § 1 of Part X of Chapter 54 of the Laws of 2016.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(3)(d), 34(3)(f), 131(1) and 131-n; L. 2016, ch. 54, part X, § 1

P. TDA-36-16-00006 SNAP*

Amended 18 NYCRR § 387.1 to update State regulations by adding the definitions of "eligible food" and "trafficking of SNAP benefits" to reflect federal requirements regarding the trafficking of SNAP benefits.

Analysis of the need for the rule: The regulatory amendments were necessary to bring the State regulations into compliance with federal requirements and State practices.

Legal basis for the rule: 7 USC Ch. 51 and §§ 2011, 2013 and 2024; 7 CFR §§ 271.2 and 273.16; SSL §§ 17(a)-(b), (j), 20(3)(d) and 95; L. 2012, ch. 41

Rules adopted in 2014

Q. TDA-14-14-00014 State Supplement Program (SSP)*

Repeal of 18 NYCRR Part 398; addition of a new Part 398 and

§ 358-5.12 to set forth the process for OTDA's administration of the SSP and allow for telephone hearings to challenge SSP determinations.

Analysis of the need for the rule: These regulations provide the framework for OTDA's administration of the SSP. The regulations provide the initial and continuing eligibility requirements for additional State payments. They set forth the reporting responsibilities of applicants and recipients of the SSP benefits and the ramifications if they fail to comply with the requirements. The regulations address the issuance of notices of action and provide for administrative fair hearings. They also address when OTDA will replace additional State payments for recipients and when underpayments of such benefits will be corrected. Conversely, the regulations also provide when OTDA will recover overpayments and equivalent benefits from recipients. The regulations address OTDA's administrative responsibilities including confidentiality and document retention requirements. Lastly, the regulations allow telephone hearings for applicants and recipients of additional State payments.

Legal basis for the rule: SSL §§ 20(3)(d), 22(3)(f), (4), (8), 207, 211 and 212

R. TDA-36-14-00014 Noncompliance with SNAP Work Requirements; SNAP Conciliation Process*

Amended 18 NYCRR §§ 385.11 and 385.12 to render State regulations governing noncompliance and the conciliation process consistent with federal requirements.

Analysis of the need for the rule: These regulations were developed to make OTDA regulations pertaining to noncompliance and notice requirements consistent with federal regulations and policy. The regulations, in part, provide that SNAP applicants who fail to comply with work requirements without good cause are no longer subject to a durational sanction, and SNAP recipients will have the opportunity to avoid the imposition of a SNAP sanction by timely demonstrating compliance with the work requirements of the employment and training program as assigned by the district.

Legal basis for the rule: SSL § 95(1)(b); 7 USC §§ 2011, 2013 and 2029

S. TDA-38-14-00023 Standard Utility Allowances for SNAP*

Amended 18 NYCRR § 387.12 to update the standard utility allowances for SNAP to the federally approved levels as of October 1, 2014.

Analysis of the need for the rule: It was of great importance that the federally approved standard utility allowances for the SNAP were applied to SNAP benefit calculations effective October 1, 2014. If the standard utility allowances were not updated on October 1, 2014, it could have resulted in thousands of SNAP dependent households receiving underpayments each month. Thus, the rule was necessary for the preservation of the public health and general welfare of SNAP dependent households.

Legal basis for the rule: SSL §§ 20(3)(d) and 95; 7 USC § 2014(e)(6)(C); 7 CFR § 273.9(d)(6)(iii).

Rules adopted in 2009

T. TDA-17-08-00032 State-Confirmed Human Trafficking Victims*

Added Part 765 of Subchapter K to Title 18 NYCRR to govern the process and protocols for confirming an individual as a human trafficking victim in New York State.

Analysis of the need for the rule: The amendments provide more detailed instruction on protocols and procedures relating to the confirmation of human trafficking victims and the OTDA responsibilities. The need for the amendments is derived from the necessity to clearly define the participant agencies, the victim, and the terms describing the process of referral; to clearly describe the nature of OTDA's consultative role in the confirmation process; and to clearly describe the process for required notifications to the prescribed parties.

Legal basis: SSL Art. 10-D.

U. TDA-04-09-00011 Educational Activities*

Amended §§ 385.6(a) and (b), 385.7(a) and (b), and 385.9(c) of Title 18 NYCRR to provide additional opportunities to participate in education and other skill development activities.

Analysis of the need for the rule: The amendments were developed to increase the skills of individuals receiving public assistance through

the provision of additional opportunities to participate in education and other skill development activities.

Legal basis: 42 United States Code (U.S.C.) §§ 601(a) and 607; SSL Art. 5, Title 9-B.

V. TDA-07-09-00014 Utility Service*

Amended § 352.5(e) of Title 18 NYCRR to suspend the enforcement of utility repayment agreements during periods of cold weather.

Analysis of the need for the rule: The amendment was developed to better enable districts to help protect the health and safety of households if they suffer utility shutoffs during a cold weather period as a result of high energy costs.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), 131(1), and 131-s.

W. TDA-09-09-00007 Recovery of Overpayments*

Amended § 352.31(d)(1) of Title 18 NYCRR to delete the regulatory requirement to recoup/recover overpayments from all members of an assistance unit regardless of their ages at the time of overpayment.

Analysis of the need for the rule: This amendment was developed to benefit children by relieving them of the financial responsibility of an overpayment incurred when they were children in the assistance unit.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), and 106-b.

Rules adopted in 2004

X. TDA-03-04-00003 Supplemental Security Income (SSI) Benefits*

Repealed § 352.2(b) and added new § 352.2(b); amended §§ 352.3(k)(3), (i), 352.30(a) and (f), and 352.31(a)(2); and added § 352.3(l) to Title 18 NYCRR, to require districts to consider the presence in the household of an adult or child receiving SSI who would, except for the receipt of SSL, be required to be included in the public assistance household when determining the household's standard of need.

Analysis of the need for the rule: The amendments were developed to eliminate different budgeting methods required to be used for various family circumstances, and, with the exception of budgeting for households requesting and eligible to receive an emergency shelter allowance under § 352.3(k), to establish one budgeting method for determining the needs standard for a household that is applying for benefits.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), 158, 349, and 355(3).

Y. TDA-28-03-00008 Eligibility of Refugees, Asylees, and Aliens for Public Assistance*

Amended §§ 349.3(a)(1)(iv), (vii), (2), (b), and 352.33; and added § 349.3(c) to Title 18 NYCRR to implement changes to the public assistance eligibility requirements for refugees, asylees, and aliens as set forth in Chapter 214 of the Laws of 1998.

Analysis of the need for the rule: The amendments were developed to implement provisions in Chapter 214 of the Laws of 1998, and to incorporate federal clarification of certain definitions related to citizenship and alien status.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), 122, 131(1), and 355(3).

Z. TDA-13-04-00002 Cash Management Subsystem*

Amended § 600.6 of Title 18 NYCRR requiring districts to use the cash management subsystem of the welfare management system.

Analysis of the need for the rule: The amendment was developed to standardize local cash processing systems by requiring districts to use the cash management subsystem of the welfare management system for receipt of cash and for refunds and recoveries of past expenditures and the collection and tracking of overpayments; to reduce the number of systems used by districts to establish and collect recoveries and overpayments on a timely basis; to identify claims on collection cases; and to encourage more orderly claims processing.

Legal basis: SSL §§ 20(3)(d), 21, 21(2), 34(3)(f), and 82.

AA. TDA-17-04-00016 Exemption of Earned Income*

Amended § 352.20(a) and (b) of Title 18 NYCRR concerning the exemption of the earned income of full-time and part-time students when determining eligibility for public assistance.

Analysis of the need for the rule: The amendment was developed to

implement Chapter 246 of the Laws of 2002, which amended the regulations to provide that all income earned by a dependent child receiving public assistance or for whom an application for such assistance has been made, who is a full-time or part-time student attending a school, college, or university or a course of vocational or technical training designed to fit him or her for gainful employment, is exempt when determining eligibility for public assistance.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), 131-a(8), 158, 349, and 355(3).

Rules adopted in 1999

BB. TDA-30-98-00005 Child Support Cooperation Requirements*

Amended §§ 347.5, 360-3.2, 369.1, 369.2, 369.7, 370.2, and 370.9 of Title 18 NYCRR to require the local child support enforcement unit, instead of local public assistance or medical assistance unit, to determine whether an applicant/recipient has cooperated in establishing paternity and in establishing, modifying, and enforcing a support order for the child (for medical assistance, a medical support order only).

Analysis of the need for the rule: These amendments implemented Public Law 104-193, regarding cooperation in establishing paternity and establishing, modifying, or enforcing a support order for the child by applicants for and recipients of public assistance and medical assistance, and Chapter 398 of the Laws of 1997, requiring applicants for and recipients of medical assistance to cooperate in establishing paternity or establishing, modifying, or enforcing a medical support order for the child.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), 111-a, and 364; Chapter 474 of the Laws of 1996.

CC. TDA-39-98-00067 Child Support Cooperation and Reduction of Benefits

Amended § 352.30 (d) of Title 18 NYCRR to implement provisions of Public Law 104-193 and Chapter 214 of the Laws of 1998.

Analysis of the need for the rule: This amendment conformed the regulations to changes in federal and State law, so that instead of an individual being ineligible for public assistance when the individual failed to cooperate in establishing paternity or in establishing, modifying, or enforcing a support order for the child (absent good cause for such failure or other exception from so cooperating), the public assistance otherwise available to the individual's household will be reduced by 25 percent.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), and 131 (16).

DD. TDA-46-98-00015 Emergency Assistance to Families (EAF)

Amended §§ 372.1, 372.2, 372.4, and 372.6 of Title 18 NYCRR, in part, to implement provisions of § 38 of Part B of Chapter 436 of the Laws of 1997.

Analysis of the need for the rule: The amendments were developed to implement Chapter 436 of the laws of 1997, which amended § 350-j of the SSL concerning the types of care that EAF can pay for, eliminating the maximum time period for EAF eligibility, and setting forth other EAF eligibility requirements.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), and 350-j; § 38 of Part B of Chapter 436 of the Laws of 1997.

EE. TDA-52-98-00007 Lottery Intercept

Added Part 396 to Title 18 NYCRR concerning the interception of lottery awards to repay public assistance received.

Analysis of the need for the rule: The amendment was developed to implement provisions of § 131-r of the SSL which authorized OTDA to recoup any public assistance paid over the prior 10 years from recipients of such assistance who won lottery prizes of \$600 or more. The amount of assistance to be recovered could not exceed 50% of the lottery prize.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), and 131-r.

FF. TDA-07-99-00002 Child Assistance Program (CAP) Participants

Amended § 366.4(c)(2)(ii) and added § 366.7(o) to clarify the eligibility requirements for a family in receipt of Family Assistance (FA) to participate in the CAP and to add the repair of heating equip-

ment, cooking stoves, and refrigerators to the list of special allowances to which CAP recipients could be entitled.

Analysis of the need for the rule: The amendments were developed to conform the State regulation to current practices by districts relative to the eligibility prerequisites that must be met by a family receiving FA to enroll in the CAP, and to remedy an administrative oversight in the original Part 366 of Title 18 NYCRR which did not include the repair of heating equipment, cooking stoves, and refrigerators on the list of special allowances.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), 131-z, and 355(3).

GG. TDA-10-99-00001 Supervisory Review*

Amended § 351.7 of Title 18 NYCRR to provide districts the option of conducting supervisory reviews on all actions on public assistance cases or of conducting supervisory reviews on selected cases.

Analysis of the need for the rule: The amendment was developed to give districts the option to forego supervisory review of applications for public assistance. There are cases in which strict guidelines can be applied to such applications and no discretion is involved, thereby reducing the need for a supervisor's review. If districts wished to review only a certain proportion of the cases, they could submit a plan to OTDA for approval setting forth requirements for supervisory review.

Legal basis: SSL §§ 20(3)(d) and 34(3)(f).

HH. TDA-14-99-00014 Reporting Requirements*

Amended Part 651 of Title 18 NYCRR to implement § 149 of Part B of Chapter 436 of the Laws of 1997, which required that OTDA and the Department of Labor (DOL) collect data related to the operation of public assistance programs, including, but not limited to, information that must be submitted to the federal Department of Health and Human Services pursuant to Public Law 104-193.

Analysis of the need for the rule: The rule sets forth the districts' requirements at that time for monthly reporting to OTDA and DOL.

Legal basis: SSL §§ 20(3)(d) and 34(3)(f); § 149 of Part B of Chapter 436 of the Laws of 1997 at that time.

II. TDA-40-99-00001 Allowances to Children Suffering from Spina Bifida*

Amended §§ 352.22(c), (f), (w), (x), and (y), and added § 352.22(bb) to Title 18 NYCRR to implement the provisions of Public Law 104-204, which provided that allowances paid on behalf of the natural children of Vietnam veterans who suffered from spina bifida could not be considered when determining eligibility for any federally-financed program.

Analysis of the need for the rule: These amendments implemented provisions of Chapter 18 of Part II of Title 38 of the USC, as added by Public Law 104-204, and made technical corrections to several provisions of 18 NYCRR § 352.22 consistent with Public Law 104-193 and Chapter 436 of the Laws of 1997.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), 131(1), 131-n, and 355(3).

OTDA received no public comments regarding its Rule Review published in the New York State Register on January 30, 2019.

OTDA is considering amendments that may impact the regulatory changes that were adopted in 2016, 2014, 2009, 2004, and 1999. OTDA is considering the following regulatory amendments:

- Update regulations to comply with the mandatory provision of the federal Bipartisan Budget Act of 2018 to increase the annual service fee imposed on persons who receive child support services who have never received assistance pursuant to Title IV-A of the Social Security Act, from \$25 to \$35, and to increase the minimum collection requirement for assessing this fee from \$500 to \$550 per federal fiscal year.

- Amend regulations to update and clarify standards pertaining to hotels and motels used as placements for recipients of temporary housing assistance;

- Amend regulation to address applications for or receipt of public assistance as an assignment to the State and the social services district of rights to support;

- Amend regulations to implement changes to the work activities that may be made available to individuals to include financial literacy;

- Establish additional guidelines regarding work activity definitions and work documentation and verification procedures to make them consistent with standards required by federal regulations;

- Implement changes to participation rate regulations to conform to amendments to the SSL which require social services districts to expand the countable work activities available to safety net assistance participants without children to include community service programs, the provision of child care services to an individual participating in community service and time limited vocational education training, job search and job readiness assistance.

- Revise SNAP employment and training regulations to conform to federal regulations;

- Update regulations to reflect the current policy that standard allowances for heating/air conditioning, utility and telephone costs are used in calculating shelter expenses for SNAP;

- Update regulations to reflect the current policy that households in shared living arrangements are entitled to the full applicable level of the standard utility allowance;

- Generally update SNAP regulations to conform to changes in federal regulations and law; and

- Amend regulations to clarify certain aspects of the State Supplement Program, among them: who is eligible to participate in the State Supplement Program (SSP) based on the initial eligibility determination transmitted from the Social Security Administration to New York State via the state data exchange process; that neither SSP nor State Supplemental Personal Needs Allowance benefits will be issued once a participant's death has been verified; and that New York State has the right to operate the SSP under State rules.

At this time, OTDA has determined that no additional modifications, other than those set forth above, need to be made to its regulations adopted in 2016, 2014, 2009, 2004, and 1999, as amended or otherwise modified.

OTDA has determined that in the ensuing calendar year, it should review certain regulations from Title 18 NYCRR adopted in 2017, 2015, 2010, 2005 and 2000. These regulations, listed below, are subject to the provisions of SAPA § 207. The regulations must be reviewed to determine whether they should be retained as written or modified. OTDA invites written comments on the continuation or modification of these regulations in order to assist in the required review. We will consider only those comments that are received by April 30, 2020.

Rules adopted in 2017

1. TDA-46-15-00005 Storage of Furniture and Personal Belongings*

Amended 18 NYCRR 352.6(f) and 397.5(k) to provide clarification regarding allowances for the storage of furniture and personal belongings.

Analysis for the need for the rule: These amendments were needed to provide consistency and clarity to the eligibility and receipt of storage fee payments.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(3)(d), 34(3)(f), 131(1) and 303(1)(k)

2. TDA-37-16-00001 Child Support*

Amended 18 NYCRR 347.19 to clarify what information is to be safeguarded and what uses are permitted for child support purposes, to establish separate rules regarding the use and disclosure of information contained in the state parent locator service, and to amend the rules regarding reporting child support arrears to consumer reporting agencies.

Analysis for the need for the rule: To ensure the State's compliance with the federal rules for safeguarding confidential information, disclosing said information, where appropriate, to authorized persons and entities for authorized purposes, and reporting of delinquent child support payors to credit reporting agencies.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(3)(d), 34(3)(f), 111-a and 111-v; 42 USC §§ 651-658, 660, 663-664, 666-667, 1302, 1396a(25), 1396b(d)(2), (o), (p) and (k); 45 CFR §§ 303.21, 303.69, 303.70 and 307.13

3. TDA-39-16-00006 Operational Plans for Uncertified Shelters for the Homeless*

Added 18 NYCRR 352.39 to require social services districts to submit to OTDA for review and approval operational plans and closure reports for each publicly-funded emergency shelter that currently does not fall within the scope of § 352.3(e)-(h), Part 491 or Part 900 of Title 18 NYCRR.

Analysis for the need for the rule: To protect vulnerable, low-income individuals and families with limited or no housing options, who have placed their trust and well-being in a system that should ensure that they have access to safe and habitable emergency shelter during their difficult times.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(2)-(3), 34, 460-c and 460-d

4. TDA-01-17-00002 Emergency Measures for the Homeless During Inclement Winter Weather*

Added 18 NYCRR Part 304 to mitigate the effects and impact of inclement winter weather on individuals experiencing homelessness.

Analysis of the need for the rule: The rule is necessary to protect homeless individuals from inclement winter weather in which air temperatures are at or below 32 degrees Fahrenheit, including National Weather Service calculations for windchill.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(2)(b), (3)(d), 34(3)(c)-(e) and (6)

5. TDA-23-17-00015 Supplemental Nutrition Assistance Program (SNAP) Categorical Eligibility*

Amended 18 NYCRR § 387.14 to update State regulations to include the previous expansion of categorical eligibility to certain SNAP applicants and further expand, pursuant to certain requirements, categorical eligibility of households having gross incomes at or below 200%, 150%, and 130% of the federal poverty limit (FPL).

Analysis of the need for the rule: The rule aligns State regulations with current SNAP policy regarding categorical eligibility for SNAP and advances the recommendations of the Governor's Anti-Hunger Task Force.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(3)(d) and 95; L. 2012, ch. 41; 7 USC Ch. 51 (generally), 7 USC §§ 2011, 2013; 7 CFR § 273.2(j)(2)

6. TDA-25-17-00001 Local District Child Support Enforcement Unit*

Amended 18 NYCRR Part 347.3 in order to afford social services districts greater flexibility in selecting a name for the local entity responsible for child support activities within each social services district, update current State regulation language to reflect current terminology, and correct regulatory citations.

Analysis of the need for the rule: The rule was clarifying in nature, seeking to modernize the existing State regulations to reflect terminology currently used by the child support program. The regulatory amendments were responsive to a request by a social services district for flexibility in designating the local entity responsible for child support activities.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(3)(d), 34(3)(f), 111-a, 111-c; 42 U.S.C. §§ 651-657, 660, 663-664, 666-667; and 45 CFR § 302.12

7. TDA-31-17-00002 Mandated Reporter Requirement and Background Checks*

Added 18 NYCRR Part 901 to address the need for additional protections for children who are residing in publicly-funded emergency shelters for families with children by requiring checks of the Statewide Central Register of Child Abuse and Maltreatment and the Staff Exclusion List and criminal history background checks for individuals in certain positions in publicly-funded emergency shelters for families with children who have the potential for regular and substantial contact with children who are served by the shelter.

Analysis of the need for the rule: The amendments were needed to implement the State regulations as required by Part Q of Chapter 56 of the Laws of 2017.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(2)(b), 34(3)(c)-(d), (6), 412, 413, 424-a, 460-h and 495; L. 2017, Ch. 56, part Q

8. TDA-40-17-00002 Support Obligations*

Repealed 18 NYCRR §§ 347.8, 347.10, and 347.26; added 18 NYCRR § 347.8; and amended 18 NYCRR §§ 347.9 and 422.3 to align State regulations concerning the establishment, modification, and enforcement of support obligations with federal and State statutory requirements, to update State regulations to reflect current terminology used by the child support program, and to correct regulatory citations in accordance with federal and State laws.

Analysis of the need for the rule: The rule helped ensure the State's compliance with the federal rules, promoted the use of current terminology, and corrected regulatory citations.

Legal basis for the rule: SSL §§ 17(a)-(b), (j), 20(3)(d), 111-a and 111-i; 42 U.S.C. §§ 651-657, 660, 663-664 and 666-667; 45 CFR 303.4, 303.6 and 303.8

Rules adopted in 2015

9. TDA-49-14-00003 Public Assistance (PA) Schedules*

Amended 18 NYCRR §§ 352.1 and 352.2 to update certain PA schedules to comply with the schedules in SSL § 131-a.

Analysis of the need for the rule: The amendments were required in order to conform certain PA schedules set forth in 18 NYCRR §§ 352.1(a) and 352.2(d) to the non-discretionary provisions set forth in amended SSL § 131-a.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 131(1), 131-a(2)(a-1)-(a-4), and 131-a(3)(a-1)-(a-4)

10. TDA-23-15-00004 Emergency Shelter Allowances (ESA)*

Amended 18 NYCRR § 352.3(k) to update provisions for ESA for persons with AIDS or HIV-related illness to reflect statutory authority.

Analysis of the need for the rule: The amendments were needed to conform to State laws requiring social services districts (districts) to disregard the Supplemental Security Income and needs of any household member who is not the sole household member medically diagnosed with AIDS or HIV-related illness and to help ensure that districts, including New York City, are able to continue to provide the same level of housing for these individuals in need as they have in the past.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 131(1); L. 2008, ch. 53; L. 2009, ch. 53; L. 2010, chs. 58, 110; L. 2011, ch. 53; L. 2012, ch. 53; L. 2013, ch. 53; L. 2014, ch. 53; L. 2015, ch. 53

11. TDA-38-15-00005 Standard Utility Allowances for Supplemental Nutrition Assistance Program (SNAP)*

Amended 18 NYCRR § 387.12 to set forth the federally approved standard utility allowances as of October 1, 2015.

Analysis of the need for the rule: It was of great importance that the federally approved standard utility allowances for SNAP were applied to SNAP benefit calculations effective October 1, 2015. If the standard utility allowances were not updated on October 1, 2015, it could have resulted in thousands of SNAP dependent households receiving SNAP overpayments each month. Households receiving such overpayments could be subject to an extended period of SNAP recoupments at the rate of 10% of their monthly SNAP benefits to recover the resulting overpayments of SNAP benefits. Thus, the rule was necessary for the preservation of the public health and general welfare of SNAP dependent households.

Legal basis for the rule: SSL §§ 20(3)(d) and 95; 7 USC § 2014(e)(6)(C); 7 CFR § 273.9(d)(6)(iii)

12. TDA-15-15-00003 Video Hearings*

Added 18 NYCRR § 358-5.13 to specifically allow OTDA's Office of Administrative Hearings (OAH) to conduct fair hearings by means of video equipment.

Analysis of the need for the rule: Video hearings allow OAH to hold more hearings by assigning individual hearing officers to hold fair hearings for multiple locations throughout the State on the same day.

Legal basis for the rule: SSL §§ 20(3)(d) and 22(8)

13. TDA-52-14-00001 "Food Stamp Program" Renamed "Supplemental Nutrition Assistance Program" (SNAP); Food Assistance Program (FAP) Repealed; Certain Public Assistance Employment Program Reporting Requirements Modified

Amended 18 NYCRR §§ 358-1.1, 358-1.2, 358-2.27, 381.2, 651.1, 651.2; and repeal of Part 388 of Title 18 NYCRR to update reference in the regulations from the Food Stamp Program to SNAP; to remove references to FAP within regulations, thereby rendering them consistent with current law; and to eliminate the monthly SSD reporting requirement to the DOL relative to information on PA families incidental to the administration of the PA employment program.

Analysis of the need for the rule: These regulations were needed to bring the State regulations into compliance with Chapter 41 of the Laws of 2012, which changed the name of the Food Stamp Program to SNAP, and with Chapter 360 of the Laws of 2003, which established a sunset date of September 30, 2005 for the districts' authority, as regulated by OTDA, to operate the FAP. The regulatory amendments also updated the State regulations by eliminating certain monthly requirements that SSDs report information to the DOL, thereby rendering the subject State regulations consistent with Part C of Chapter 57 of the Laws of 2005, which effectively transferred all functions, powers, duties and obligations incidental to the administration of the PA employment program from DOL to OTDA.

Legal basis for the rule: 7 U.S.C. Ch. 51 and §§ 2011 and 2013; SSL §§ 20, 34, 95 and art. 5, title 9-B; L. 2003, Ch. 360; L. 2005, Ch. 57, part C; L. 2012, Ch. 41

14. TDA-12-15-00004 Delete Regulatory References to the Learnfare Program

Amended 18 NYCRR § 351.2 and repealed § 351.12 to make technical amendments to reflect that the statutory authority to operate the Learnfare Program has expired.

Analysis of the need for the rule: Former SSL § 131-y, which authorized and directed OTDA to establish Learnfare, expired and was deemed repealed after July 31, 2000. Deletion of references to Learnfare from the existing State regulations rendered them consistent with current law.

Legal basis for the rule: SSL § 20(3)(d); L. 1995, Ch. 81 §§ 188 and 246(18); L. 1997, Ch. 436, § 21.

15. TDA-18-15-00002 Child Support

Amended 18 NYCRR § 347.24 to reflect the revised case closure criteria as set forth in the federal Department of Health and Human Services regulation.

Analysis of the need for the rule: The rule was necessary to conform the then existing State regulation to federal requirements for establishing and enforcing intergovernmental support obligations in child support program cases receiving services under Title IV-D of the Act.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f) and 111-a; and 45 CFR § 303.11

Rules adopted in 2010

16. TDA-14-09-00009 SNA Application Supplement*

Repealed § 350.4(a)(7) and amended § 350.4(b) and (c)(1) of Title 18 NYCRR to eliminate the requirement that public assistance recipients complete an SNA application supplement to transition from federally-funded assistance to SNA when they reach the State 60-month time limit for federally-funded assistance.

Analysis of the need for the rule: The amendment eliminates an unnecessary administrative burden to both districts and recipients alike, since safeguards that are more efficient and effective are in place to ensure SNA eligibility. The eliminated requirement duplicated these already existing safeguards.

Legal basis: SSL §§ 20(3)(d), 34(3)(f), 131(1), and 158(1)(a).

17. TDA-28-09-00006 Temporary Housing Assistance for Certain Sex Offenders*

Implemented Chapter 568 of the Laws of 2008 concerning factors that districts must consider when making determinations about the locations of temporary housing for level two and level three sex offenders, when advanced notice has been received.

Analysis of the need for the rule: When assessing housing placements for certain sex offenders, consideration of the individual's immediate housing needs and such factors as concentrations of registered sex offenders and the proximity of available housing to entities with vulnerable populations are intended to protect the public. Addition-

ally, consideration of other factors, such as the accessibility to family members, friends, or other supportive services, including available sex offender treatment programs, is intended to prevent recidivism by providing sex offenders with suitable housing and support. Through its implementation of Chapter 568 of the Laws of 2008, the amendment was designed to balance the safety interests of the public, the statutory obligations of districts in meeting the immediate needs of individuals, and the unique housing needs of sex offenders.

Statutory basis: SSL §§ 20(3)(d), (8), 34(3)(f), and 131(1); Chapter 568 of the Laws of 2008.

18. TDA-19-10-00010 Utility Repayment Agreements*

Amended § 352.5(e) of Title 18 NYCRR by extending the repayment term of utility repayment agreements from one year to two years to meet the requirements of Chapter 318 of the Laws of 2009.

Analysis of the need for the rule: In addition to rendering the regulations compliant with statutory requirements, the regulatory amendments benefit low-income households which must sign repayment agreements by reducing their monthly repayment amounts, thereby making them more affordable. The amendments also help low-income families remain current on their utility repayment agreements and better enable them to meet their other monthly financial obligations. In addition, by improving the ability of low-income households to comply with the terms of their repayment agreements, the regulatory amendments reduce the need for districts to utilize costly temporary housing options.

Statutory basis: SSL §§ 20(3)(d), 34(3)(f), 131(1), and 131-s(1); Chapter 318 of the Laws of 2009.

Rules adopted in 2005

19. TDA-06-04-00006 Operational Plans for Room and Board Facilities*

Amended 18 NYCRR §§ 352.8(b)(1) and 900.1(a), added 18 NYCRR § 352.8(b)(2), and renumbered paragraphs of 18 NYCRR § 352.8(b) to require an operational plan to be submitted under certain circumstances for facilities that provide room and/or board.

Analysis of the need for the rule: These amendments were developed to improve the quality and availability of temporary housing by making Part 900 standards and reimbursement available to scattered site housing and small facilities when they were operated by one organization and total occupancy exceeded 19 families.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), and 131(1); Chapter 562 of the Laws of 1953.

20. TDA-17-04-00001 Temporary Absences*

Amended 18 NYCRR § 349.4(a) and repealed 18 NYCRR § 352.3(c) to allow all public assistance recipients who are temporarily absent from their homes to be treated the same.

Analysis of the need for the rule: These amendments were developed to make it easier for districts to determine which public assistance recipients, who were temporarily absent from the district of residence, continue to be eligible for assistance.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 131-a(1), 158, 349, and 355(3).

21. TDA-46-04-00006 Income Standards for Eligibility for Emergency Assistance for Needy Families with Children*

Amended 18 NYCRR § 372.2(a) to establish an objective income standard that would be used by districts when determining eligibility for emergency assistance for needy families with children.

Analysis of the need for the rule: This rule was developed to make OTDA's regulations consistent with the terms of the State Plan submitted to the Department of Health and Human Services for the Temporary Assistance for Needy Families (TANF) Program.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 131(1), 350-j, and 355(3).

22. TDA-02-05-00001 Families in Transition Act*

Added 18 NYCRR § 351.20(c) to implement Chapter 477 of the Laws of 2000 to permit the continuation of public assistance eligibility for a child whose adult relative caretaker has died until arrangements are completed for the addition of the child to another public as-

sistance household, reclassification of the case, foster care for the child, or other appropriate financial support for the child.

Analysis of the need for the rule: This rule was developed to ensure that a lapse in assistance did not occur upon the death of the adult relative caretaker of a child in receipt of public assistance. A lapse in financial support can be highly injurious to a child undergoing the difficult transition to a new family or, eventually, to foster care. The amendments ensured that orphaned public assistance recipients would receive the correct amount of assistance and that these children will not be left without financial support.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 131(1), 131-a(13), and 355(3); Chapter 477 of the Laws of 2000.

23. TDA-21-05-00002 Section 8 Housing Vouchers*

Amended 18 NYCRR §§ 350.3(d)(2)(i), 352.5(b), (f)(2), and (5)(i), and added 18 NYCRR § 352.3(d)(2)(ii) to establish a reasonable shelter schedule for persons and families receiving public assistance and rent subsidies under the Section 8 Voucher Program.

Analysis of the need for the rule: This rule was developed to provide a measure of uniformity and to insure that participants in the Section 8 Voucher Program would not receive a lower subsidy than other families based solely upon the participant families' receipt of public assistance.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), 131(1), and 355(3).

Rules adopted in 2000

24. TDA-39-99-00002 Fair Hearings for Employment Related Cases*

Amended 18 NYCRR §§ 358-2.9, 358-2.15, 358-3.1, 358-3.3, 358-3.5, 358-3.6, 358-4.1, 358-4.2, 358-5.9, 358-6.1, and 358-6.3 to conform State regulations concerning fair hearings for employment related cases to regulations of the New York State Department of Labor (DOL).

Analysis of the need for the rule: At the time, this rule was developed to reflect the transfer of the administration of employment programs from the New York State Department of Social Services to the DOL.

Legal basis for the rule: SSL §§ 20(3)(d), 22, 34(3)(f), and 337

It is noted that responsibility for the administration of employment programs has since been transferred from the DOL to OTDA. Title 18 NYCRR reflects this subsequent transfer.

25. TDA-39-99-00003 Home Energy Assistance Program (HEAP)

Amended 18 NYCRR §§ 393.4(c), 393.4(d)(1)(ix), and 393.5(a) and (c) to require applicants for emergency HEAP benefits to use available liquid resources to meet an energy emergency and to remove a detailed list of criteria for the HEAP payment matrix.

Analysis of the need for the rule: The amendments were developed to reflect the existing HEAP program requirements and to help reduce the State's HEAP administrative costs, thereby increasing the amount of the HEAP grant that could be used to provide energy assistance to needy individuals.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), and 97.

26. TDA-03-00-00005 Public Assistance*

Amended 18 NYCRR § 352.31(a) and (d) to give guidance to districts with respect to counting the number of months a person has been in receipt of public assistance in circumstances where a person received public assistance during a time period that he or she was ineligible for the assistance, and the monies were subsequently recovered.

Analysis of the need for the rule: The amendments were developed to clarify State policy and ensure that the time limits for determining public assistance eligibility were applied correctly and consistently.

Legal basis for the rule: SSL §§ 20(3)(d) and 34(3)(f)

27. TDA-09-00-00005 Front End Detection System

Amended 18 NYCRR § 348.7(c)(1)(i)(a) to clarify when an applicant for public assistance must be referred to a front end detection system unit.

Analysis of the need for the rule: This rule was developed to provide for a more thorough review of the applicant's financial situation. This

amendment sought to address the question of why a person was applying for public assistance when the person's financial obligations were current and there appeared to be no changes in the person's circumstances.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), and 134(b)

28. TDA-09-00-00006 State Charges

Repealed 18 NYCRR Part 310 and amended 18 NYCRR §§ 313.1, 313.2, 603.1 and 620.3 to eliminate the concept of State charges, except under certain circumstances.

Analysis of the need for the rule: This rule was developed to render OTDA's regulations consistent with the requirements of the SSL, as amended by Chapter 81 of the Laws of 1995; that Chapter was implemented in State Fiscal Year 1995/96 and repealed the "State charge" category in most situations.

Legal basis for the rule: SSL §§ 20(3)(d) and 34(3)(f); §§ 155-159 and 195-199 of Chapter 81 of the Laws of 1995.

29. TDA-22-00-00001 Automobile Exemption*

Amended 18 NYCRR § 352.23(b)(2) to implement Chapter 389 of the Laws of 1999 concerning the value of an automobile that can be exempted and disregarded when determining eligibility for public assistance.

Analysis of the need for the rule: At the time, this rule was developed to reflect the provisions of Chapter 389 of the Laws of 1999, which amended SSL § 131-n to provide that if an automobile is needed to enable a public assistance recipient to seek or retain employment or to travel to or from work activities, its exempted value can be up to twice the value of an automobile that can be exempted from consideration in determining eligibility for food stamp benefits, now known as "SNAP" benefits, or a higher amount as determined by the district.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), and 131-n(1); Chapter 389 of the Laws of 1999 at that time.

30. TDA-22-00-00002 HEAP*

Added 18 NYCRR § 393.4(c)(4) and amended 18 NYCRR § 393.4(d)(1)(i) to conform State regulations to federal requirements concerning which households were eligible for HEAP benefits.

Analysis of the need for the rule: These amendments were developed to conform State regulations to federal requirements governing which households were eligible for regular HEAP benefits. The federal requirements provided that, in order to be eligible for HEAP, an applicant must be a United States citizen, a national, or a qualified alien.

Legal basis for the rule: SSL §§ 20(3)(d), 34(3)(f), and 97.

31. TDA-28-00-00001 Emergency Shelter Allowances

Repealed 18 NYCRR § 397.11 to eliminate an unnecessary section of Title 18 NYCRR concerning emergency shelter allowances.

Analysis of the need for the rule: The purpose of the repeal of 18 NYCRR § 397.11 was to eliminate provisions that were also contained in 18 NYCRR § 352.3(k).

Legal basis for the rule: SSL §§ 20(3)(d) and 34(3)(f); Chapter 53 of the Laws of 1988 and subsequently enacted budgets.

Conclusion

* The asterisks identify rules for which a regulatory flexibility analysis, rural area flexibility analysis, or job impact statement was prepared.

The Rule Review may be accessed on OTDA's website at <http://otda.ny.gov/legal/>.

Any comments should be submitted to: Joseph C. Mazza, Office of Temporary and Disability Assistance, 40 N. Pearl St., 16th Fl., Albany, NY 12243, (518) 474-0574, e-mail: Joseph.Mazza@otda.ny.gov.

GUIDANCE DOCUMENTS

Not less than once each year, every agency shall submit to the Secretary of State for publication in the *State Register* a list of all Guidance Documents on which the agency currently relies [SAPA, section 202-e(1)]. However, an agency may be exempted from compliance with the requirements of SAPA section 202-e(1) if the agency has published on its website the full text of all Guidance Documents on which it currently relies [SAPA, section 202-e(2)].

Office of Temporary and Disability Assistance

The State Administrative Procedure Act (SAPA) § 202-e requires every State agency, at least once a year, to submit to the Secretary of State for publication in the New York State Register a list of guidance documents on which the agency currently relies and to provide information on where and how regulated parties and members of the public may inspect and obtain copies of the documents. Set forth below is the list of guidance documents relied upon by the New York State Office of Temporary and Disability Assistance (OTDA). Many of these documents are available for review on OTDA's website at www.otda.ny.gov. Copies of the documents may be requested by writing to OTDA's Public Information Office, 40 North Pearl Street, 16th Floor, Albany, New York 12243-0001, by calling (518) 474-9516, or by e-mailing: nyspio@otda.ny.gov. Arrangements can be made with that Office for inspection of the documents.

Comments related to the guidance documents should be submitted to: Joseph C. Mazza, OTDA, 40 North Pearl Street, 16th Floor, Albany, New York 12243-0001; or Joseph.Mazza@otda.ny.gov.

MANUALS AND SOURCE BOOKS

1. Temporary Assistance Source Book
2. Temporary Assistance for Needy Families State Plan
3. Supplemental Nutrition Assistance Program (SNAP) Source Book
4. Home Energy Assistance Program Manual
5. Home Energy Assistance Program State Plan
6. Temporary Assistance Energy Manual
7. Cash Management Subsystem (CAMS) Manual
8. The Automated Budgeting and Eligibility Logic (ABEL) Reference Manual
9. Institute of Internal Auditors International Professional Practices Framework
10. Benefit Issuance Control Subsystem (BICS) Services Payments Processing (BSPP) Manual
11. Benefit Issuance Control Subsystem (BICS) Operations Manual
12. Electronic Benefit Transfer (EBT) Fiscal Manual
13. Fiscal Reference Manual: Policy and Procedures; Forms and Instructions; County Cost Allocation Plan; and New York City Cost Allocation Plan
14. GAO Government Auditing Standards
15. Indirect Payment Processing Subsystem (IPPS) Manual
16. Local District Claiming System Users Manual
17. Payment Issuance and Control System (PICS) Manual
18. State Data Exchange (SDX) Reference Guide
19. System Reference Manual (SRM)
20. Welfare Management System (WMS) Worker's Guide to Codes

21. Non Public Assistance (NPA) Food Stamp Desk Guide to Codes
22. IM Operational Handbook Authorization of Grants Manual
23. Budgeting Manual NPA Food Stamp Program
24. Budgeting Manual Public Assistance Program
25. Client Notices System (CNS) Codes & Text Catalogue
26. Client Notices Manual
27. Time Limit Tracking Manual
28. Temporary Assistance and Food Stamp Employment Policy Manual
29. Benefit Issuance Control Subsystem (BICS) Error List
30. COSO Guidance — Committee on Sponsoring Organizations of the Treadway Commission
31. eDRS Worker Manual
32. Disaster SNAP State Plan
33. SNAP Employment & Training Plan
34. New York State SNAP Management Evaluation Plan
35. Standards for Internal Control in New York State Government
36. WMS New York City Reference Manual
37. WMS Upstate System Reference Manual
38. WMS Code Cards
39. WMS Error Listing

ADMINISTRATIVE DIRECTIVES (ADMs), INFORMATIONAL LETTERS (INfs), LOCAL COMMISSIONER MEMORANDA (LCMs), GENERAL INFORMATION SYSTEM (GIS) MESSAGES, DEAR COLLEAGUE LETTERS (DCLs), OFFICE OF ADMINISTRATIVE HEARINGS (OAH) PROCEDURES TRANSMITTALS, AND OTHER ISSUANCES

2019

ADMs

- 19-ADM-12 United States Department of Agriculture (USDA) SNAP Civil Rights Requirements
- 19-ADM-11 Guidance for Providing Temporary Assistance Information to Victims of Domestic Violence
- 19-ADM-10 Referral for Child Support Services (LDSS-5145)
- 19-ADM-09 United States Repatriation Program (USR) District Responsibilities
- 19-ADM-08 Application for Child Support Services (LDSS-5143)
- 19-ADM-07 Implementation of Phase 1 of the NYDocSubmit Mobile Application
- 19-ADM-06 2019-2020 Flexible Fund for Family Services (FFFS)
- 19-ADM-05 Payment of Residential Services for Victims of Domestic Violence
- 19-ADM-04 Temporary Assistance Budgeting: 2019 Earned Income Disregard and Poverty Level Test

- 19-ADM-03 Homeless Services Plan and Outcome Reporting
- 19-ADM-02 Change Authorized by Chapter 275 of the Laws of the 2017 Regarding Financial Literacy Instruction
- 19-ADM-01 Changes to Conciliation and Sanction Procedures for Noncompliance with Temporary Assistance Employment Requirements in New York City
- LCMs
- 19-LCM-12 Child Support Incentives – Federal Fiscal Years 2017 and 2019
- 19-LCM-09-T Inadmissibility on Public Charge Grounds Final Rule
- 19-LCM-11 Revisions to the LDSS-2921, LDSS-3174, PUB-1301, and PUB-1313
- 19-LCM-10 2019-2020 Home Energy Assistance Program (HEAP)
- 19-LCM-09 Inadmissibility on Public Charge Grounds Final Rule
- 19-LCM-08 Claiming Deadlines for Federal and State Reimbursement
- 19-LCM-07 2020-2021 Biennial Temporary Assistance and Supplemental Nutrition Assistance Program (SNAP) Employment Plan
- 19-LCM-06 Additional 100% Supplemental Nutrition Assistance Program Employment and Training Allocations - FFY 2019
- 19-LCM-05 2019 New York State Summer Youth Employment Program Allocations
- 19-LCM-04 Supplemental Nutrition Assistance Program Employment and Training Allocations FFY 2019
- 19-LCM-03 Homeless Management Information System (HMIS)
- 19-LCM-02 Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) Dependent Care Funding Requests for FFY 2018
- 19-LCM-01 2018-2019 Home Energy Assistance Program (HEAP) Administrative Allocations and Program Allocations
- INFs
- 19-INF-08 2019 State Minimum Wage Increase and Its Effect on Temporary Assistance and Supplemental Nutrition Assistance Programs
- 19-INF-07 Revisions to the LDSS-4579 “Non-Citizen Eligibility Desk Aid”
- 19-INF-06 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2020 and Updated SSI and SSP Benefit Levels Chart
- 19-INF-05 Revision to the LDSS-5062A Supplemental Nutrition Assistance Program (SNAP) Employability/ABAWD Code Desk Guide
- 19-INF-04 2019 Summer Food Service Program (SFSP)
- 19-INF-03 Change in Internal Revenue Service Mileage Rates for 2019
- 19-INF-02 Temporary Housing Assistance (THA) for Sex Offenders – Updated Department of Corrections and Community Supervision Contact Lists
- 19-INF-01 Digest of Laws of 2018 Relating to Programs of the Office of Temporary and Disability Assistance
- GIS
- 12/23/19 - 19TA/DC056 – NY State of Health to SNAP Outreach
- 12/16/19 - 19TA/DC055 – New “And Justice for All” Poster
- 12/09/19 - 19TA/DC054 – 2019-2020 Holiday Moratorium Schedule for New York State PSC Regulated and Municipal Utility Companies
- 11/15/19 – 19TA/DC053 – Posting Requirement for Notice of Class Action Settlement for the Class Action Lawsuit, Karamalla et. al. v. Devine (Index no. 2015-000107, Erie County)
- 11/08/19 - 19TA/DC052 – Finger Imaging Requirements for Temporary Assistance
- 11/05/19 - 19TA/DC051 – Processing Temporary Assistance (TA) Requests for Energy Emergencies
- 10/31/19 - 19TA/DC047 – Updated – Shelter Supplement Plan Reminder and Proper Coding for Districts with Currently Approved Plans
- 10/28/19 - 19TA/DC050 – Duplicate Payments
- 10/24/19 - 19TA/DC049 – Social Security Administration (SSA) Government to Government Services Online (GSO) Registration
- 10/16/19 - 19TA/DC048 – NYDocSubmit Release 1.3
- 10/15/19 - 19TA/DC047 – Shelter Supplement Plan Reminder and Proper Coding for Districts with Currently Approved Plans
- 10/11/19 - 19TA/DC046 – 2019-2020 HEAP OSC Voucher Payments
- 10/08/19 - 19TA/DC045 – Refugee Cash Assistance and the Treatment of Reception and Placement Grants
- 09/20/19 - 19TA/DC044 – Temporary Assistance (TA) and Supplemental Nutrition Assistance Program (SNAP) Policy Reminder Regarding Strikers
- 08/30/19 - 19TA/DC043 – Home Energy Assistance Program (HEAP) 2018-2019 Cooling Assistance Component, Heating Equipment Repair and Replacement, and Heating Equipment Clean and Tune component closing dates
- 08/20/19 - 19TA/DC042 – Upstate and NYC – Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 2019
- 08/06/19 - 19TA/DC041 – 2019-2020 Home Energy Assistance Program (HEAP) TA/SNAP Pre-Autopay Vendor Information Report
- 08/02/19 - 19TA/DC040 – Posting Requirement for Notice of Proposed Settlement for the Federal Court Lawsuit Brooks et. al. v. Roberts, No. 16-CV-1025
- 08/01/19 - 19TA/DC039 – Informing Social Services Districts of a Notice to Potential Class Members
- 07/30/19 - 19TA/DC038 – SNAP and TA Date of Status (DOS) Determination for Qualified Battered Non-Citizens
- 07/30/19 - 19TA/DC037 – Exemption from Supplemental Nutrition Assistance Program (SNAP) Able Bodied Adults Without Dependents (ABAWD) requirements for individuals in receipt of Worker’s Compensation
- 07/29/19 - 19TA/DC035 – Calculation of Utility Arrears for Households Enrolled in Budget Billing
- 07/17/19 - 19TA/DC036 – Client Notice System (CNS) R15 Code for Domestic Violence Shelter Types
- 06/20/19 - 19TA/DC034 – SNAP 2019-2020 Disaster Plan Local Emergency Contacts w/NYC
- 06/17/19 - 19TA/DC033 – Necessary Action by HEAP, TA, and SNAP Workers to Directly Issue HEAP Heat-Included Payments to Utility Vendors
- 05/03/19 - 19TA/DC032 – FFY 2019 Supplemental Nutrition Assistance Program (SNAP) Process and Technology Improvement Grants
- 05/01/19 - 19TA/DC031 – Treatment of 2020 Census Income for Temporary Assistance (TA), Supplemental Nutrition Assistance Program (SNAP) and the Home Energy Assistance Program (HEAP)
- 04/25/19 - 19TA/DC030 – Finger Imaging Requirements for Temporary Assistance Applicants and Recipients
- 04/23/19 - 19TA/DC029 – Social Services District Responsibility for Timely Submission of Voter Registration Forms
- 04/19/19 - 19TA/DC028 – USDA Online SNAP Purchasing Pilot
- 04/17/19 - 19TA/DC027 – HEAP 2018-2019 Cooling Assistance Component Opening
- 04/10/19 - 19TA/DC026 – Language Access
- 04/04/19 - 19TA/DC025 – 2019-2020 Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)
- 03/28/19 - 19TA/DC024 – 2019 – 2020 Home Energy Assistance Program Nominal Benefit
- 03/28/19 - 19TA/DC023 – HEAP BICS Locks
- 03/15/19 - 19TA/DC022 – Home Energy Assistance Program (HEAP) 2017-2018 Heating Equipment Clean and Tune closing date, and 2018-2019 Heating Equipment Clean and Tune opening date
- 03/14/19 - 19TA/DC021 – 200% of Poverty Income Standards Chart – June 1, 2019 through May 31, 2020

02/25/19 - 19TA/DC020 – New York State Nutrition Improvement Project (NYSNIP) Mass Undercare Cost of Living Adjustment (COLA) Income Update

02/20/19 - 19TA/DC019 – Upstate - Notification of Compressed Issuance Cycle for March Recurring SNAP Benefits

02/20/19 - 19TA/DC018 – NYC - Notification of Compressed Issuance Cycle for March Recurring SNAP Benefits

02/14/19 - 19TA/DC017 – 2018-2019 Home Energy Assistance Program – Second Emergency Benefit and Revised Component Closing Dates

02/11/19 - 19TA/DC016 – Partial Federal Government Shutdown and Emergency Food Replacement

02/08/19 - 19TA/DC015 – Release of Revised LDSS-4826B Interview/Verification Guide for the LDSS-4826 Supplemental Nutrition Assistance Program (SNAP) Application/Recertification

02/05/19 - 19TA/DC014 – Exemption from Supplemental Nutrition Assistance Program (SNAP) Work Requirements for Individuals who are a Regular Participant in a Drug or Alcohol Treatment Program.

01/31/19 - 19TA/DC013 – HEAP Heater Benefit Balance Payment Issuance

01/16/19 - 19TA/DC012 – NYC Revised Partial Federal Government Shutdown and Supplemental Nutrition Assistance Program (SNAP) Benefits for February 2019 Early Issuance Public Notice Posters

01/16/19 - 19TA/DC011 – Deadline for Processing ABAWD Exclusion overrides October 2018, November 2018 and December 2018

01/15/19 - 19TA/DC010 – Upstate – Partial Federal Government Shutdown and Supplemental Nutrition Assistance Program (SNAP) Benefits for February 2019 Early Issuance Public Notice Upstate Spanish Poster

01/14/19 - 19TA/DC009 – Partial Federal Government Shutdown and Supplemental Nutrition Assistance Program (SNAP) Benefits for February 2019 Early Issuance Public Notice Poster

01/14/19 - 19TA/DC008 – Updated and Revised Information about The Partial Federal Government Shutdown and Supplement Nutrition Assistance Programs (SNAP) Benefits for February 2019

01/14/19 - 19TA/DC007 – Release of Revised LDSS-5072 Informational Letter Regarding Able-Bodied Adults Without Dependents (ABAWD) Requirements and LDSS-5127 Able-Bodied Adults Without Dependents (ABAWD) Work Activity Letter

01/11/19 - 19TA/DC006 – Partial Federal Government Shutdown and Supplement Nutrition Assistance Programs (SNAP) Benefits for February 2019 (upstate)

01/11/19 - 19TA/DC005 – Partial Federal Government Shutdown and Supplement Nutrition Assistance Programs (SNAP) Benefits for February 2019 (NYC)

01/11/19 - 19TA/DC004 – Temporary Assistance Program Policies Regarding Federal Government Employees Effected by the Partial Federal Government Shutdown

01/10/19 - 19TA/DC003 – Partial Federal Government Shutdown and Supplemental Nutrition Assistance Programs (SNAP) Benefits for February 2019

01/08/19 - 19TA/DC002 – Partial Federal Government Shutdown and Supplement Nutrition Assistance Programs (SNAP) Benefits

01/04/19 - 19TA/DC001 – ‘NX’ Nominal HEAP Benefits Issued During a Recertification or Undercare Transaction (Upstate Only)

DCIs (Child Support)

- 01/03/2019 - Child Support Program Manual: Paternity Establishment Chapter

- 01/18/2019 - Child Support Payable through the Support Collection Unit without a Direct Application to the Court for Child Support Services

- 02/25/2019 - Updated Child Support Guidelines Figures and Publication of the Child Support Standards Chart

- 04/02/2019 - Child Support Program Manual: Interstate Chapter

- 06/10/2019 - Special Collection - Alaska Permanent Fund Dividend

- 06/25/2019 - Child Support Program Manual - Financial Investigations and Property Execution Chapters

- 06/26/2019 - Process Year 2020 Tax Refund Offset Delete Certified for Offset Values

- 07/24/2019 - Notice to Recent Applicants and Current Recipients of Child Support Services of Increase in Annual Service Fee

- 08/02/2019 - Child Support Program Manual - Support Establishment and Personal Injury Claims Chapters

- 08/15/2019 - Department of Motor Vehicles License Suspension Law Extended

- 08/16/2019 - Notification Process for Incarcerated Noncustodial Parents

- 09/17/2019 - Chapter 313 of the Laws of 2019

- 11/01/2019 – Electronic Income Withholding Orders – Employer Acknowledgment File Processing Enhancements

- 11/05/19 – Adoption of New York State Regulatory Amendments – Income Withholding

- 11/25/19 – ECS Enhancement – Returned Deposit Items Report

- 11/25/19 – Revised Procedures – Walk In Payments related to Collection Actions taken by New York State Department of Taxation and Finance

- 12/16/19 – Short Form Application for Child Support Services in Connection with an Application for a Divorce

OAH Transmittals

19-03 New FHIS Coding for 1915c Children’s Waiver and New Agency, CYES for Children and Youth Evaluation Service

19-02 New FHIS Agencies and Coding for Health Homes

19-01 Personal Appearance Waiver Instructions

2018

ADMs

18-ADM-09 Supplemental Nutrition Assistance Program (SNAP) Able Bodied Adults Without Dependents (ABAWDs) Policy Update and Guidance on the New 36-Month Time Period

18-ADM-08 Change to the Minimum Durational Sanction Periods for Supplemental Nutrition Assistance Program (SNAP) Employment Sanctions

18-ADM-07 Able-Bodied Adults Without Dependents (ABAWD) Work Activity Letter

18-ADM-06 Unclaimed Child Support Funds

18-ADM-05 30% Income Contribution for Individuals Diagnosed with Acquired Immune Deficiency Syndrome (AIDS) or Human Immunodeficiency Virus (HIV) and Changes to Maximum Amounts Allowed for Emergency Shelter Allowances (ESA)

18-ADM-04 2018-19 Flexible Fund for Family Services (FFFS)

18-ADM-03 Workforce Innovation and Opportunity Act (WIOA) Local Memorandum of Understanding Guidance and Templates

18-ADM-02 Temporary Assistance Budgeting: 2018 Earned Income Disregard and Poverty Level Test

18-ADM-01 Integrated Eligibility System (IES) Quick Win: Enhanced Social Security Number Validation Procedures for Applicants

LCMs

18-LCM-21 District Allocation

18-LCM-20 2018-2019 Home Energy Assistance Program (HEAP)

18-LCM-19 Child Support Incentives – Federal Fiscal Years 2016 and 2018

18-LCM-18 Referral of Persons Residing in Temporary Housing to Health Homes Services

18-LCM-17 Claiming Deadlines for Federal and State Reimbursement

18-LCM-16 2018-2019 Home Energy Assistance Program (HEAP) Early Mail Out Process and Revised 2017-2018 HEAP Administrative Allocations

18-LCM-15 FFY 2018 Able-Bodied Adult Without Dependents (ABAWD) Pledge Fund Updated

18-LCM-14 Implementation of Administrative Directive 17-ADM-11: Questions and Answers

18-LCM-13 Noncustodial Parent Employment Program

18-LCM-12 Revised: 2017-18 Home Energy Assistance Program (HEAP) Programs Allocations

18-LCM-11 2018 New York State Summer Youth Employment Program Allocations

18-LCM-10-T Use and Safeguarding of Protected Information

18-LCM-10 Use and Safeguarding of Protected Information

18-LCM-09 SNAP Bonus Award Allocation

18-LCM-08 2017-18 Home Energy Assistance Program (HEAP) Cooling Assistance Component

18-LCM-07 2017-2018 Home Energy Assistance Program (HEAP) Additional Administrative Allocations

18-LCM-06 2017-18 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Benefit

18-LCM-05 Supplemental Nutrition Assistance Program Employment and Training Allocations – FFY 2018

18-LCM-04 Supplemental Nutrition Assistance Program Employment and Training (SNAP E & T) Dependent Care Requests for FFY 2017

18-LCM-03 2017-18 Home Energy Assistance Program Administrative Allocations and Program Allocations

18-LCM-02 Questions and Answers Regarding 17-ADM-08 “Background Investigations of Employees with Access to Federal Tax Information”

18-LCM-01 OTDA Contract with Medical Providers for Consultative Medical and Psychological Examinations and Intelligence Assessments

INFs

18-INF-17 2018 State Minimum Wage Increase and Its Effect on Temporary Assistance and Supplemental Nutrition Assistance Programs.

18-INF-16 Revisions to the LDSS-4826B Interview/Verification Guide for the LDSS-4826 Supplemental Nutrition Assistance Program (SNAP) Application/Recertification

18-INF-15 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2019 and Updated SSI and SSP Benefit Levels Chart

18-INF-14 Cost Avoidance (CA) Calculations for Program Integrity Initiatives

18-INF-13 Revisions to the Supplemental Nutrition Assistance Program (SNAP) Application/Recertification (LDSS-4826) (Rev. 2/18) and How to Complete the SNAP Application/Recertification and Applicant/Recipient Rights and Responsibilities (LDSS-4826A) (Rev. 2/18)

18-INF-12 Release of Work Pays Infographic and Factsheet

18-INF-11 Best Practice Guidance on the U. S. Department Housing and Urban Development’s (HUD) Coordinated Entry Process for Victims of Domestic Violence to Access Homeless Housing Resources

18-INF-10 Revisions to LDSS-4887 Mail-In Recert/Eligibility Questionnaire

18-INF-09 Temporary Assistance Policy: Questions and Answers

18-INF-08 2018 Summer Food Service Program (SFSP)

18-INF-07 Criminal Record Sealing Under Criminal Procedure Law § 160.59

18-INF-06 Supplemental Nutrition Assistance Program (SNAP) National Directory of New Hires (NDNH) Matches Added to Verified Employment Data (VED) Resource within Resource File Integration (RFI)

18-INF-05 Personal Needs Allowances (PNA) in Non-Medical and Medical Facilities Desk Aid

18-INF-04 Change in Internal Revenue Service Mileage Rates

18-INF-03 Digest of Laws of 2017 Relating to Programs of the Office of Temporary and Disability Assistance

18-INF-02 Changes in the Earned Income Tax Credit (EITC) and Summary of Other Available Federal and State Tax Credits for Tax Year 2017

GIS

12/31/18 - 18TA/DC051 – SSI COLA NYSNIP Standard Benefit Amount Adjustments

12/28/18 - 18TA/DC050 – Availability of Denial Reason Code H97 – Receiving HEAP on Another Case (UPSTATE ONLY)

12/28/18 - 18TA/DC049 – 2018-2019 Home Energy Assistance Program (HEAP) Emergency Benefit Component Opening

12/12/18 – 18TA/DC048 – Release of Revised LDSS-4310 “Periodic Report” and LDSS-4310A “Follow-Up to the Periodic Report”

12/10/18 - 18TA/DC047 – 2018-2019 Holiday Moratorium Schedule for New York State Public Service Commission (PSC) Regulated and Municipal Utility Companies

11/29/18 – 18TA/DC046 – Availability of a new SNAP E&T Cognos report: SNAP Budgeted Earned Income/Employment Schedule

11/21/18 – 18TA/DC045 – Release of Revised LDSS-3620/3620 NYC and LDSS-3621/3621 NYC

11/21/18 – 18TA/DC044 – “Important Information About What Changes You Must Report for Supplemental Nutrition Assistance Program (SNAP)”

11/20/18 – 18TA/DC043 – Release of Revised LDSS-3152 “Action Taken on Your Supplemental Nutrition Assistance Program (SNAP) Benefits Case” and LDSS-3152NYC “Action Taken on Your Supplemental Nutrition Assistance Program (SNAP) Benefits Case (NYC)”

11/19/18 – 18TA/DC042 – Federal Actions Regarding Temporary Protected Status Designations

11/15/18 – 18TA/DC041 – Processing TA Requests for Energy Emergencies

10/31/18 – 18TA/DC040 – 2018-2019 HEAP OSC Voucher Payment (UPSTATE ONLY)

10/19/18 - 18TA/DC039 – Home Energy Assistance Program (HEAP) Heating Equipment Repair and Replacement (HERR) Closing Date, and extension of the Heating Equipment Clean and Tune (C&T) component

10/19/18 - 18TA/DC038 REVISED – Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 2018 LDSS-5006 Notice to all SNAP Recipients

10/16/18 - 18TA/DC038 – Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 2018 LDSS-5006 Notice to all SNAP Recipients

10/10/18 - 18TA/DC037 – 2018-2019 HEAP OSC Voucher Creation and Payment (UPSTATE ONLY)

10/01/18 - 18TA/DC036 – Treatment of Hurricane Florence Evacuees Applying for Temporary Assistance (TA), Supplemental Nutrition Assistance Program (SNAP) and Medicaid

09/28/18 - 18TA/DC035 – Reminder: SNAP Claim Policy and Administration

09/25/18 - 18TA/DC034 – Release of Revised LDSS-4943 “Supplemental Nutrition Assistance Program (SNAP) Benefits Categorical Eligibility Desk-Aid”

09/25/18 - 18TA/DC033 – Able-Bodied Adults Without Dependents (ABAWD) Work Activity Letter

09/24/18 - 18TA/DC032 – 2018-2019 Home Energy Assistance Program Forms Ordering and Availability

09/17/18 - 18TA/DC031 – New Type of Office of Alcohol and Substance Abuse Services (OASAS) Certified Providers

08/30/18 - 18TA/DC030 – Roster of Good Cause Claims

08/30/18 - 18TA/DC029 – ‘NX’ Nominal HEAP Benefit (UPSTATE ONLY)

08/27/18 - 18TA/DC028 – Closing of the 2017-2018 Home Energy Assistance Program (HEAP) Cooling Assistance Component and deadline for 2017-2018 HEAP administrative funds

08/22/18 - 18TA/DC027 – Upstate and NYC – Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 2018

08/17/18 - 18TA/DC026 – Social Services Districts (districts) Interim Assistance Reimbursement (IAR) Responsibilities

08/07/18 - 18TA/DC025 – 2018-2019 Home Energy Assistance Program (HEAP) TA/SNAP Pre-Autopay Vendor Information Report (UPSTATE ONLY)

06/28/18 - 18TA/DC024 – SNAP 2018-19 Disaster Plan Local Emergency Contacts

06/28/18 - 18TA/DC023 – Clarification of Payment Dates for Congregate Care Level II Facilities

06/18/18 - 18TA/DC022 – Retention of Temporary Assistance Records

06/14/18 - 18TA/DC021 – Non-Assistance Payment Types for Authorization of Temporary Assistance (TA) Emergency or Immediate Needs (UPSTATE ONLY)

06/07/18 - 18TA/DC020 – Out-of-State SNAP Participation for Able-Bodied Adults Without Dependents (ABAWD) Tracking

06/06/18 - 18TA/DC019 – 2018-2019 Home Energy Assistance Program (HEAP) TA/SNAP Pre-Autopay Vendor Information Report (UPSTATE ONLY)

05/24/18 - 18TA/DC018 Social Services District Responsibility for Timely Submission of Voter Registration Forms

05/21/18 - 18TA/DC017 FFY 2018 Supplemental Nutrition Assistance Program (SNAP) Process Technology Improvement Grants

05/03/18 - 18TA/DC016 September 11th Victim Compensation Fund Reauthorization

04/30/18 - 18TA/DC015 Issuing Nonrecurring Temporary Assistance (TA) Emergency Payments on an Active Non-Temporary Assistance Supplemental Nutrition Assistance Program Case, an Active Medicaid Case or at the Time of a TA Application Denial (UPSTATE ONLY)

04/27/18 - 18TA/DC014 2017-18 Home Energy Assistance Program Regular and Emergency Benefit Components Closing Date

04/25/18 - 18TA/DC013 Systematic Alien Verification for Entitlements (SAVE) Program: Paperless Processing Update

04/06/18 - 18TA/DC012 \$21 Nominal HEAP Benefit Advance Payment

04/04/18 - 18TA/DC011 Supplemental Nutrition Assistance Program (SNAP) National Directory of New Hires (NDNH) Matches Added to Verified Employment Data (VED) Resource within Resource File Integration (RFI) (UPSTATE ONLY)

03/30/18 - 18TA/DC010 Home Energy Assistance Program Nominal Benefit Advance Payment

03/29/18 - 18TA/DC009 2018 – 2019 Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)

03/28/18 - 18TA/DC008 Loss of Food – March Snow Storms – USDA Approved Replacement (UPSTATE ONLY)

03/20/18 - 18TA/DC007 Important Notification about April 2018 State Supplement Program Payments

03/09/18 - 18TA/DC006 Loss of Food – March Storms (UPSTATE ONLY)

03/07/18 - 18TA/DC005 Release of Revised LDSS-4732B: “District of Fiscal Responsibility (DFR) Determination Worksheet”

02/16/18 - 18TA/DC004 200% of Poverty Income Standards Chart – June 1, 2018 through May 31, 2019

02/08/18 - 18TA/DC003 2017-18 Home Energy Assistance Program (HEAP) – Second Emergency Benefit and Revised Component Closing Dates

01/31/18 - 18TA/DC002 Closing of the 2016-2017 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Program

01/30/18 - 18TA/DC001 Reminder to Complete and Send LDSS-5069: “Biennial Accounting Letter” RE-ISSUED

DCLs (Child Support)

• 02/21/2018 Child Support Enforcement Network (CSENet) Updates

• 03/23/2018 Child Support Program Manual

• 07/02/2018 New Contract for Centralized Support Collection and Enforcement

• 08/27/2018 Implementation of the Revised Federal Income Withholding Order/Notice for Support

• 09/12/2018 E-Filing Petitions in ASSETS: New Manual

• 09/25/2018 Child Support Program Manual: Location Chapter

• 10/03/2018 Customer Service Workgroup Enhancement Phase 1 – : Referral Time Frame

OAH Procedures Transmittals

18-09 Revised Format Change to Agency Notices

18-08 Format Change to Agency Notices

18-07 Hearing Request Procedures for Members of the Fishman Retroactive Class

18-06 Abandonment Letter Retroactive Group

18-04 Agency: DOHT (Department of Health Transportation) Revised

18-03 New Agency: AMAX

18-02 Hearing Request Abandonment Procedures for Appellants with an MA or FIDA Code (Amended 16-09)

2017

ADMs

17-ADM-11-T Adoption of New York State Regulatory Amendments Impacting the Child Support Program (18 NYCRR § 347.8, et al.)

17-ADM-10 Online Distribution of Client Information Books LDSS-4148A, LDSS-4148B & LDSS-4148C

17-ADM-09 Continuation of Child Support Services to Former Foster Care Cases

17-ADM-08 Background Investigations of Employees with Access to Federal Tax Information

17-ADM-07 Adoption of New York State Regulatory Amendments Impacting the Child Support Program (18 NYCRR 347.3)

17-ADM-06 Mandatory Child Abuse and Maltreatment Reporting, Statewide Central Register and State Exclusion List Clearance, and Criminal History Background Check for Employees of Publicly-Funded Emergency Shelters for Families with Children

17-ADM-05 2017-18 Flexible Fund for Family Services (FFFS)

17-ADM-04 Emergency Shelter Operating Budgets and Per Diem Rate Submissions

17-ADM-03 Temporary Assistance Budgeting: 2017 Earned Income Disregard and Poverty Level Test

17-ADM-02 Storage of Furniture and Personal Belongings

17-ADM-01 Requirements for Able-Bodied Adults Without Dependents (ABAWDs)

LCMs

17-LCM-15 Automated Termination of Supplemental Nutrition Assistance Program (SNAP) Claims

17-LCM-14 2017-18 Home Energy Assistance Program (HEAP)

17-LCM-13 2018-2019 Biennial Temporary Assistance and Supplemental Nutrition Assistance Program (SNAP) Employment Plan

17-LCM-12 Establishing a Policy for the Use and Management of Mobile Devices by Local Departments of Social Services

17-LCM-11 Claiming Deadlines for Federal and State Reimbursement

17-LCM-10 Update to the Welfare-to-Work Caseload Management System Activity Referral Letter

17-LCM-09 Child Support Incentives - Federal Fiscal Years 2015 and 2017

17-LCM-08 2017-2018 Home Energy Assistance Program (HEAP) – Early Mail Out Process and Administrative Allocations

17-LCM-07 2016-2017 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Program

17-LCM-06 Supplemental Nutrition Assistance Program Employment and Training Allocations – FFY 2017

17-LCM-05 Prisoner Re-entry Pilot Program

17-LCM-04 2017 New York State Summer Youth Employment Program Allocations

17-LCM-03 2016-2017 Home Energy Assistance Program HEAP Cooling Assistance Component (CAC)

17-LCM-02-T Electronic Disqualified Recipient System (eDRS) Web Service for IPV Submission

17-LCM-01 Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) Dependent Care Requests for FFY 2016

INFs

17-INF-16 Revisions to the Supplemental Nutrition Assistance Program (SNAP) Application/Recertification (LDSS-4826) and How to Complete the SNAP Application/Recertification and Applicant/Recipient Rights and Responsibilities for SNAP (LDSS-4826A)

17-INF-15 State Minimum Wage Increase and Its Effect on Temporary Assistance and Supplemental Nutrition Assistance Programs

17-INF-14 Language Access for Individuals with Limited English Proficiency (LEP)

17-INF-13 Revisions to the Informational Letter Regarding Able-Bodied Adults Without Dependents (ABAWD) Requirements (LDSS-5072)

17-INF-12 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2018 and Updated SSI and SSP Benefit Levels Chart

17-INF-11 Revisions of the LDSS-3156, LDSS-3156NYC, LDSS-4053 and LDSS-4857

17-INF-10-T Revisions of the LDSS-4903, LDSS-4904 and LDSS-4906

17-INF-09 Introduction of LDSS-5091 "Lump Sum Worksheet" Form

17-INF-08 Summer Food Service Program (SFSP)

17-INF-07 Temporary Assistance Questions and Answers

17-INF-06 Change in Internal Revenue Service Mileage Rates

17-INF-05 Digest of Laws of 2016 Relating to Programs of the Office of Temporary and Disability Assistance

17-INF-03 Revised LDSS-4902 Supplemental Nutrition Assistance Program (SNAP) Standard Utility Allowance (SUA) Table

17-INF-01 Personal Needs Allowances (PNA) in Non-Medical and Medical Facilities Desk Aid

GIS

12/28/17 - 17TA/DC054 SSI COLA NYSNIP Standard Benefit Amount Adjustments

12/27/17 - 17TA/DC053 Release of Revised LDSS-4908 "Upstate Supplemental Nutrition Assistance Program (SNAP) Change Reporting Desk-Aid" (UPSTATE ONLY)

12/27/17 - 17TA/DC052 LDSS-5004 Revision

12/26/17 - 17TA/DC051 Release of Revised LDSS-4908NYC "NYC Supplemental Nutrition Assistance Program (SNAP) Change Reporting Desk-Aid" (NYC ONLY)

12/11/17 - 17TA/DC050 Home Energy Assistance Program (HEAP) Emergency Benefit Component Opening

12/11/17 - 17TA/DC049 2017-18 Holiday Moratorium Schedule for New York State Public Service Commission (PSC) Regulated and Municipal Utility Companies

12/06/17 - 17TA/DC048 Registering Users for the Social Security Administration (SSA) Government Services Online (GSO) Interim Assistance (IA) Application

11/21/17 - 17TA/DC047 Asylum Applicants with Employment Authorization Recognized as Permanently Residing Under the Color of Law (PRUCOL) for Safety Net Assistance (SNA)

11/15/17 - 17TA/DC046 Processing Temporary Assistance (TA) Requests for Energy Emergencies

11/13/17 - 17TA/DC045 2017-18 HEAP OSC Voucher Creation and Payment (UPSTATE ONLY)

11/10/17 - 17TA/DC044 Home Energy Assistance Program Regular Benefit Component Opening

11/06/17 - 17TA/DC043 Excessive Replacement Card Notices to Clients

10/27/17 - 17TA/DC042 Home Energy Assistance Program (HEAP) Heating Equipment Repair and Replacement Closing Date, and extension of the Heating Equipment Clean and Tune (HECAT) component

10/24/17 - 17TA/DC041 Requirements to enter "Highest Degree" on the Welfare Management System for Certain Non-Temporary SNAP Recipients (UPSTATE ONLY)

10/13/17 - 17TA/DC040 SNAP Budgeting of AmeriCorps State and National, AmeriCorps NCCC, and AmeriCorps VISTA payments

10/06/17 - 17TA/DC039 Treatment of Hurricane Harvey, Hurricane Irma and Hurricane Maria Evacuees Applying for Temporary Assistance (TA), Supplemental Nutrition Assistance Program (SNAP), and Medicaid

10/04/17 - 17TA/DC038 Release of Revised LDSS-4943 "Supplemental Nutrition Assistance Program (SNAP) Benefits Categorical Eligibility Desk-Aid"

09/26/17 - 17TA/DC037 Treatment of Hurricane Harvey and Hurricane Irma Evacuees Applying for SNAP 17TA/DC037

09/22/17 - 17TA/DC036 Further Guidance on the Inspections of Commercial Hotels/Motels

09/15/17 - 17TA/DC035 Update to the Override Process for Able Bodied Adults Without Dependents (ABAWDs)

08/24/17 - 17TA/DC034 Continuation of the Afghan and Iraqi Special Immigrant Visa Program

08/22/17 - 17TA/DC033 Supplementary Nature of New York Achieving a Better Life Experience (NY ABLE) Savings Accounts

08/21/17 - 17TA/DC032 Upstate and NYC – Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 2017

08/04/17 - 17TA/DC031 Changes in Local District Responsibilities When Transporting Homeless Students

07/21/17 - 17TA/DC030 Closing of the 2016-2017 Home Energy Assistance Program Cooling Assistance Component

07/10/17 - 17TA/DC029 Social Services District Responsibility for Timely Submission of Voter Registration Forms

06/28/17 - 17TA/DC028 SNAP Overpayment Claims Date of Discovery Policy Reminder

06/06/17 - 17TA/DC027 SNAP Disaster Plan Local Emergency Contacts

06/06/17 - 17TA/DC026 2017-2018 Home Energy Assistance Program (HEAP) TA/SNAP Pre-Autopay Vendor Information Reports (UPSTATE ONLY)

05/30/17 - 17TA/DC025 Follow-up to GIS 17 TA/DC015—SNAP Process and Technology Improvement Grants and Integrated Eligibility System (IES)

05/19/17 - 17TA/DC024 Revised EBT Forms: LDSS-5066 and LDSS-5004

05/19/17 - 17TA/DC023 Termination of Temporary Protected Status (TPS) for Guinea, Liberia and Sierra Leone

05/16/17 - 17TA/DC022 NYSEG; RG&E Email Restored (UPSTATE ONLY)

05/12/17 - 17TA/DC021 NYSEG; RG&E Email Outage (UPSTATE ONLY)

05/11/17 - 17TA/DC020 WINR4112 Pending Data Status Report Applications & Cases Pending Error Correction-Supervisory Signal-Other Data Status-SFED/T Entry Report (UPSTATE ONLY)

05/02/17 - 17TA/DC019 National Grid's Procedures for Elderly, Blind or Disabled Household Shut-Offs

04/25/17 - 17TA/DC018 Redesigned I-551 Permanent Resident Green Card and I-766 Employment Authorization Document (EAD)

04/21/17 - 17TA/DC017 Option to End a Temporary Assistance Employment Sanction Notice for Social Services Districts Outside of New York City

04/26/17 - 17TA/DC016 Release of LDSS-5089: "TASNAP Desk

Guide to Determining Qualification for Student Earned Income Exemption”

04/20/17 - 17TA/DC015 FFY 2017 Supplemental Nutrition Assistance Program (SNAP) Process and Technology Improvement Grants

04/17/17 - 17TA/DC014 Eligibility for Expedited Supplemental Nutrition Assistance Program Benefits for Certain Able Bodied Adults Without Dependents

04/11/17 - 17TA/DC013 2016-17 Home Energy Assistance Program (HEAP) Revised Program Allocations

04/07/17 - 17TA/DC012 Operations Plans 18 NYC RR Part 352.39

03/10/17 - 17TA/DC011 Important Notification about April 2017 State Supplement Program Payments

03/09/17 - 17TA/DC010 2016-17 Home Energy Assistance Program Regular and Emergency Benefit Components Closing Dates

03/03/17 - 17TA/DC009 Follow up on Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) Dependent Care Requests for FFY2016

02/21/17 - 17TA/DC008 SNAP IPV Submission to Electronic Disqualified Recipient System (eDRS)

02/13/17 - 17TA/DC007 200% of Poverty Income Standards Chart – June 1, 2017 through May 31, 2018

02/03/17 - 17TA/DC006 Changes to AIDS/HIV Definition that Affect Eligibility for the Emergency Shelter Allowance

02/01/17 - 17TA/DC005 Closing of the 2015-2016 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Program

01/30/17 - 17TA/DC004 2017-2018 Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)

01/05/17 - 17TA/DC003 Release of LDSS-5088 “IV-D Payment (Pass-Through) Mass Reauthorization (MRB/A)” Desk Guide (UPSTATE ONLY)

01/05/17 - 17TA/DC002 Upstate SSI COLA NYSNIP Standard Benefit Amount Adjustments (UPSTATE ONLY)

01/05/17 - 17TA/DC001 NYC SSI COLA NYSNIP Standard Benefit Amount Adjustments (NYC ONLY)

DCLs (Child Support)

- 12/19/2017 Interstate Case Processing – New/Revised UIFSA Forms

- 12/18/2017 Driver License Suspension Process – Frequency Issue

- 11/13/2017 Prevention of Property Execution for Social Security Benefits

- 11/02/2017 Check to Electronic Disbursement Enrollment Process Reinstatement

- 10/20/2017 Account Statement and Payment History Documents for Court Hearing Purposes

- 08/09/2017 Federal Reporting and Performance Training - Available Resources

- 07/28/2017 Department of Motor Vehicles License Suspension Law Extended

- 06/12/2017 Transition of Debit Card Services to Bank of America, NA (BOA)-Update

- 05/03/2017 Private Collection Agencies

- 05/02/2017 Program Manual Key User Group

- 04/25/2017 Transition of Debit Card Services to Bank of America, N.A.

- 04/14/2017 Child Support Processing Center Contract Extension and Vendor Name Change

- 02/01/2017 New Jersey Legislation - Termination of Child Support

- 01/03/2017 Hague Convention Forms and International Child Support Cases

OAH PROCEDURES TRANSMITTALS

17-01 New Issue Code for Administrative Disqualification Hearings - 467

17-03 New Agency SDRU

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ADMs

16-ADM-11 Temporary Housing Assistance: Consolidation and Clarification of Policy

16-ADM-10 Flexible Fund for Family Services (FFFS)

16-ADM-09 Temporary Assistance Policy: Change in the Vehicle Resource Exemption and Lump Sum Set-Aside

16-ADM-08 Alternative Format and Disability Accommodation Indicator Use

16-ADM-07 Change to Standard Utility Allowance (SUA) Policy mandated by Section 4006 of the Agriculture Act of 2014 – Final Policy

16-ADM-06 Expansion of Categorical Eligibility for Supplemental Nutrition Assistance Program (SNAP) Households with Earned Income

16-ADM-05 Change in Documentation Requirements for Independent Medical Evaluations of Employability

16-ADM-04 Temporary Assistance Budgeting: 2016 Earned Income Disregard and Poverty Level Test

16-ADM-03 Procedure for requesting Approval of Local Equivalent Forms

16-ADM-02 Refugee Cash and Medical Assistance Programs (RCA and RMA)

16-ADM-01 Supplemental Nutrition Assistance Program (SNAP) Employment Codes

LCMs

16-LCM-17 2016-17 Home Energy Assistance Program Administrative Allocations and Program Allocations

16-LCM-16 2016-17 Home Energy Assistance Program (HEAP)

16-LCM-15 Quarterly Fraud Report

16-LCM-14 Claiming Deadlines for Federal and State Reimbursement

16-LCM-13 2016-2017 Home Energy Assistance Program (HEAP) - Early Mail Out Process and Administrative Allocations

16-LCM-12 Revised LDSS-4958 “TA Sanction & Denial Policy/Participation Rate Impact Guide”

16-LCM-11 2015-16 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Program

16-LCM-10 Adoption of New York State Regulatory Amendments Impacting the Child Support and Temporary Assistance Programs

16-LCM-09 Revisions to the LDSS-2921, PUB-1301, LDSS-3174, PUB-1313, LDSS-4148A-C, LDSS-4826, LDSS-4826A, LDSS-4942, and LDSS-2291

16-LCM-08 Submission of TANF Claims/FFFS Plans

16-LCM-07 Child Support Incentives - Federal Fiscal Years 2014 and 2016

16-LCM-06 2016 New York State Summer Youth Employment Program Allocations

16-LCM-05-T 2015-2016 Home Energy Assistance Program (HEAP) Cooling Assistance Component (CAC)

16-LCM-04 Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) Allocations – FFY 2016

16-LCM-03 Revisions to the LDSS-4725: TANF Services Application/Certification Review Form; the LDSS-4726: TANF Services Application/Certification; and the LDSS-4770: TANF Youth Services Application

16-LCM-02 Establishing a Social Media Access Policy for Social Services Districts

16-LCM-01 Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) Dependent Care Requests for FFY 2015

INFs

16-INF-18 Social Security Administration (SSA) Cost-of-Living (COLA) for January 2017 and Updated SSI and SSP Benefit Levels Chart

16-INF-17 Revised LDSS-4942: SNAP Authorized Representative Request Form

16-INF-16 Revisions to the LDSS-4314 “SNAP Household Composition Desk Guide”

16-INF-15 Revisions to Manual Client Notices

16-INF-14 State Minimum Wage Increase and Its Effect on Temporary Assistance and Supplemental Nutrition Assistance Programs

16-INF-13 Revised LDSS-4826: “SNAP Application/Recertification” and LDSS-4826A “How to Complete Application/Recertification and Applicant/Recipient Rights and Responsibilities for SNAP”

16-INF-12 Temporary Assistance/Medicaid Policy: Impact of the Affordable Care Act on Temporary Assistance Applicants Also Applying for Medicaid and Introduction of – Tax Dependent Questions (Added to Application Form DSS-2921)

16-INF-11 Revisions of forms LDSS-4799 and LDSS-4799-NYC

16-INF-10 Eat Smart New York Nutrition Education Materials

16-INF-08 Summer Food Service Program (SFSP)

16-INF-07 Supplemental Nutrition Assistance Program Revised Publications-2016

16-INF-06 Local District Security Provisions for Hearing Officers

16-INF-05 Revised LDSS-3668: “Shelter Verification” Form

16-INF-04 Digest of Laws of 2015 Relating to Programs of the Office of Temporary and Disability Assistance

16-INF-03 Change in Internal Revenue Service Mileage Rates
GIS

12/28/16 – 16 TA/DC064 – Release of Revised LDSS-4943 “Supplemental Nutrition Assistance Program Benefits Categorical Eligibility Desk-Aid”

12/20/16 – 16 TA/DC063 Home Energy Assistance Program Emergency Benefit Component Opening

12/16/16 – 16 TA/DC062 – Social Services District Responsibility for Updating County Profile Information Found on CentraPort

12/13/16 – 16 TA/DC061 – Security Measures

12/12/16 – 16 TA/DC060 – 2016-17 Holiday Moratorium Schedule for NYS Public Service Commission (PSC) Regulated and Municipal Utility Companies

11/22/16 - 16 TA/DC059 Extension of the 2015 – 2016 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Program

11/10/16 - 15 TA/DC058 2016-17 HEAP OSC Payment File Transfer Schedule (Upstate Only)

11/09/16 - 16 TA/DC057 National Grid Website Access Issues

10/27/16 - 16TA/DC056 Grace Period for Able Bodied Adults Without Dependents (ABAWDs) Who Reestablish SNAP Eligibility by Meeting the ABAWD Requirement

10/26/16 - 16TA/DC055 Processing Temporary Assistance (TA) Requests for Energy Emergencies

10/18/16 - 16TA/DC054 National Grid Website Changes

10/14/16 - 16TA/DC053 Beneficiaries of Temporary Protected Status (TPS) Recognized as Permanently Residing Under the Color of Law (PRUCOL) for Safety Net Assistance (SNA)

10/13/16 - 16TA/DC052 SNAP Employment and Training Reporting Measures

09/09/16 - 16TA/DC051 Social Services District Responsibility for Timely Submission of Voter Registration Forms Prior to the General Election

08/25/16 - 16TA/DC050 Upstate and NYC-Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October, 2016

08/08/16 - 16TA/DC049 Inspections of Commercial Hotels/Motels Used for Temporary Housing

08/02/16 - 16TA/DC048 Eligibility to Participate in SNAP by Certain Cuban Nationals Under an Order of Supervision

08/01/16 - 16TA/DC047 Redesigned Common Benefit Identification Card (CBIC)

07/22/16 - 16TA/DC046 Closing of the 2015-2016 Home Energy Assistance Program Cooling Assistance Component

07/19/16 - 16TA/DC045 Elimination of Child Support Assignment of Rights Language Inserts

07/19/16 - 16TA/DC044 Clarification of ABAWD Status for SNAP Recipients Receiving Veterans Affairs Disability Compensation

07/14/16 - 16TA/DC043 Social Services District Responsibility for Submission of Voter Registration Forms Received via Electronically Submitted Applications

07/06/16 - 16TA/DC042 Contact Information for the Employment and Income Support Programs

07/06/16 - 16TA/DC041 Filipino World War II Veterans Parole Program (FWVP)

07/01/16 - 16TA/DC040 Client Notices System (CNS) Z95 (Continuing Your SNAP: Phone Recertification) language changes due to pagination changes (UPSTATE ONLY)

06/13/16 - 16TA/DC039 2016-17 Home Energy Assistance Program (HEAP) TA/SNAP Pre-Autopay Vendor Information Reports (UPSTATE ONLY)

06/10/16 - 16TA/DC038 Updated Forms for Re-Branding and USDA Nondiscrimination Statement

06/06/16 - 16TA/DC037 Consolidation of Cognos Reports in the Employment Programs Reports Folders (UPSTATE ONLY)

06/06/16 - 16TA/DC036 One-Time Process to Correct Certain ABAWD-Related Override Transactions

06/03/16 - 16TA/DC035 SNAP Disaster Plan Local Emergency Contacts

05/27/16 - 16TA/DC034 Extending Deadline for Entering ABAWD Override Transactions Associated with an ABAWD Exclusion for the First Quarter of Calendar Year 2016

05/26/16 - 16TA/DC033 Availability of New SNAP E & T Cognos Reports

05/17/16 - 16TA/DC032 Temporary Assistance (TA) and Supplemental Nutrition Assistance Program (SNAP) Policy Reminder Regarding Strikers

05/02/16 - 16TA/DC031 Temporary Assistance Policy: Change in the Vehicle Resource Exemption and Lump Sum Set-Aside

04/25/16 - 16TA/DC030 Availability of New Cognos Report: ABAWD Tracking Report

04/18/16 - 16TA/DC029 Systematic Alien Verification for Entitlements (SAVE) Program System Update

04/12/16 - 16TA/DC028 Override Process for Able Bodied Adults Without Dependents (ABAWDs)

04/07/16 - 16TA/DC027 Reminder– 2015-16 Home Energy Assistance Program Regular and Emergency Benefit Components Closing on April 8, 2016

04/07/16 - 16TA/DC026 SNAP E&T/ABAWD Exemption for Students Enrolled in High School

04/06/16 - 16TA/DC025 Electronic Disqualified Recipient System (eDRS)

04/01/16 - 16TA/DC024 Statewide Financial System Blackout Period (UPSTATE ONLY)

03/29/16 - 16TA/DC023 Approval of A6902B/S5283A – Requirement of State Agencies to Pay Small Businesses Within 15 Days of Receipt of an Invoice

03/21/16 - 16TA/DC022 Entering, Tracking and Reporting of Able Bodied Adults Without Dependents (ABAWD) Exclusions and ABAWDs Residing in a Jurisdictional Area with an Approved ABAWD Waiver for Calendar Year 2016

03/21/16 - 16TA/DC021 FFY 2016 Supplemental Nutrition Assistance Program (SNAP) Process and Technology Improvement Grants

03/16/16 - 16TA/DC020 Revised Client Notification System Alcohol and Substance Abuse Sanction Language

03/15/16 - 16TA/DC019 Electronic Disqualified Recipient System (eDRS)

03/11/16 - 16TA/DC018 2015-16 Home Energy Assistance Program

(HEAP) Regular and Emergency Benefit Components-Revised Closing Dates

03/10/16 - 16TA/DC017 2016-2017 Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)

03/09/16 - 16TA/DC016 Important Notification about April 2016 State Supplement Program (SSP) Payments

02/22/16 - 16TA/DC015 Migration of Supplemental Nutrition Assistance Program Employability and ABAWD Indicator Code Fields to the Welfare Management System

02/19/16 - 16TA/DC014 NYSEG and RG&E Website Security Enhancements (UPSTATE ONLY)

02/19/16 - 16TA/DC013 200% of Poverty Income Standards Chart June 1, 2016 through May 31, 2017

02/18/16 - 16TA/DC012 LDSS-5004 Revision

02/16/16 - 16TA/DC011 Revised – SNAP Treatment of Funds in On-Line “Crowdfunding” Accounts

02/03/16 - 16TA/DC010 Tracking and Reporting of Able Bodied Adults Without Dependents (ABAWD) Exclusions and ABAWDs Residing in a Jurisdictional Area with an Approved ABAWD Waiver for Calendar Year 2016 (UPSTATE ONLY)

02/01/16 - 16TA/DC009 Release of Revised LDSS-4884: “Emergency Energy Desk Guide”

01/27/16 - 16TA/DC008 New State On-Line Query System (SOLQ) Training Module

01/25/16 - 16TA/DC007 Issues with Cognos Biennial Accounting Report (UPSTATE ONLY)

01/22/16 - 16TA/DC006 Redesigned Common Benefit Identification Card (CBIC)

01/20/16 - 16TA/DC005 Home Energy Assistance Program (HEAP) Heating Equipment Repair and Replacement Closing Date

01/14/16 - 16TA/DC004 Increase in SNAP Gross Income Test Level for Households with Earnings

01/11/16 - 16TA/DC003 Availability of New Cognos Report: Biennial Accounting Report w/2 Attachments (UPSTATE ONLY)

01/08/16 - 16TA/DC002 Electronic Disqualified Recipient System (eDRS) (UPSTATE ONLY)

01/05/16 - 16TA/DC001 New Fair Hearing Notice Language – Availability of Policy Materials

DCLs (Child Support)

- 11/03/16 Guidance Document Regarding Money Judgments

- 10/14/16 Publication of Child Support Bank Reconciliation Guide

- 09/29/16 Guidance Document Regarding the Death of a Child or a Party to an Order of Support

- 09/28/16 Questions and Answers Document Regarding the Disclosure of Federal Tax Information in Court Proceedings

- 09/01/16 Adoption of New York State Regulatory Amendments – Income Withholding

- 08/22/16 Statewide Expansion of Electronic Disbursements of Child Support Payments

- 08/15/16 Enhancement to the Electronic Communication System in Support of the Debit Card Process

- 08/03/16 Banking Services Contact Update

- 07/08/16 Revised Procedures -- Walk-In Payments related to Collection Actions taken by the New York State Department of Taxation and Finance

- 07/08/16 New Banking Services Contract in Support of Centralized Support Collection and Enforcement

- 06/28/16 Preparing Account Documents and Payment Records for Court Hearings in Compliance with IRS Publication 1075 Requirements

- 05/31/16 New Data Match with New York State and Local Retirement System

- 03/09/16 Revised Wage and Health Benefit Report and Automated Generation Process

- 03/07/16 Addendum to Family Court Support Petition to Request Child Support Services

- 03/02/16 Changes Related to Aging Parameters and Overage Statuses Report

- 02/09/16 Update on Federal Case Registry Misidentified Participant Application

- 01/21/16 Use of Worker Alerts for Caseload Management

- 01/21/16 Child Support Processing Center Contract Extension

OAH PROCEDURES TRANSMITTALS

16-11 Instructions Regarding 16-ADM-11

16-09 Fishman v. Daines Litigation Procedures (Amended 16-02)

16-08 Rafferty v. Doar Alternative Format Documents

16-07 Video Hearing Procedures

16-06 Review of Disqualification Consent Agreement (DCA) and New Issue Codes 170 and 443

16-05 Fair Hearing Decision Transmittal and Summary Page

16-04 Ramirez - Language Access Insert with Correspondence

16-03 Supplemental Nutrition Assistance Program (SNAP) Adjudgments

16-02 Fishman v. Daines Litigation Procedures (Amended 13-01)

16-01 Access to Policy Documents to Prepare for a Fair Hearing

2015

ADMs

15-ADM-09 Return of Interim Assistance Reimbursement (IAR) Funds Incorrectly Collected from the Social Security Administration (SSA)

15-ADM-08 Child Support Security Awareness Training

15-ADM-07 Arrears Pilot Initiative to Improve Child Support Compliance

15-ADM-05-T Recovery of Liens and Requirement to Provide Biennial Accounting

15-ADM-04 The Modified Mini Screen (MMS) Mental Health Screening Tool

15-ADM-03 Flexible Fund for Family Services (FFFS)

15-ADM-02 Temporary Assistance Budgeting: 2015 Earned Income Disregard and Poverty Level Test

15-ADM-01 State Supplement Program (SSP) Recovery of Equivalent Benefits (REB) Policy and Procedures

LCMs

15-LCM-22 Home Energy Assistance Program Administrative Allocations and Program Allocations

15-LCM-21 Supplemental 100% SNAP Employment and Training Allocations – FFY 2015

15-LCM-20-T Clarification of Drug/Alcohol Change in Level of Care and Determining Compliance

15-LCM-19 Electronic Disqualified Recipient System (eDRS) Web Service

15-LCM-18 2016-2017 Biennial Temporary Assistance and Supplemental Nutrition Assistance Program (SNAP) Employment Plan

15-LCM-17 2015-2016 Home Energy Assistance Program (HEAP)

15-LCM-16 Establishing a Social Media Access Policy for Social Services District Investigators

15-LCM-15 Temporary Assistance Questions and Answers

15-LCM-14 2015-2016 Home Energy Assistance Program (HEAP) – Early Mail Out Process and Administrative Allocations

15-LCM-13 Revisions to the LDSS-4925: “Employability Code Desk Guide TANF and SN MOE” and LDSS-4926: “Employability Code Desk Guide SN Non-MOE”

15-LCM-12 Claiming Deadlines for Federal and State Reimbursement

15-LCM-11 Child Support Incentives – Federal Fiscal Years 2013 and 2015

15-LCM-10 Revisions to the LDSS-4923: “TANF and SNA MOE

Work Activities Countability Desk Guide” and LDSS-4924: SNA Non-MOE Work Activities

15-LCM-09 Supplemental Nutrition Assistance Program (SNAP) Revised Civil/Human Rights Complaint Procedures

15-LCM-08 Supplemental Nutrition Assistance Program Employment and Training (SNAP E & T) Allocations – FFY 2015

15-LCM-07 2015 New York State Summer Youth Employment Program Allocations

15-LCM-06 Deactivation of SNAP Debts in the Treasury Offset Program (TOP) for payment received

15-LCM-05 Submission of TANF Claims/FFFS Plans

15-LCM-04 Noncustodial Parent (NCP) Employment Program

15-LCM-03 2014-2015 Home Energy Assistance Program (HEAP) Cooling Assistance Component (CAC)

15-LCM-02 Revisions to LDSS-4004

15-LCM-01 Records Access

INFs

15-INF-10 Social Security Administration (SSA) Cost of Living (COLA) for January 2016 and updated SSI and SSP Benefit Levels Chart

15-INF-09 State Minimum Wage Increase and Its Effect on Temporary Assistance (TA) and Supplemental Nutrition Assistance Program (SNAP)

15-INF-08 Supplemental Nutrition Assistance Program (SNAP) Data Collection and Reporting Requirements Related to Racial and Ethnic Data

15-INF-07 Investigative Unit Operations Plan (Revised)

15-INF-06 Summer Food Service Program (SFSP)

15-INF-05 Revised LDSS-3938 and LDSS-3938 NYC: “Supplemental Nutrition Assistance Program (SNAP) Application Expedited Processing Summary Sheet”

15-INF-04 Digest of Laws of 2014 Relating to Programs of the Office of Temporary and Disability Assistance

15-INF-02 Change in Internal Revenue Service Mileage Rates

GIS

12/22/15 - 15TA/DC057 HEAP Emergency Benefit Component Opening

12/16/15 - 15TA/DC056 HEAP and TA Implications of the 2015-16 Utility Termination Moratorium Schedule for NYS PSC Regulated and Municipal Utility Companies

12/10/15 - 15TA/DC055 Biennial Accounting for Liens and Child Support Recoveries

12/02/15 - 15TA/DC054 ABAWD Waiver Status and One-Time Mailing of ABAWD Status Notification Letter (UPSTATE ONLY)

12/01/15 - 15TA/DC053 Safety Net Assistance (SNA) 45-Day Application Period During a Leap Year

11/24/15 - 15TA/DC052 Changes to the LDSS-760 “Bank Inquiry and Clearance Report Agency Completed”

11/19/15 - 15TA/DC051 Unlinked Casekeys and On Hold/Deleted SNAP and Cash Payments on EBT

11/13/15 - 15TA/DC050 Electronic Disqualified Recipient System (eDRS)

11/12/15 - 15TA/DC049 2015-16 HEAP NYS Office of State Comptroller (OSC) Payment File Transfer Schedule (UPSTATE ONLY)

11/09/15 - 15TA/DC048 Processing Temporary Assistance (TA) Requests for Energy Emergencies

11/04/15 - 15TA/DC047 Re-issuance of 15-ADM-06 (15-ADM-06-T) Temporary Housing Assistance Consolidation and Clarification of Policy

10/30/15 - 15TA/DC046 Refugee Form I-94 Arrival/Departure Record Automation

10/26/15 - 15TA/DC045 Alternative Formats and Rafferty v. OTDA, DOH, HRA, et. al Settlement

10/20/15 - 15TA/DC044 Electronic Disqualified Recipient System (eDRS)

10/02/15 - 15TA/DC043 Home Energy Assistance Program (HEAP) Manual

10/02/15 - 15TA/DC042 Federal Government Shutdown Averted

09/25/15 - 15TA/DC041 Potential Federal Government Shutdown and SNAP (Supplemental Nutrition Assistance Program) Benefits

09/25/15 - 15TA/DC039 Statewide Financial System (SFS) Blackout Period affecting Home Energy Assistance Program (HEAP) vendor payments (UPSTATE ONLY)

09/14/15 - 15TA/DC038 Reminder to Disregard Certain SNAP E&T Sanctions from the SNAP E&T Sanction Progression

09/14/15 - 15TA/DC037 Important Notification about October 2015 SSP Payments

09/09/15 - 15TA/DC036 Changes to National Grid’s Procedures for Elderly, Blind or Disabled Households (UPSTATE ONLY)

08/28/15 - 15TA/DC035 Validation of Social Security Numbers

08/25/15 - 15TA/DC034 Upstate and NYC-Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 2015

08/24/15 - 15TA/DC033 Closing of the 2014-2015 Home Energy Assistance Program Cooling Assistance Component

08/14/15 - 15TA/DC032 Electronic Benefit Transfer (EBT) Outage

08/04/15 - 15TA/DC031 2015-2016 Home Energy Assistance Program (HEAP) TA/SNAP Pre-Autopay Vendor Information Reports

08/04/15 - 15TA/DC030 Excessive Replacement Card Letter to Clients

07/24/15 - 15TA/DC029 Temporary Cessation of System Generated CNS Notices to Shelter, Fuel and/or Utility Vendors

07/02/15 - 15TA/DC028 Revised State Verification and Exchange System (SVES) and State Online Query (SOLQ) Manual

06/15/15 - 15TA/DC027 EBT Forms Ordering. LDSS 5066 and LDSS 5004.

06/12/15 - 15TA/DC026 Change to the Address for the Guide Dog Food Coordinator on the LDSS 3087, “Application/Recertification Guide Dog Food Program.” (NYC ONLY)

06/08/15 - 15TA/DC025 2015-2016 Home Energy Assistance Program (HEAP) TA/SNAP Pre-Autopay Vendor Information Reports (UPSTATE ONLY)

06/05/15 - 15TA/DC024 SNAP Disaster Plan Local Emergency Contacts

06/03/15 - 15TA/DC023 Rafferty v. OTDA, DOH, HRA, et. al Settlement and Alternate Format Materials for the Visually Impaired

05/29/15 - 15TA/DC022 2014-2015 Home Energy Assistance Program (HEAP) Pending Report Closing (UPSTATE ONLY)

05/12/15 - 15TA/DC021 Restoration of SFARS (Specialized Fraud and Abuse Reporting System) Database and Reports

05/06/15 - 15TA/DC020 2014-15 Home Energy Assistance Program (HEAP) Revised Program Allocations (UPSTATE ONLY)

05/06/15 - 15TA/DC019 FFY 2015 Supplemental Nutrition Assistance Program (SNAP) Process and Technology Improvement Grants

05/05/15 - 15TA/DC018 Removal of Gender Field from Common Benefit Identification Card (CBIC)

04/23/15 - 15TA/DC017 Clarification of Affixed SSDs Representative’s Signature on Interim Assistance Reimbursement Authorizations

04/02/15 - 15TA/DC016 No-Heat Referrals to NYSEDA Emergency Power Program

03/26/15 - 15TA/DC015 Statewide Financial System Blackout Period - HEAP Implications

03/26/15 - 15TA/DC014 2014-15 Home Energy Assistance Program Regular and Emergency Benefit Components Closing Date

03/24/15 - 15TA/DC013 2015-16 Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)

03/12/15 - 15TA/DC012 Calculation of Utility Arrears When TA, HEAP and/or Customer Payments Have Been Made

03/11/15 - 15TA/DC011 Additional Home Energy Assistance Program (HEAP) Administrative Funding

03/06/15 - 15TA/DC010 2014-15 Home Energy Assistance Program (HEAP) – Second Emergency Benefit and Revised Closing Dates

03/05/15 - 15TA/DC009 Important Notification about April SSP Payments

03/05/15 - 15TA/DC008 New Haitian Family Reunification Parole (HFRP) for SNAP Benefits

02/24/15 - 15TA/DC007 Third-party Application (App) for Android phones offering free EBT balance information

02/24/15 - 15TA/DC006 SNAP Closing Reason Code “M12” (UP-STATE ONLY)

02/24/15 - 15TA/DC005 200% of Poverty Income Standards Chart-June 1, 2015 through May 31, 2016

02/06/15 - 15TA/DC004 Additional Update on SNAP Applications submitted through Intuit (Turbo Tax)

02/03/15 - 15TA/DC003 Update on SNAP Applications submitted through Intuit (Turbo Tax)

01/21/15 - 15TA/DC002 SNAP Applications submitted through Intuit (Turbo Tax)

01/07/15 - 15TA/DC001 Home Energy Assistance Program (HEAP) Heating Equipment Repair and Replacement Closing Date

DCLs (Child Support)

- 12/22/15 Biennial Accounting of Recoveries for Real Property Liens

- 11/5/15 Chapter 387 of the Laws of 2015: Alimony or Spousal Support, Parental Income and Child Support Obligations

- 10/19/15 Banking Services Contract Extension

- 10/8/15 15-ADM-07 Arrears Pilot Initiative to Improve Child Support Compliance

- 10/7/15 Amendment to Social Services Law § 111-i and Adoption of the 2008 Amendments to the Uniform Interstate Family Support Act

- 10/2/15 Revisions to the Direct Deposit Enrollment Form and Direct Deposit Cancellation Form

- 9/15/15 Change to Noncustodial Parent Medical Execution Cover Notice

- 8/24/15 Statewide Arrears Pilot Program—Solicitation of District Participation

- 7/29/15 Federal Interstate Case Reconciliation Data Match

- 7/16/15 Department of Motor Vehicles License Suspension Law Extended

- 6/8/15 Lottery Prize Intercept Process Changes

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- 5/15/15 Account Documents for a Court Proceeding Scheduled in Another County

- 4/16/15 Changes to Non-IV-D Services

- 3/23/15 Increase in Volume of Cost of Living Adjustments for March 2015

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14-ADM-05 Automated Information Exchange Agreement between OTDA, OCFS, DOH and DOL-Unemployment Insurance Benefit Information

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- 14-INF-16 Notice of Pending SNAP Application

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- 14-INF-13 Transportation Guidance

- 14-INF-12 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2015 and updated SSI and SSP Benefit Levels Chart

- 14-INF-11 Social Services District Monitoring Responsibilities for Access to and Usage of Unemployment Information

- 14-INF-10 The Treatment of Veterans Aid and Attendance (VA AA) benefits for SNAP

- 14-INF-09-T Cost Avoidance Calculations for Program Integrity Initiatives

- 14-INF-08 Summer Food Service Program (SFSP)

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- 14-INF-05 Resource File Integration (RFI) Policy and Procedures

- 14-INF-04 Change in Internal Revenue Service Mileage Rates

- 14-INF-02 Digest of Laws of 2013 Relating to Programs of the Office of Temporary and Disability Assistance

- 14-INF-01 Revision to LDSS 4418 Acknowledgement of Paternity Form

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 11/26/14 - 14TA/DC052 State On-Line Query (SOLQ) System Expansion and Changes
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 10/20/14 - 14TA/DC044 Treatment of Family Tax Relief & Property Tax Relief Credits: TA, SNAP and HEAP Policy Implications
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 • 04/30/2014 Driver License Suspension Process—Systems Fixer to Update Aged DMV Indicators of U01 for Resubmission
 • 04/25/2014 New COLD Report for CSENet Annual Notice of Overdue Support
 • 03/06/2014 Information from the Department of Health about NY State of Health Notices
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- 02/04/2014 Planned Data Collection Activities on ASSETS and the Child Support Website
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- 13-ADM-04 SNAP Reactivation Waiver
- 13-ADM-03 Temporary Assistance Budgeting: 2013 Changes to the Earned Income Disregard and Poverty Level Test
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- 13-LCM-16 2013-14 Home Energy Assistance Program—Administrative Allocations and Program Allocations
- 13-LCM-15 Document Packet for Fair Hearings Related to Interim Assistance Reimbursement (IAR)
- 13-LCM-14 2013-14 Home Energy Assistance Program
- 13-LCM-12 2014-2015 Biennial Temporary Assistance and Supplemental Nutrition Assistance Program (SNAP) Employment Plan
- 13-LCM-11 2013-14 Home Energy Assistance Program-Early Mail Out Process and Administrative Allocations
- 13-LCM-10 Supplemental Nutrition Assistance Program Employment and Training Allocations-FFY 2013
- 13-LCM-09 Revisions to LDSS-2859, Information Transmittal
- 13-LCM-08 Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) Dependent Care Requests for FFY 2013
- 13-LCM-07 Reporting Requirements under the Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- 13-LCM-06 Supplemental Nutrition Assistance Program (SNAP) Civil/Human Rights Complaint
- 13-LCM-05 Claiming Deadlines for Federal and State Reimbursement
- 13-LCM-04 Child Support Incentives-Federal Fiscal Years 2011 and 2013
- 13-LCM-03 Submission of TANF Claims/FFFS Plans
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- 13-INF-08 State Minimum Wage Increase and Its Effect on Temporary Assistance (TA) and Supplemental Nutrition Assistance Program (SNAP)
- 13-INF-07 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2014 – SSI Benefit Levels Chart
- 13-INF-05 Mandatory Supplemental Nutrition Assistance Program (SNAP) Right to File Poster-LDSS-4995
- 13-INF-04 Summer Food Service Program
- 13-INF-03 CBIC Photos for NTA-SNAP Cardholders
- 13-INF-02 Revisions to the LDSS 4310 “Periodic Report” and the LDSS 4310A “Follow-up to the Periodic Report”
- 13-INF-01 Changes in the Earned Income Tax Credit (EITC) and provide SSDs a summary of other available federal and state tax credits for Tax Year 2012
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- 12/30/13 13TA/DC056 Expiration of the Emergency Unemployment Compensation (EUC) Program

- 12/27/13 13TA/DC055 Home Energy Assistance Program Emergency Benefit Component Opening
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- 12/17/13 13TA/DC053 Home Energy Assistance Program (HEAP) and Temporary Assistance (TA) Implications of the 2013-14 Utility Termination Moratorium Schedule for New York State Public Service Commission (PSC) Regulated and Municipal Utility Companies
- 12/17/13 13TA/DC052 Social Services District Responsibility for Updating Specific Information, including Out of District/State inquiries, found on the OTDA Intranet and CentraPort
- 12/05/13 13TA/DC051 Home Energy Assistance Program (HEAP) Payment Information (UPSTATE ONLY)
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- 11/15/13 13TA/DC049 Home Energy Assistance Program (HEAP) Manual
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- 11/14/13 13TA/DC047 State On-Line Query (SOLQ) System Changes
- 11/04/13 13TA/DC046 Supportive Services for Veteran Families Program
- 10/25/13 13TA/DC045 Release of Revised Version of the Previous PUB-4792 “Will You Receive Food Stamp Benefits after Cash Assistance Ends?”
- 10/24/13 13TA/DC044 Release of Revised LDSS-4943 “Supplemental Nutrition Assistance Program (SNAP) Benefits Categorical Eligibility Desk-Aid”
- 10/24/13 13TA/DC043 Clarification of SNAP Policies Regarding Homeless Including Homeless Youth
- 10/21/13 13TA/DC042 Food/Non-Food Guidelines for the “Financial Statement” (LDSS-3596) for Utility Assistance
- 10/18/13 13TA/DC041 End of Federal Government Shutdown
- 10/07/13 13TA/DC040 Federal Government Shutdown - Granting Good Cause for Inability to Apply for Social Security Card(s)
- 10/07/13 13TA/DC039 New York State Energy Research and Development Authority’s EmPower New York Assistance for Summer 2013 Flooding and Superstorm Sandy
- 10/03/13 13TA/DC038 November 1, 2013 Expiration of Federal American Recovery and Reinvestment Act (ARRA) Temporary Increase to SNAP Benefits
- 09/30/13 13TA/DC037 Impact on OTDA Programs of Potential Federal Government Shutdown
- 09/23/13 13TA/DC036 Change in Form Number for PUB-4596 “EBT How to Use Your Benefit Card to Get SNAP and/or Cash Benefits” to LDSS-5004
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- 09/11/13 13TA/DC033 Protocols for HEAP Alternate Certifiers and myWorkspace Access for Alternate Certifiers (UPSTATE ONLY)
- 08/27/13 13TA/DC032 Release of Revised LDSS-548 “Budget Worksheet - Temporary Assistance”
- 08/20/13 13TA/DC031 Upstate and NYC Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 2013
- 08/19/13 13TA/DC030 Excessive Replacement Card Letter to Clients
- 07/08/13 13TA/DC029 Temporary Assistance (TA) and Supplemental Nutrition Assistance Program (SNAP) Computer Matches: Incarcerated Clients
- 07/08/13 13TA/DC028 Extension to Deadline Reporting Loss of Food Purchased with SNAP Benefits Due to June 2013 Flooding (UPSTATE ONLY)

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03/20/13 13TA/DC012 200% Poverty Income Standards Chart - June 1, 2013 through May 31, 2014

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• 08/02/2013 Revisions to DMV and DTF Important Notices Sent to Noncustodial Parents

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• 12-ADM-08 Elimination of Finger Imaging Requirements for Purposes of the Supplemental Nutrition Assistance Program (SNAP)

• 12-ADM-07 Supplemental Nutrition Assistance Program (SNAP)-New Name for the Food Stamp Program

• 12-ADM-06 2012-13 Flexible Fund for Family Services (FFFS)

• 12-ADM-05 2012 Temporary Assistance Basic Allowance Increase

• 12-ADM-04 New York State Parolees and Temporary Assistance/Temporary Housing Assistance District of Fiscal Responsibility (DFR) Policy

• 12-ADM-03 Information about Child Support Services and Application/Referral for Child Support Enforcement Services (LDSS-4882)

• 12-ADM-02 Temporary Assistance Budgeting: 2012 Changes to the Earned Income Disregard and Poverty Level Test

• 12-ADM-01 Requirement to Make Information Available to Non-Parent Caregivers relating to Available Services and Assistance Programs

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• 12-LCM-14 Claiming Deadlines for Federal and State Reimbursement

• 12-LCM-13 Results of the Federal Fiscal Year 2011 Data Reliability Audit and Procedures to Prevent Deficiencies

• 12-LCM-12 2012-13 Home Program Summary

• 12-LCM-11 Transportation Initiative

• 12-LCM-10 2012-13 Home Energy Assistance Program-Administrative Allocations and Program Allocations

• 12-LCM-09 Supplemental 100% SNAP Employment and Training Allocations -FFY 2012

• 12-LCM-08 2012-13 Home Energy Assistance Program-Early Outreach Process and Administrative Allocations

• 12-LCM-07 Food Stamp Employment and Training Allocations-FFY 2012

• 12-LCM-06 Continuation of OTDA Contract with Medical Providers for Consultative Medical and Psychological Examinations and Intelligence Assessments

• 12-LCM-05 Submission of TANF Claims/FFFS Plans

• 12-LCM-04 Child Support Incentives-Federal Fiscals Years 2010 and 2012

• 12-LCM-03 2012 Summer Youth Employment Program Allocations

• 12-LCM-02 Use of Food Stamp Employment and Training (FSET) Funds for Dependent Care Expenses

• 12-LCM-01 Claiming Deadlines for Federal and State Reimbursement

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- 12-INF-17 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2013 – SSI Benefit Levels Chart
- 12-INF-16 Digest of Laws of 2012 Relating to Programs of the Office of Temporary and Disability Assistance
- 12-INF-15 Revision to LDSS-4887 Mail-in Recert/Eligibility Questionnaire
- 12-INF-14 Supplemental Nutrition Assistance Program Policy-Student Eligibility (Replaces 11-INF-06)
- 12-INF-13 Guidance on Use of Enhanced WMS Cross-System Clearance Process and New Statewide Clearance Report
- 12-INF-12 PUB-4916 (Rev. 12/11): Helping Hands for People in Need Brochure (No Longer Required)
- 12-INF-11 Availability of New Forms LDSS-4882 (7/12): Information about Child Support Services and Application/Referral for Child Support Services; LDSS-4882A (7/12): Information about Child Support Services; LDSS-4882B (7/12): Information for an Additional Noncustodial Parent (NCP)/Putative Father (PF); and LDSS-4882C (7/12): Information for an Additional Child
- 12-INF-10 Internal Revenue Service Mileage Reimbursement Rate
- 12-INF-09 Summer Food Service Program
- 12-INF-08 The Treatment of Subsidized Employment as Earned Income for the Food Stamp Program
- 12-INF-07 Revised LDSS-4403: “Determination of Eligibility for Emergency Assistance to Families (EAF)”
- 12-INF-06 Food Stamp Program Clarification of required Documentation/Verification
- 12-INF-05 Clarification of Food Stamp Policy for Claims Established as a Result of a Court Ordered Restitution & Revision of FS Recoupment Data Entry Form-WMS LDSS-3513 NYC
- 12-INF-03 Temporary Assistance (TA) and Medicaid (MA) Benefits for Infants Residing with their Incarcerated Mothers
- 12-INF-01 Lottery Intercept Match (LIM) for Temporary Assistance Recipients
- GIS Messages
- 12/31/12 12TA/DC040 HEAP Initial and Ongoing Daily Mass Authorization Process (UPSTATE ONLY)
- 12/28/12 12TA/DC039 Opening of the 2012-13 HEAP Emergency Benefit Component
- 12/21/12 12TA/DC038 Second Extension of Timeframe for Allowing SNAP Purchase of Hot and Prepared Foods at Authorized FNS Retailers in Counties Impacted by Hurricane Sandy
- 12/19/12 12TA/DC037 Correction to the LDSS-4887: “Mail-In Recert/Eligibility Questionnaire”
- 12/13/12 12TA/DC036 HEAP and TA Implications for the 2012-13 Utility Termination Schedule for NYS PSC Regulated and Municipal Utility Companies
- 12/04/12 12TA/DC035 Temporary Suspension of Supplemental Nutrition Assistance Program Employment and Training (SNAP&T) Sanctions
- 12/03/12 12TA/DC034 2012-13 Home Energy Assistance Program (HEAP) Payment Information
- 11/26/12 12TA/DC033 Extension of Timeframe for Allowing SNAP Purchase of Hot and Prepared Foods at Authorized FNS Retailers in Counties Impacted by Hurricane Sandy
- 11/20/12 12TA/DC032 Processing Temporary Assistance (TA) Requests for Energy Emergencies
- 11/16/12 12TA/DC031 Exemption of Disaster Unemployment Insurance (DUA)
- 11/16/12 12TA/DC030 Restored EBT Availability
- 11/16/12 12TA/DC029 Availability of Emergency Manual Vouchers for SNAP During Continued Outage of EBT
- 11/16/12 12TA/DC028 Availability of EBT
- 11/15/12 12TA/DC027 NY Youth Works Program TA Budgeting/Eligibility Implications and Reporting Requirements

- 11/14/12 12TA/DC026 Temporary Assistance Programs for Emergencies Resulting from Superstorm Sandy
- 11/13/12 12TA/DC025 Extension of Certification Periods for SNAP and TA Households Impacted by Hurricane Sandy (UPSTATE ONLY FOR SELECTED COUNTIES)
- 11/09/12 12TA/DC025 Extension of Certification Periods for SNAP and TA Households Impacted by Hurricane Sandy (NYC ONLY)
- 11/06/12 12TA/DC024 Waiver Approval to Allow SNAP Purchase of Hot and Prepared Foods at Authorized FNA Retailers in the following areas affected by Hurricane Sandy: New York City, and the counties of Nassau, Orange, Putnam, Rockland, Sullivan, Suffolk, and Westchester
- 11/06/12 12TA/DC023 Mass Authorization for Replacement of 50% SNAP October Benefits (UPSTATE ONLY)
- 11/06/12 12TA/DC023 Mass Authorization for Replacement of 50% SNAP October Benefits (NYC ONLY)
- 11/02/12 12TA/DC022 Extension to Deadline for Reporting Loss of Food Purchased with SNAP Benefits due to Hurricane Sandy (UPSTATE ONLY)
- 11/02/12 12TA/DC022 Extension to Deadline for Reporting Loss of Food Purchased with SNAP Benefits due to Hurricane Sandy (NYC ONLY)
- 10/29/12 12TA/DC021 Disaster Preparedness for Hurricane Sandy
- 10/01/12 12TA/DC020 Income Eligibility Verification System (IEVS) 1099 Processing - Revised Procedure and IEVS Contact List
- 09/07/12 12TA/DC019 Participation of 18-21 Year Olds in NYSNIP
- 08/22/12 12TA/DC018 Upstate - Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 1, 2012 (UPSTATE ONLY)
- 08/22/12 12TA/DC018 NYC - Updated Supplemental Nutrition Assistance Program (SNAP) Standards for October 1, 2012 (NYC ONLY)
- 08/08/12 12TA/DC017 National Grid Program “Advocates in Action”
- 07/31/12 12TA/DC016 New York State Fresh/Connect Program for Supplemental Nutrition Assistance Program (SNAP) recipients
- 07/24/12 12TA/DC015 District Contact for Out of District/State Inquiries
- 07/10/12 12TA/DC014 Food Stamps Disaster Plan Local Contacts
- 07/03/12 12TA/DC013 Release of Updated LDSS-2642 “Documentation Requirements” Form
- 06/21/12 12TA/DC012 Distribution of Informational Booklets: LDSS-4148A, LDSS-4148B, and LDSS-4148C
- 06/15/12 12TA/DC011 Finger-Imaging Requirements in the Food Stamp Program
- 05/23/12 12TA/DC010 Social Services District Responsibility for Updating District Specific Information found on the OTDA Intranet and CentraPort
- 05/10/12 12TA/DC009 Release of Updated LDSS-3151
- 05/08/12 12TA/DC008 Release of Updated LDSS-3969B: “Notice of Action on Your Application/Benefit for the Child Assistance Program, Status of Medical, Food Stamps or Services”
- 04/24/12 12TA/DC007 Loss of Food - Crisis Situations (UPSTATE ONLY)
- 03/30/12 12TA/DC006 2012 Emergency Program Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families With Children (EAF)
- 03/29/12 12TA/DC005 200% of Poverty Income Standards Chart - June 1, 2012 through May 31, 2013
- 03/15/12 12TA/DC004 NYSNIP Shelter Type 98 Standard Benefit Amount Adjustments
- 02/07/12 12TA/DC003 Discontinuance of WRTS Production Reports (UPSTATE ONLY)
- 01/12/12 12TA/DC002 National Grid Upstate New York DSS Unit Closure on Friday, January 20, 2012
- 01/03/12 12TA/DC001 Food Stamp program elderly and disabled household resource limit increase to \$3,250 effective 10/1/11

DCLs (Child Support)

- 11/30/2012 Banking Services Update
- 11/09/2012 Zero Dollar Current Child Support
- 10/17/2012 Website Security Enhancements Slide Show
- 10/17/2012 Website Security Enhancements Letter
- 08/17/2012 Banking Services Updates
- 07/06/2012 Property Execution Process
- 06/18/2012 Federal Interstate Case Reconciliation Data Match
- 04/10/2012 Adoption of Federal Income Withholding Notice and Worksheet
- 04/05/2012 Enhancements to Noticing of Assigned Support Collections and Disbursements
- 02/14/2012 Fraudulent Internal Revenue Service Tax Returns

OAH PROCEDURES TRANSMITTALS

12-02 Change of FS to SNAP

12-01 Change to NYCRR 358-5.5 Abandonment of a Request for a Fair Hearing

2011

ADMs

- 11-ADM-08 State-issued OCFS and OTDA IT Equipment
- 11-ADM-07 Flexible Fund for Family Services (FFFS)
- 11-ADM-06 New York State Employment
- 11-ADM-05 Temporary Assistance Budgeting: Treatment of Kinship Guardianship Assistance Program (KinGAP) Payments
- 11-ADM-04 Desk Reviews of the Distribution and Disbursement of Support Collections
- 11-ADM-03 Required Temporary Assistance for Needy Families (TANF) Reporting
- 11-ADM-02 Temporary Assistance Budgeting: 2011 Changes to the earned Income Disregard and Poverty Level Test
- 11-ADM-01 Penalty for Failure to Comply with Temporary Assistance (TA) Program Requirement to Pursue Supplemental Security Income (SSI)

LCMs

- 11-LCM-14 2011-12 Home Energy Assistance Program (HEAP)
- 11-LCM-13 Community Solutions for Transportation (CST XI)

Funding

- 11-LCM-12 Supplemental 100% Food Stamp Employment and Training Allocations - FFY 2011
- 11-LCM-11 Supplemental allocations for Green Jobs Corps 2 Program
- 11-LCM-10 2012-2013 Biennial Temporary Assistance and Food Stamp Employment Plan
- 11-LCM-09 Supplemental Health Care Jobs 2 Program Allocations
- 11-LCM-08 Supplemental Allocations for OTDA Transitional Jobs 2 Program
- 11-LCM-07 2011-12 Home Energy Assistance Program-Early Mail Out Process and Administrative Allocations for Early Outreach Processing
- 11-LCM-06 Food Stamp Employment and Training Allocations-FFY 2011
- 11-LCM-05 Submission of TANF Claims/FFFS Plans
- 11-LCM-04 Child Support Incentives-Federal Fiscal Years 2009 and 2011
- 11-LCM-03 2011 Summer Youth Employment Program Allocations
- 11-LCM-02-T Local District Emergency Closings and Reporting of Emergency Information
- 11-LCM-02 Local District Emergency Closings and Reporting of Emergency Information
- 11-LCM-01 Claiming Deadlines for Federal and State Reimbursement

INFs

- 11-INF-17 Digest of Laws of 2011 Relating to Programs of the Office of Temporary and Disability Assistance
- 11-INF-16 Introduce LDSS-4973: "Manual Child Support Pass-Through Payment Determination Worksheet"
- 11-INF-15 Process for Requesting Temporary Assistance Recertification Waiver(s)
- 11-INF-14 Revised "Request for Voluntary Restricted Payments" (LDSS-4580)
- 11-INF-13 Limited Revisions to the LDSS-3707, LDSS-4527, LDSS-4732A, LDSS-4732B, and LDSS-4778
- 11-INF-12 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2012-SSI Benefits Levels Chart
- 11-INF-11 Rest of State (ROS)-ABEL Initial Grant Proration
- 11-INF-10 Electronic Interim Assistance Reimbursement (eIAR) Implementation Questions and Answers
- 11-INF-09 New Form LDSS-4982 (5/11): "How Do I Apply for Food Stamps?"
- 11-INF-08 Revisions to Manual Client Notices
- 11-INF-07 District Policy Options
- 11-INF-06 Food Stamp Policy-Student Eligibility
- 11-INF-04 Client Benefit Identification Card (CBIC) "Vault" Cards (Upstate Only)
- 11-INF-02 Conditional Certifications for the Work Opportunity Tax Credit (WOTC)
- 11-INF-01 Revisions to LDSS-4230 (Conciliation Notification) GIS Messages

12/06/11 11TA/DC026 SSI COLA and NYSNIP Standard Benefit Amount Adjustments (UPSTATE ONLY)

12/06/11 11TA/DC026 SSI COLA and NYSNIP Standard Benefit Amount Adjustments (NYC ONLY)

11/16/11 11TA/DC025 Processing Requests for Energy Related Emergencies

09/28/11 11TA/DC024 Disaster Food Stamp Benefits Program of 2011 Questions and Answers

09/23/11 11TA/DC023 Extension of Requests for Replacement of Food Stamp Benefits due to Hurricane Irene

09/21/11 11TA/DC022 Instructions for LDSSs Operating a Disaster Food Stamp Benefit Program due to Hurricane Irene

09/20/11 11TA/DC021 Requests for Replacement August Food Stamp Benefits due to Hurricane Irene

09/09/11 11TA/DC020 Temporary Assistance Payments for Emergencies Resulting from Hurricane Irene and Tropical Storm Lee

09/07/11 11TA/DC019 Requests for Replacement Food Stamp Benefits

09/02/11 11TA/DC018 Issuing Replacement Food Stamp Benefits

08/26/11 11TA/DC017 Disaster Preparedness

08/18/11 11TA/DC016 National Voter Registration Act (NVRA) Responsibilities - 2011 Primary Election

08/17/11 11TA/DC015 ROS - Updated Food Stamp Standards for October 1, 2011 (UPSTATE ONLY)

08/17/11 11TA/DC015 NYC - Updated Food Stamp Standards for October 1, 2011 (NYC ONLY)

08/02/11 11TA/DC014 Use of Accurate WMS Payment Types for Temporary Housing (UPSTATE ONLY)

06/30/11 11TA/DC013 Social Service Responsibility for Submission of Voter Registration Forms Received via Electronically Submitted Applications

06/07/11 11TA/DC012 False or Misleading Marital Status Information Admission Statement Form and Food Stamp Program Intentional Program Violations

05/31/11 11TA/DC011 Revisions to LDSS-4725 (TANF Services Certification/ Application Review Form)

04/26/11 11TA/DC010 Delayed Mailing of March Periodic Reports (LDSS-4310)

04/04/11 11TA/DC009 200% of Poverty Income Standards Chart - June 1, 2011 through May 31, 2012

03/25/11 11TA/DC008 Second HEAP Emergency Benefit for 2010-11

04/12/11 11TA/DC007 REISSUED - 2011 Emergency Program Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)

03/08/11 11TA/DC006 Temporary Assistance and Food Stamp Implications of the Changes to Medicaid Citizenship Documentation Requirements

03/04/11 11TA/DC005 Redesigned I-551 Permanent Resident Card (Green Card)

02/15/11 11TA/DC004 UPS Required Adjustment to Food Stamp Standard Utility Allowance (SUA) Values (UPSTATE ONLY)

02/15/11 11TA/DC004 NYC Required Adjustment to Food Stamp Standard Utility Allowance (SUA) Values (NYC ONLY)

02/01/11 11TA/DC003 Food Stamp Disaster Plan Local Contacts

02/01/11 11TA/DC002 The Treatment of Tax Refunds and Credits: TA and FS Policy Implications of the "Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act of 2010"

01/26/11 11TA/DC001 Reminder on the Budgeting of Restored FS Benefits for Households with Individuals who Have Received a Retroactive Determination of SSI Eligibility

DCLs (Child Support)

- 12/19/2011 Approved Paternity Testing Laboratories List
- 12/19/2011 Approved Paternity Testing Laboratories Letter
- 12/01/2011 Quarterly Wage Reporting Chart
- 12/01/2011 Quarterly Wage Reporting of Available Dependent Health Insurance

- 11/09/2011 Multiple Document Data Capture Instructions
- 11/09/2011 Multiple Document Data Capture Enhancements
- 09/16/2011 Administrative Subpoena Forms
- 09/07/2011 Unemployment Insurance Benefits Payment Processing
- 08/31/2011 Administrative Subpoena Forms
- 08/16/2011 Electronic Communication System Enhancements
- 08/11/2011 Employer Reporting of Dependent Health Insurance
- 08/09/2011 New FIDM Contract
- 05/23/2011 Procedural Changes to Rejected Federal Tax Refund Offset Collections

03/16/2011 Court-Based License Suspension Process

03/10/2011 Enhancements to the Nightly Application Process

03/02/2011 Personal Information Form

02/18/2011 Electronic Communication System Reject Report

01/27/2011 Federal Case Registry Enhancements

OAH PROCEDURES TRANSMITTALS

11-001 Reissued Document Imaging Instructions for Agencies 2010

ADMs

10-ADM-07 Provision of Temporary Housing Assistance (THA) to Sex Offenders-Chapter 568 of the Laws of 2008

10-ADM-06 2010-11 Flexible Fund for Family Services (FFFS)

10-ADM-05-P Purchase of Service Agreements/Memorandum of Understanding for the Child Support Program

10-ADM-04 Increase in the Pass-through and Disregard of Support Payments-Phase II

10-ADM-03 Providing Temporary Assistance Applicants and Recipients with Information Regarding Sexual Assault

10-ADM-02 Legal Services and Cost Recovery for Recipients of Child Support Services

10-ADM-01 Changes to Assignment of Support Rights and Child Support Distribution in Current-Assistance Cases

INFs

10-INF-24 Digest of Laws of 2010 Relating to Programs of the Office of Temporary and Disability Assistance

10-INF-23 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2011

10-INF-22 Accessing Applications for Temporary Assistance (TA), the Food Stamp Program and to the Home Energy Assistance Program (HEAP)

10-INF-21 New myBenefits Poster

10-INF-20 Obsolete LDSS-4148D New Information About Temporary Assistance and Food Stamps

10-INF-19 Home Energy Assistance Program: Elimination of 105 Day Rule

10-INF-18 Revision to the LDSS-4884: Temporary Assistance Energy Emergencies Comparison Table

10-INF-17 Revised LDSS-4958 "TA Sanction & Denial Policy/Participation Rate Impact Guide"

10-INF-16 Revised LDSS-3152: "Action Taken on Your FS Benefit Case"

10-INF-15 Temporary Assistance (TA) Policy Implications Regarding Electronic Interim Assistance Reimbursement (e-IAR) Activation

10-INF-14 Electronic Application and Signatures

10-INF-13 Revised LDSS-4526 (Rev. 6/2010) Medical Examination for Employability Assessment, Disability Screening, and Alcoholism/Drug Addiction Determination and Release of Cover Letter to Accompany the Request for Medical Information Model Document

10-INF-12 Revised LDSS-3668: "Shelter Verification" Form

10-INF-11-T Revised LDSS-3087 Application/Recertification Guide Dog Food Program

10-INF-10 Temporary Assistance (TA) and Employment Program Requirements for Individuals 18 to 21 Years Old Residing with Their Parent(s)

10-INF-09 Temporary Assistance Questions and Answers

10-INF-08 Elevate America Program

10-INF-07 LDSS-4943 (11/09): "Food Stamp Benefits Categorical Eligibility Desk-Aid"

10-INF-06 Revision to the LDSS-4314: "FS Benefits Household Composition Desk Guide"

10-INF-05 Revised PUB-4716: Every Day, Seniors Just Like You Get Food Stamps

10-INF-04 Revision to PUB-4916: Helping Hands for People in Need Brochure

10-INF-03 Revised LDSS-3938 (NYC): "Food Stamp Application Expedited Processing Summary Sheet" and LDSS-4921: "Working Families Food Stamp Initiative Screening Sheet"

10-INF-02 Resolution of Doe v. Doar Cases on the WINR9482

10-INF-01 Revisions to the LDSS-4148C "What You Should Know If You Have An Emergency, Questions and Answers Book- 3" (Rev.10/09)

LCMs

10-LCM-18 Funding for OTDA Transitional Jobs 2 Program

10-LCM-16 OTDA Health Care Jobs Corps 2 Program

10-LCM-15 OTDA Green Jobs Corps 2 Program

10-LCM-14 Supplemental 100% Food Stamp Employment and Training Allocations-FFY 2010

10-LCM-13 2010-11 Home Energy Assistance Program (HEAP) Early Mail Out-Additional Administrative Funds

10-LCM-12 Food Stamp/Supplemental Nutrition Assistance (SNAP) Administrative Funding under the Defense Bill

10-LCM-11 State On-Line Query (SOLQ) System: Policy Guidelines, Ongoing Audit Responsibilities, and Information Security

10-LCM-10 Flexible Fund for Family Services (FFFS) 201-2011 Allocations and Child Welfare Services Thresholds

- 10-LCM-09 Submission of TANF Special Project Claims/FFFS Plans
- 10-LCM-08 2010 TANF Summer Youth Employment Program Allocations
- 10-LCM-07 Food Stamp Employment and Training Allocations-FFY 2010
- 10-LCM-06 Funding for Intensive Case Services for Noncompliant Families (ICS4)
- 10-LCM-05 Temporary Assistance Basic Allowance Grant Increase-Payment to Local Districts
- 10-LCM-04 Claiming Deadlines for State Reimbursement Revised
- 10-LCM-03 NY Connects (formerly Long Term Care Point of Entry) Program Year 4
- 10-LCM-02 2010 Census Promotion
- 10-LCM-01 Child Support Incentives - Federal Fiscal Year 2008 (FFY2008)

GIS Messages

12/17/10 10TA/DC029 Issuing Emergency Payments Using WMS Payment Type Codes 13, E8, N1 and Special Claiming Category Code P on Active Non-Temporary Assistance Food Stamp, Active Medicaid Case or at the Time of a Temporary Assistance Application Denial (UPSTATE ONLY)

12/16/10 10TA/DC028 Termination of the \$25 per week UIB Supplement and FS Income Exclusion (UPSTATE ONLY)

12/16/10 10TA/DC028 Termination of the \$25 per week UIB Supplement and FS Income Exclusion (NYC ONLY)

12/01/10 10TA/DC027 Timeframe for Social Service Districts (DSSs) to Report Interim Assistance Reimbursement (IAR) on the e-IAR System

11/23/10 10TA/DC026 Clark v. Astrue: Temporary Assistance (TA) and Food Stamps (FS) Policy for Probation and Parole Violators

11/03/10 10TA/DC025 Processing Requests for Energy Related Emergencies

10/01/10 10TA/DC024 Extension of the Validity of Puerto Rico Birth Certificates

09/23/10 10TA/DC023 Delay in the Implementation of the Electronic Interview Assistance Reimbursement (e-IAR) Project

08/18/10 10TA/DC022 UPS - Updated - Food Stamp Standards for October 1, 2010 (UPSTATE ONLY)

08/18/10 10TA/DC022 NYC - Updated - Food Stamp Standards for October 1, 2010 (NYC ONLY)

08/13/10 10TA/DC021 EBT Cash and Food Stamp Adjustment due to Network Outage on July 15 and 16, 2010

08/05/10 10TA/DC020 Budgeting of Extended Unemployment Insurance Benefits (UIB) and Treatment of the \$25.00 Weekly Federal Additional Compensation (FAC) Payments (UPSTATE ONLY)

08/05/10 10TA/DC020 Budgeting of Extended Unemployment Insurance Benefits (UIB) and Treatment of the \$25.00 Weekly Federal Additional Compensation (FAC) Payments (NYC ONLY)

07/22/10 10TA/DC019 Documentation of Unemployment Insurance (UI) Benefits (UPSTATE ONLY)

07/09/10 10TA/DC018 Amendment to Law 191 Invalidating Puerto Rico Birth Certificate

06/21/10 10TA/DC017 Availability of "Know Your Options: Relatives Caring for Children"

06/18/10 10TA/DC016 Law 191 Invalidating Puerto Rican Birth Certificates

06/02/10 10TA/DC015 Authorization of Energy Assistance for Emergencies for Grantees Receiving Supplemental Security Income (SSI)

06/01/10 10TA/DC014 Update on the 2010 Earned Income Disregard (EID) and Poverty Level Test

04/14/10 10TA/DC013 Extension of Case Services 4 Program Period

03/26/10 10TA/DC012 Extension of the 2009 Emergency Program

Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)

03/10/10 10TA/DC011 Availability of "Having a Voice and a Choice: New York State Handbook for Relatives Raising Children"

03/05/10 10TA/DC010 The Treatment of Making Work Pay and Child Tax Credits for TA, MA, and FS

02/18/10 10TA/DC008 REVISED Treatment of 2010 Census Temporary Income using new Earned Income Source Code '75 - Census Income (PA Only) and Exclusion of Temporary Census Income from Food Stamp Budgeting

02/16/10 10TA/DC007 Treatment of 2010 Census Temporary Income using new Earned Income Source Code '75 - Census Income (PA Only) and Exclusion of Temporary Census Income from Food Stamp Budgeting

02/12/10 10TA/DC006 Laser-printed NTA FS Recertification Applications

02/12/10 10TA/DC005 Elimination of the Eight Month Time Limit for Afghan and Iraqi Special Immigrants to Receive Refugee Benefits

02/05/10 10TA/DC004 False or Misleading Marital Status Information and Food Stamp Program Intentional Program Violations

01/22/10 10TA/DC003 Reminder of Change to Medicare Part B Premium

01/14/10 10TA/DC002 Extension of the Final Date for Resolution of Potentially Eligible Households for the 2009 Back-to-School One-Time Payment (UPSTATE ONLY)

01/08/10 10TA/DC001 Exclusion of \$25 per week UIB Supplement from Food Stamp Income (UPSTATE ONLY)

01/08/10 10TA/DC001 Exclusion of \$25 per week UIB Supplement from Food Stamp Income (NYC ONLY)

DCLs (Child Support)

• 12/29/2010 Title IV-E Foster Care Case Changes in CSMS

• 10/29/2010 CSMS IVDJRH Screen

• 10/29/2010 CSMS IVDJCI Screen

• 10/29/2010 CSMS Medical Indicator Values Chart

• 10/29/2010 CSMS CSSA Module

• 10/29/2010 CSMS Changes and Revised Medical Support Documents

• 10/15/2010 Noncustodial Parent Poverty-Level Pilot Summary

• 10/15/2010 Noncustodial Parent Poverty-Level Pilot

• 10/13/2010 Banking Services Enhancements

• 10/07/2010 Low Income Support Obligation Performance Improvement Act (LISOPIA)

• 09/22/2010 Child Support Services Available to Noncustodial Parents Attachment

• 09/22/2010 Child Support Services Available to Noncustodial Parents

• 05/26/2010 Interstate Central Registry Document Processing

• 05/04/2010 Incarcerated Noncustodial Parents DOCS Website Lookup

• 05/04/2010 Incarcerated Noncustodial Parents

• 03/10/2010 Childs Support Standards Act Letter

• 02/17/2010 Purging Case History Transactions

• 01/11/2010 Tax Offset Process Changes

2009

ADMs

• 09-ADM-24 Changes to 18 NYCRR 350.4 Impacting the Safety Net Assistance (SNA) Application Supplement and the Recognition of Same Sex Marriages

• 09-ADM-22 Food Stamp Transitional Benefit Alternative (TBA) for Households with Children Leaving Safety Net Assistance

• 09-ADM-21 Temporary Assistance Excess Support Process and Procedures for Reviewing Cases that have Support Collections in Excess of the Temporary Assistance Deficit

• 09-ADM-20 Employment Sanctions and the Redetermination of Benefits

- 09-ADM-19 Changes to Assignment of Support Rights and Child Support Distribution for Recipients of Temporary Assistance
- 09-ADM-18 Temporary Assistance (TA) Policy Implications of Implementation of Electronic Interim Assistance Reimbursement (e-IAR)
- 09-ADM-17 Changes to the Utility Arrears Repayment Agreement Terms and Enforcement Option
- 09-ADM-16 Enrollments in Educational Activities for Nonexempt Public Assistance Applicants and Recipients
- 09-ADM-15 Change in the Requirement to Recover Temporary Assistance (TA) Overpayments
- 09-ADM-14 Employment Assessments for Exempt Public Assistance Applicants and Recipients in Households Without Dependent Children
- 09-ADM-13 Temporary Assistance Basic Allowance Grant Increase
- 09-ADM-12 2009-10 Flexible Fund for Family Services (FFFS) (re-issued)
- 09-ADM-11 Transitional Employment Advancement Program (TEAP)
- 09-ADM-10 Shelter Supplementation Plans for Safety Net Assistance Single Adults and Childless Couples
- 09-ADM-09 Essential Persons
- 09-ADM-08 Participation in Food Stamp Program by Students in Institutions of Higher Education
- 09-ADM-07 Property Execution Procedures for Mistake of Fact and/or Exempt Money Claims
- 09-ADM-06 Expansion of Categorical Eligibility for Food Stamps for Households with Out-of-pocket Dependent Care Expenses
- 09-ADM-05 Temporary Assistance Budgeting: 2009 Changes to the Earned Income Disregard and the Poverty Level Income Test
- 09-ADM-04 Temporary Assistance (TA) Payment Type Codes--Designations as Assistance or Non-Assistance
- 09-ADM-03 Change to the AIDS/HIV-related Illness Emergency Shelter Allowance
- 09-ADM-02 Income Execution Process
- 09-ADM-01 New York State Anti-Trafficking Statute
INFs
- 09-INF-24 Questions and Answers from September 2009 Conference Call on the Transitional Employment Advancement Program (TEAP)
- 09-INF-22 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2010 - SSI Benefit Levels Chart
- 09-INF-21 Revision to LDSS-4887 Mail-in recertification/Eligibility Questionnaire
- 09-INF-20 Countability of Job Search and Job Readiness Training Activities
- 09-INF-19 Revisions to LDSS-4836, LDSS-4836-SP, LDSS-4836 NYC, LDSS-4836-SP NYC, LDSS-4841, and LDSS-4841-SP
- 09-INF-18 5/08 Revisions to the LDSS-4826: "Food Stamp Benefits Application/Recertification" and LDSS-4826A: "How to complete the Food Stamp Benefits Application/Recertification"
- 09-INF-17 Addendum to the Client Information Books – LDSS-4148D: "New Information About Temporary Assistance and Food Stamps"
- 09-INF-16 LDSS-4942: "Food Stamp Program Authorized Representative Request Form" (3/09)
- 09-INF-15 Re-instatement of form LDSS-2640: "Request for Action/Services"
- 09-INF-13 Revised LDSS-1410: Life Insurance Information Request-Prudential and Met Life
- 09-INF-12 Program Integrity Questions and Answers
- 09-INF-11 Local District Security Provisions for Hearing Officers
- 09-INF-10 Modifications made to the Upstate CSMS 8649: "Obligation and Collection Greater Than Assistance Granted" Report

- and New York City CSMS 8649: "Obligation and Collection Greater Than Assistance Granted" Report
- 09-INF-09 Revised PUB-4596: EBT Training Brochure
- 09-INF-08 Distance Learning Education and Training
- 09-INF-07 Introduce the LDSS-4958: "TA Sanction & Denial Policy/Participation Rate Impact Guide"
- 09-INF-06 Revisions to the LDSS-4148B - What You Should Know About Social Services Programs – Book 2
- 09-INF-05 Revisions made to the LDSS-4279: "Notice of Responsibilities and Rights for Support" and LDSS-4279 SP: "Notice of Responsibilities and Rights for Support Spanish"
- 09-INF-04 Digest of Laws of 2007 Relating to programs of the Office of Temporary and Disability Assistance
- 09-INF-03 Temporary Assistance (TA) Case Composition When a Child Attains Age 18
- 09-INF-02 WorkPays NY: Introduction of the WorkPays NY Promotional Material and Resource Guide/Checklist
LCMs
- 09-LCM-19 Discontinuation of SOLQ Access For HEAP Eligibility Workers and Alternate Certifiers Effective January 1, 2010
- 09-LCM-18 Stimulus Food Stamp / Supplemental Nutrition Assistance Program Administrative Funding under the American Recovery and Reinvestment Act
- 09-LCM-17 New Supplemental Security Income (SSI) Local Management Report
- 09-LCM-16 Availability of Safety Net Assistance Project (SNAP 8) Funding
- 09-LCM-15 2010-2011 Biennial Temporary Assistance and Food Stamp Employment Plan
- 09-LCM-14 Supplemental 100% Food Stamp Employment and Training Allocations – FFY 2009
- 09-LCM-14 Supplemental 100% Food Stamp Employment and Training Allocations – FFY 2009
- 09-LCM-13 Systems Availability Schedule
- 09-LCM-12 Adjustment of Transaction Charges for the Federal Systematic Alien Verification for Entitlements (SAVE) Program
- 09-LCM-11 OTDA Transitional Jobs Program
- 09-LCM-10 OTDA Health Care Jobs Program
- 09-LCM-09 OTDA Green Jobs Corps Program
- 09-LCM-08 Funding for Community Solutions for Transportation (CST)
- 09-LCM-07 Submission of TANF Special Project Claims/FFFS Plans
- 09-LCM-06 NY Connects (formerly Long Term Care Point of Entry) Program Year 3
- 09-LCM-05 Food Stamp/Supplemental Nutrition Assistance Program Administrative Funding under the American Recovery and Reinvestment Act
- 09-LCM-04 Food Stamp Employment and Training Allocations-FFY 2009
- 09-LCM-03 2009 TANF Summer Youth Employment Program (SYEP) Allocations
- 09-LCM-02 Support Incentives—Federal Fiscal Year 2007 (FFY 2207)
- GIS Messages
- 12/15/09 09TA/DC036 Randomization of CBIC Numbering
- 12/02/09 09TA/DC035 Food Stamp Disaster Plan Local Contacts
- 11/16/09 09TA/DC034 CNS/WMS Alcohol & Substance Abuse Sanction Code Changes (UPSTATE ONLY)
- 11/03/09 09TA/DC033 Meeting Energy Emergencies with HEAP
- 10/28/09 09TA/DC032 Changes to Pass-through and Disregard of Support Payments Effective January 1, 2010 (NYC ONLY)
- 10/20/09 09TA/DC031 Work Activity Attendance Documentation
- 10/14/09 09TA/DC029 Resolution of Potentially Eligible Households for the 2009 Back-to-School One-Time Payment (UPSTATE ONLY)

09/28/09 09TA/DC028 TA Policy and District of Fiscal Responsibility (DFR) Procedures, Mediation and Intervention Services

09/21/09 09TA/DC027 Save the Date for Upstate Temporary Assistance (TA) Conference Calls (UPSTATE ONLY)

09/01/09 09TA/DC026 Extension of the Repayment Terms of the Utility Arrears Repayment Agreement

08/27/09 09TA/DC025 SOLQ Reference Guide Revised August 2009 and Available Online

08/18/09 09TA/DC024 Updated - Food Stamp Standards for October 1, 2009 (UPSTATE ONLY)

08/18/09 09TA/DC024 Updated - Food Stamp Standards for October 1, 2009 (NYC ONLY)

08/14/09 09TA/DC023 Revised LDSS-3938 (NYC): "Food Stamp Application Expedited Processing Summary Sheet (NYC ONLY)

08/11/09 09TA/DC022 Human Trafficking Program Liaison

08/05/09 09TA/DC021 2009 Back to School One-Time Payment

07/28/09 09TA/DC020 Revised LDSS-4921: "Working Families Food Stamp Initiative Screening Sheet"

07/27/09 09TA/DC019 USDA Clarification on Action for Returned Mail for Simplified (Six Month) Reporters

07/15/09 09TA/DC018 Changes to Allowable Cash Assistance Rates - United States Repatriation Program (USRP) (UPSTATE ONLY) Posted as a courtesy for BRIA

07/06/09 09TA/DC017 Changes to Pass-through and Disregard of Support Payments effective July 1, 2009 (UPSTATE ONLY)

07/06/09 09TA/DC016 Transitional Food Stamp Benefits for Participants of the TA Grant Diversion Programs (TEAP)

06/30/09 09TA/DC015 Federal Minimum Wage Increase and Its Effects on Temporary Assistance and Food Stamp Programs

05/08/09 09TA/DC013 Discontinuance of Upstate WRTS Production Reports (UPSTATE ONLY)

04/21/09 09TA/DC012 200% of Poverty Income Standards Chart - June 1, 2009 through May 31, 2010

04/10/09 09TA/DC011 TA, FS, and HEAP Treatment of American Recovery and Reinvestment Act (ARRA) of 2009 \$25 Per Week Increase to Unemployment Insurance Benefits (UIB)

03/31/09 09TA/DC010 Notification of date of the automated process to implement change to the treatment of certain payment type codes discussed in 09 ADM-04

03/19/09 09TA/DC009 Treatment of the One-Time Stimulus Payments from the American Recovery and Reinvestment Act (ARRA) of 2009

03/17/09 09TA/DC008 Updated Food Stamp Standards for April 1, 2009 (UPSTATE ONLY)

03/17/09 09TA/DC008 Updated Food Stamp Standards for April 1, 2009 (NYC ONLY)

03/10/09 09TA/DC006 Use of "Financial Statement" (LDSS-3596) for Utility Arrearage Assistance and the Updated Food/Non-Food Expense Guidelines

03/10/09 09TA/DC005 Return Date for Mailing of LDSS-4130 Periodic Reports to Six-Month Reporting Food Stamp Households (UPSTATE ONLY)

02/11/09 09TA/DC003 2009 Emergency Program Income guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)

01/16/09 09TA/DC002 NYSNIP Standard Benefit Amount Adjustments (NYC ONLY)

01/09/09 09TA/DC001 NYSNIP Standard Benefit Amount Adjustments (UPSTATE ONLY)

DCLs (Child Support)

- 11/17/2009 Electronic Communication System Enhancements

- 08/19/2009 Child Support Legislation

- 06/19/2009 Banking Services: SafePass Tokens

- 06/01/2009 Customer Service Helpline: Third Party Referrals

- 03/27/2009 Issuance of the Income Withholding for Support to Employers

- 03/05/2009 Listing of In-Network Automated Teller Machines

- 03/05/2009 EPPI Card Brochure

- 03/05/2009 New Contract for Centralized Support Collection and Enforcement

- 02/18/2009 Request to Withdraw Passport Denial Form

- 02/18/2009 Change to Request to Withdraw Passport Denial Form

- 01/29/2009 Income Execution Resources Letter

OAH PROCEDURES TRANSMITTALS

09-02 Appearances at Upstate Hearings

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- 08-ADM-12 Support NCP Poverty Level Pilot Initiative

- 08-ADM-11 Interim Assistance Reimbursement (IAR) Consolidated Policy and Procedures

- 08-ADM-10 Deficit Reduction Act (DRA) Annual Service Fee for Child Support

- 08-ADM-09 Farm Bill Reauthorization Provisions of Food Stamp Program for 2008

- 08-ADM-08 Increase in the Pass-through and Disregard of Support Payments

- 08-ADM-07 Implementation of Final Temporary Assistance for Needy Families (TANF) Rule

- 08-ADM-06 Social Security Administration Automation of Interim Assistance Reimbursement (IAR), Direct Deposit Authorization for IAR Payments, Government to Government Services Online (GSO) Registration, and Monthly IAR E-Report

- 08-ADM-05 SSI- Screening/ Identification, Referral and Tracking Requirements

- 08-ADM-04 Treatment of Income from Adoption Subsidy Payments and Foster Care Payments in Determining Food Stamp Program Eligibility and Benefit Amount

- 08-ADM-03 Substance Abuse Treatment for Adolescents – Conversion of Some Facilities that Treat Adolescents from Congregate Care Level 2 to Medical Facilities Under Residential Rehabilitation Services for Youth (RRSY)

- 08-ADM-02 2008-09 Flexible Fund for Family Services (FFFS)

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- 08-INF-19 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2009-SSI Benefit Levels Chart

- 08-INF-18 Revisions to LDSS-4925: "Employability Code Desk Guide TANF and SN MOE" and LDSS-4926: "Employability Code Desk Guide SN non-MOE"

- 08-INF-17 Temporary Assistance: Financial Institution Resource Clearance

- 08-INF-16 Non-Parent Caregivers and Good Cause

- 08-INF-15 Revision to LDSS-3696 "Job Search Handbook"

- 08-INF-14 Temporary Assistance (TA): Income Eligibility Verification System (IEVS) 1099 Processing for Local Districts

- 08-INF-12 Pathways and Similar Case Management Models

- 08-INF-11 Revised and Reformatted PUB-4596: EBT Training Brochure

- 08-INF-10 Employment Verifications- Local District Commitment to a Revenue Intercept for Utilization of TALX Corporation eXpress Services under the OTDA Statewide Contract with TALX Corporation

- 08-INF-09 Temporary Assistance Questions and Answers

- 08-INF-08 Verified Employment Data (VED) Information Added to Upstate RFI

- 08-INF-07 Working Families Food Stamp Initiative Q and As

- 08-INF-06 Online availability of the LDSS-4903: "Disqualification Consent Agreement" and LDSS-4904: "Notice of Consequences to a Disqualification Consent Agreement"

- 08-INF-05 LDSS-4905: Domestic Violence Information for All Temporary Assistance Applicants

- 08-INF-03 Categorical Eligibility for Food Stamps Q & As
- 08-INF-02 LDSS-4583: Domestic Violence Screening Form (Rev. 9/07)
- LCMs
 - 08-LCM-13 Funding for Intensive Case Services for Noncompliant Families (ICS3)
 - 08-LCM-12 Availability of Safety Net Assistance Project (SNAP) Funding
 - 08-LCM-11 Automated Termination of Food Stamp (FS) Claims
 - 08-LCM-10 Supplemental 100% Food Stamp Employment and Training Allocations - FFY 2008
 - 08-LCM-09 Home Energy Assistance Program (HEAP) Office of the State Comptroller (OSC) Payment Process
 - 08-LCM-08 NY Connects (formerly Long Term Care Point of Entry Program)
 - 08-LCM-07 Work Incentive Fund Allocations 2008-09
 - 08-LCM-06 Local Administration Fund (LAF) Base Allocations 2008-2009
 - 08-LCM-05 Funding Available for Community Solutions for Transportation (CST)
 - 08-LCM-04 2008-09 Home Energy Assistance Program (HEAP) Targeted Mail Out
 - 08-LCM-03 Submission of TANF Special Project Claims/FFFS Plans
 - 08-LCM-02 Child Support Incentives-Federal Fiscal Year 2006 (FFY 2006)
 - 08-LCM-01 Food Stamp Employment and Training Allocations - FFY 2008
- GIS Messages
 - 12/23/08 08TA/DC034 Extension of the Ten Day Reporting Deadline for Request of Replacement Food Stamp Benefits
 - 12/22/08 08TA/DC033 Survey of Social Services Districts (SSDs) for Information Needed to Implement New Laws Regarding Temporary Housing for Sex Offenders
 - 12/19/08 08TA/DC032 Food Stamp Budgeting Reminder: Increased Standard Utility Allowances
 - 12/17/08 08TA/DC031 (REVISED) Issuing Replacement Food Stamp Benefits and Emergency Food Replacement (UPSTATE ONLY)
 - 11/25/08 08TA/DC029 Estimating Automobile Value: Change in the National Automobile Dealers Association (NADA) Pricing Terminology
 - 11/25/08 08TA/DC028 2008 Food Stamp Bonus Award Allocation
 - 11/14/08 08TA/DC027 OMRDD Regional Meetings and Food Stamp Applications for Group Home Residents
 - 11/05/08 08TA/DC026 Suspending Enforcement of Utility Repayment Agreements during the Cold Weather Period
 - 10/17/08 08TA/DC025 Claims Establishment for Food Stamp Cases Affected by Deletion of Adoption Subsidy Income during the ALL MRB/A (UPSTATE ONLY)
 - 10/06/08 08TA/DC024 Meeting Energy Emergencies with HEAP
 - 09/30/08 08TA/DC023 Increase in Pass-through and Disregard of Support Payments
 - 09/24/08 08TA/DC022 Group Home and Congregate Care Budgeting (UPSTATE ONLY)
 - 09/24/08 08TA/DC022 Group Home and Congregate Care Budgeting (NYC ONLY)
 - 09/18/08 08TA/DC021 Use of the "Financial Statement (LDSS-3596) for Utility Arrearage Assistance and the Updated 2007-08 Food/Non-Food Guidelines
 - 09/15/08 08TA/DC020 Electronic IAR Phone Conference
 - 08/14/08 08TA/DC019 Updated – Food Stamp Standards for October '08 (NYC ONLY)
 - 08/14/08 08TA/DC019 Updated - Food Stamp Standards for October'08 (UPSTATE ONLY)
 - 07/30/08 08TA/DC018 Food Stamp Notice of Missed Interview (NOMI) Notice
 - 07/24/08 08TA/DC017 Federal Minimum Wage Increase & Food Stamp Work Exemption
 - 07/22/08 08TA/DC016 New Policy and Closing Codes for Fleeing Felons and Probation and Parole Violators (NYC ONLY)
 - 07/22/08 08TA/DC016 New Policy and Closing Codes for Fleeing Felons and Probation and Parole Violators (UPSTATE ONLY)
 - 07/22/08 08TA/DC015 National Voter Registration Act (NVRA) Responsibilities – 2008 General Election
 - 06/26/08 08TA/DC014 SDX Manual Renamed SDX Reference Guide, Revised March 2008, and Available Online
 - 06/19/08 08TA/DC013 Automated Termination of Food Stamp (FS) Claims
 - 05/28/08 08TA/DC012 Social Services District Responsibility for Updating District Specific Information Found on the OTDA Intranet and CentraPort
 - 04/22/08 08TA/DC011 200% of Poverty Income Standards Chart - June 1, 2008 through May 31, 2009
 - 04/08/08 08TA/DC010 Addition of Verified Employment Data (VED) to RFI for ALL Upstate LDSS's (UPSTATE ONLY)
 - 04/08/08 08TA/DC009 Federal Economic Stimulus Tax Rebate
 - 04/04/08 08TA/DC008 Guidance of Afghan & Iraqi Nationals Granted Special Immigrant Status by the U.S. Citizenship & Immigration Services (USCIS)
 - 03/20/08 08TA/DC007 Third Set of Conference Calls Regarding Necessary Action on Closed Cases Discussed in 07 ADM-06 Doe v. Doar - Unfavorable Appellate Court Decision on the Proration Policy transmitted in 04 ADM-05 "TA & Non-TA Mixed Households, Budgeting when the Family Includes an SSI Member"
 - 03/20/08 08TA/DC006 2008 Emergency Program Income Guidelines for ESNA & EAF
 - 03/07/08 08TA/DC005 Addition of Verified Employment Data (VED) to RFI (UPSTATE ONLY)
 - 02/29/08 08TA/DC004 Categorical Eligibility for Food Stamps / Helping Hands Brochure
 - 02/08/08 08TA/DC003 Updates to the Temporary Assistance & Food Stamp Policy Manual
 - 01/17/08 08TA/DC002 Public Housing Authority Shelter Allowance Change in Approval Process
 - 01/11/08 08TA/DC001 Temporary Assistance: Safety Net Assistance (SNA) 45 Day Application Period During a Leap Year
 - DCLs (Child Support)
 - 12/30/2008 Impact of Statutory Amendments on PEX and PIC Processes
 - 11/25/2008 Enhanced Driver's License Program
 - 11/20/2008 Poverty-Level Noncustodial Parent Modification and Arrears Pilot
 - 09/26/2008 Tax Law Change and Offset of STAR Rebates
 - 06/30/2008 Money Screen Confidentiality
 - 05/19/2008 Desk Review Confirmation Notice
 - 05/19/2008 Desk Review Confirmation Notification Procedure
 - 04/22/2008 Desk Review Request Form and Instructions
 - 04/22/2008 Desk Review Request Form Letter
 - OAH PROCEDURES TRANSMITTALS
 - 08-13a Attachment New Scripted Letter J Varshavsky Withdrawals
 - 08-13 New Scripted Letter J Varshavsky Withdrawal Procedures
 - 08-04 Reissued Document Imaging Instructions for Local Agencies 2007
 - ADMs
 - 07-ADM-10 The Working Families Food Stamp Initiative (WFFSI)
 - 07-ADM-09 Categorical Eligibility for Food Stamps
 - 07-ADM-08 Safety Net Assistance (SNA) Households Without Dependent Children (Singles and Childless Couples) Work Activity Definitions and Participation Rate Methodology

- 07-ADM-07 Unaccompanied Refugee Minors (URM) Program
- 07-ADM-06 Doe v. Doar – Unfavorable Appellate Court Decision on the Proration Policy Transmitted in 04 ADM-05 “Temporary Assistance and Non-Temporary Assistance Mixed Households; Budgeting When the Family Includes an SSI Member”
- 07-ADM-05 Food Stamp Change Reporting for Ten-Day Reporters
- 07-ADM-04 2007-08 Flexible Fund for Family Services (FFFS)
- 07-ADM-03 The Recoupment of Duplicate Restricted Rental Payments and Change of Timely Reporting Requirements from Five (5) Business Days to Ten (10) Calendar Days
- 07-ADM-01 Temporary Assistance Procedures: Elimination of Quarterly Reporting System (QRS) Requirements and Welfare-To-Work Procedures: Documenting Hours of Paid Employment
- INFs
 - 07-INF-16 Social Security Administration (SSA) Cost-of-Living Adjustment (COLA) for January 2008 - SSI Benefit Levels Chart
 - 07-INF-15 LDSS-4579: “Alien Eligibility Desk Aid” (Revised 10/07)
 - 07-INF-14 Child Only Questions and Answers
 - 07-INF-13 Introducing the Electronic Benefit Transfer (EBT) Cardholder Account Overview Guide
 - 07-INF-12 Office of Temporary and Disability Assistance (OTDA) Restructuring
 - 07-INF-11 Office of Alcoholism and Substance Abuse Services (OASAS) Tobacco-Free Prevention and Treatment Programs
 - 07-INF-10 Automated Case Closing of Computer Match Hits (Auto Close)
 - 07-INF-09 LDSS-4905: Domestic Violence Information for All Temporary Assistance Applicants (previously known as the “Hand-Out to All Applicants for Welfare” LDSS-4594, 4594-NYC, 4594-S, 4594-S-NYC: “Notification of Decision on a Waiver” LDSS-4595, 4595-NYC, 4595-S, 4595-S-NYC: “Notification of Decision on a Continuation of Waiver”)
 - 07-INF-08 Lottery Intercept Reporting to Local Districts
 - 07-INF-06 Revisions to the LDSS-4148A - What You Should Know About Your Rights and Responsibilities (When Applying For or Receiving Social Services)
 - 07-INF-05 Revision to LDSS-4530: Assignment of Wages, Salary, Commissions or Compensation For Services
 - 07-INF-04 Revisions to 22 Mandatory Client Notices
 - 07-INF-03 Recovery/Recoupment Due to Fleeing Felon and Probation/Parole Violator Status
 - 07-INF-02 Revisions to “Action Taken On Your Request For Assistance To Meet An Immediate Need or A Special Allowance” (LDSS-4002)
 - 07-INF-01 Social Security Numbers for Aliens without United States Citizenship and Immigration Services (USCIS) Work Authorization
- LCMs
 - 07-LCM-16 Financial Management Procedures for Social Security Administration Representative Payees - Revised
 - 07-LCM-15 Federal Requirements for Work Participation Documentation and Reporting
 - 07-LCM-14 Food Stamp Bonus Award Allocation
 - 07-LCM-13 2008-2009 Temporary Assistance and Food Stamp Employment Plan
 - 07-LCM-12 Food Stamp Employment and Training Allocations – FFY 2007
 - 07-LCM-11 2007-2008 Home Energy Assistance Program (HEAP) – Client Notice System (CNS) Early Mail-Out
 - 07-LDM-10 Food Stamp Management Evaluation Procedures
 - 07-LDM-09 Availability of Funds to Provide Services to Safety Net Assistance Recipients (SNAP – Safety Net Assistance Project)
 - 07-LCM-08 e-HEAP Electronic Workbook and e-File
 - 07-LCM-07 Funding for Intensive Case Services for Noncompliant Families
 - 07-LCM-06 Funding Available for Community Solutions for Transportation (CST)
 - 07-LCM-05 Local Administration Fund Allocations 2007-2008
 - 07-LCM-04 SDX – SSI Individual Status Screen on WMS
 - 07-LCM-03 Local District Emergency Closings
 - 07-LCM-02 Submission of TANF Special Project Claims/FFFS Plans
 - 07-LCM-01 Child Support Incentives - Federal Fiscal Year 2005 GIS Messages
 - 12/18/07 07TA/DC022 NYSNIP Standard Benefit Amount Adjustments
 - 12/14/07 07TA/DC021 Working Families Food Stamp Initiative Conference Informational Calls – December 20, 2007
 - 12/14/07 07TA/DC020 Categorical Eligibility for Food Stamps
 - 12/05/07 07TA/DC019 Food Stamp Program Group Home Standard Benefits (GHSB) Adjustments
 - 11/29/07 07TA/DC018 Meeting Energy Emergencies
 - 11/16/07 07TA/DC017 Food Stamp Bonus Award Allocation
 - 11/15/07 07TA/DC016 Distribution of “Child Care Letter” Lists UPSTATE ONLY
 - 10/30/07 07TA/DC015 “In Lieu of TA Child Care” Dear Parent Letter
 - 10/17/07 07TA/DC014 Conference Calls regarding implementation issues related to 07 ADM-06 Doe v. Doar - Unfavorable Appellate Court Decision on the Proration Policy transmitted in 04 ADM-05 “Temporary Assistance and Non-Temporary Assistance Mixed Households; Budgeting when the Family includes an SSI Member” (UPSTATE ONLY)
 - 09/27/07 07TA/DC012 Use of the “Financial Statement” (LDSS-3596) for Utility Arrearage Assistance and the Updated 2007-08 Food/Non-Food Guidelines
 - 09/14/07 07TA/DC011 Doe v. Doar: Court Decision Invalidates Policy in 18 NYCRR 352.2(b) and 04 ADM-5 “Temporary Assistance and Non-Temporary Assistance Mixed Households-Budgeting When Family Includes an SSI Member”
 - 08/27/07 07TA/DC010 Interim Assistance Reimbursement (IAR) for More than One Social Services District
 - 08/21/07 07TA/DC009 Substance Abuse Treatment for Adolescents - Conversion of Some Facilities that Treat Adolescents from Congregate Care Level II to Medical Facilities Under Residential Rehabilitation Services for Youth (RRSY)
 - 08/14/07 07TA/DC008 Updated-Food Stamp Standards for October 1, 2007 (UPSTATE ONLY)
 - 08/14/07 07TA/DC008 Updated-Food Stamp Standards for October 1, 2007 (NYC ONLY)
 - 08/07/07 07TA/DC007 Federal Minimum Wage Increase and Food Stamp Exemption
 - 08/01/07 07TA/DC006 Reporting Excused Absences from Countable Unpaid Work Activities as Hours of Participation for Households with Dependent Children
 - 06/06/07 07TA/DC005 Delayed Mailing of LDSS-4310 Periodic Reports to Six-Month Reporting Food Stamp Households
 - 03/30/07 07TA/DC004 2007 Emergency Program Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)
 - 03/20/07 07TA/DC003 200% of Poverty Income Standards Chart June 1, 2007 through May 31, 2008
 - 03/01/07 07TA/DC002 Client Satisfaction Survey
 - 02/20/07 07TA/DC001 Permanently Residing Under the Color of Law (PRUCOL)
 - DCLs Child Support
 - 06/29/2007 MEDX Appellate Court Decision
 - 06/01/2007 Release of Information to a Requesting Party

- 05/09/2007 Retroactive Modification of Support and Crediting of Overpayments
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- 07-03a Hearing Room Display Signs and Instructions Attachment
- 07-03 Hearing Room Display Signs and Instructions
- 2006
- ADMs
 - 06-ADM-15 School Attendance of Homeless Children - Revised
 - 06-ADM-14 Electronic Benefit Transfer (EBT) Customer Service Automated Response Unit (ARU) Personal Identification Number (PIN) Selection Restriction
 - 06-ADM-13 National Directory of New Hires (NDNH) Computer Match
 - 06-ADM-12-T Noncustodial Parent New York State Earned Income Tax Credit (NCP NYS EIC) - Procedures
 - 06-ADM-10 Temporary Assistance (TA) Mail-in Recertification Process Revised
 - 06-ADM-09 Velazquez Cases – Special Instructions Part 3
 - 06-ADM-08 2006-07 Combined TANF Allocation
 - 06-ADM-07 District of Fiscal Responsibility for Homeless Placements Out of District Revised
 - 06-ADM-06 Coordination of Temporary Assistance Employment and Eligibility Requirements for Individuals Who Are Required to Apply for SSI
 - 06-ADM-05 Providing Access to Temporary Assistance Programs for Persons with Disabilities and/or Limited English Proficiency (LEP) Revised
 - 06-ADM-02 Temporary Assistance: Income Eligibility Verification System (IEVS) 1099 Processing
 - 06-ADM-01 Lifeline Telephone Service
- INFs
 - 06-INF-34 Domestic Violence Residential Programs – Payment Issues and District of Fiscal Responsibility (DFR)
 - 06-INF-32 Digest of Laws of 2006 Relating to Programs of the Office of Temporary and Disability Assistance
 - 06-INF-30 New Desk Guide – LDSS-4888: “School Attendance Desk Guide” (7/06)
 - 06-INF-29 Revisions to 12 Mandatory Client Notices
 - 06-INF-28 Revised 9/06 version of the LDSS-4778: “Calculations of Total Overpayment Amount”
 - 06-INF-27 Revision of the LDSS-4731: “District of Fiscal Responsibility (DFR) Desk Guide” (Rev. 7/06)
 - 06-INF-26 Investigative Unit Operations Plan
 - 06-INF-25 Consolidated Shelter Arrears Policy and Emergency Safety Net Assistance Shelter Arrears Repayment Agreement - Revised
 - 06-INF-24 Contract with TALX Corporation for Employment and Income Verification Services via the “Work Number” and Local District Contact Information Request for the TALX Corporation and the National Directory of New Hires computer match
 - 06-INF-22 Clarification of DFR Procedures for Parolees
 - 06-INF-21 Temporary Assistance Questions and Answers
 - 06-INF-20 Clarification of the Treasury Offset Program (TOP) Collection Process
 - 06-INF-19 Medicare Part D Prescription Drug Plan and End of the Medicare-Approved Prescription Drug Discount Card Program Deduction
 - 06-INF-18 LDSS-4884: Temporary Assistance Energy Emergencies Comparison Table
 - 06-INF-17 LDSS-4863 Medical Information Release Form
 - 06-INF-16 Program Integrity Questions and Answers
 - 06-INF-15 Revisions to the LDSS-3174 Recertification Form for Temporary Assistance, Medical Assistance, Medicare Savings Program and Food Stamp Benefits and Pub-1313 How to Complete the LDSS-3174

- 06-INF-14 Battered Aliens Eligibility for Benefits Revised
- 06-INF-12 Clarification of Policy Regarding Verification of School Attendance Revised
- 06-INF-11 Family Violence Option Policy Clarifications
- 06-INF-10 Computer Matching Clarification for Food Stamps
- 06-INF-09 Revisions for the LDSS-3151: Food Stamp Change Report form (Rev. 1/06)
- 06-INF-07 Changes in Expungement Procedures
- 06-INF-06 State Tax Refund Offset Program (STROP): Watts v. Wing Settlement Terms
- 06-INF-05 Welfare-To-Work Regulatory Citation Changes
- 06-INF-04 HEAP 2006-2007 Needs Assessment Public Hearings
- 06-INF-03 Welfare-To-Work Employment Forms
- 06-INF-02 Revision to PUB-4786 The Earned Income Tax Credit LCMs
- 06-LCM-13 OTDA Contract with Medical Providers for Consultative Medical and Psychological Examinations and Intelligence Assessments
- 06-LCM-12 Long Term Care Point of Entry Program
- 06-LCM-11 Funding for Intensive Case Services for Noncompliant Families
- 06-LCM-09 Claiming Process for Certain Two-Parent Families
- 06-LCM-08 Food Stamp Management Evaluation Procedures
- 06-LCM-07 Claiming of Food Stamp Program (FSP) administrative funds for the medical screening of Food Stamp Employment and Training (FSE&T) participants to establish exemption from program rule requirements.
- 06-LCM-06 Additional TANF Funding to Support State-Administered Programs and Contracts
- 06-LCM-05 Imaging and Enterprise Document Repository (I/EDR) Services and Pricing Information
- 06-LCM-04 Katrina Claiming for Non-Assistance Program Expenditures
- 06-LCM-03 2006-07 Home Energy Assistance Program
- 06-LCM-02 Allocation for the 2006-07 Local Administration Fund
- 06-LCM-01 Submission of TANF Special Project Claims

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12/21/06 06TA/DC043 Citizens Energy Oil Heat Program (UP-STATE ONLY)

12/19/06 06TA/DC042 Minimum Wage Increase and Work Hours

11/24/06 06TA/DC041 NYSNIP Standard Benefit Amount Adjustments

11/22/06 06TA/DC040 Upcoming Telephone Conference Calls to Discuss Child Support Desk Review Process for Excess Support & Pass-through Payments

11/20/06 06TA/DC039 Group Home Standardized Benefits (GHSB) Adjustments

10/30/06 06TA/DC038 TA Grant Diversion Participants Not Eligible for TBA FS

10/26/06 06TA/DC037 1099 Computer Matching for TANF Recipients

10/18/06 06TA/DC036 Hours of Participation in Work Activities Report for Safety-Net Assistance (SNA) Cases without Dependent Children

10/10/06 06TA/DC035 Meeting Energy Emergencies

09/21/06 06TA/DC034 Non-Assistance Payment Types for Authorization of Temporary Assistance (TA) Emergency or Immediate Needs (UPSTATE ONLY)

09/05/06 06TA/DC033 Use of the “Financial Statement” (LDSS-3596) for Utility Arrearage Assistance and the Updated 2006-07 Food/Non-Food Guidelines

08/18/06 06TA/DC032 UPST Updated - Food Stamp Standards for October 1, 2006 (UPSTATE ONLY)

08/18/06 06TA/DC032 NYC Updated - Food Stamp Standards for October 1, 2006 (NYC ONLY)

08/11/06 06TA/DC031 Alert for the provision of US citizen repatriation services (UPSTATE ONLY)

07/25/06 06TA/DC030 Close Out of DFSP in Four Counties (Broome, Delaware, Montgomery, Tioga) (UPSTATE ONLY)

07/21/06 06TA/DC029 Extension of DFSP in Four Counties (Broome, Delaware, Montgomery, Tioga) (UPSTATE ONLY)

07/17/06 06TA/DC028 Issuing Supplemental Disaster FS Benefits to Current Food Stamp Recipients Affected by the Disaster (UPSTATE ONLY)

07/14/06 06TA/DC027 Extension of the Disaster Food Stamp Benefit Program (UPSTATE ONLY)

07/14/06 06TA/DC026 Toll-Free Number for Hearing Matters Related to the Flood of 2006 (UPSTATE ONLY)

07/11/06 06TA/DC025 Disaster Food Stamp Benefit Program and TA Emergency Benefits Follow-up GIS Message (UPSTATE ONLY)

07/10/06 06TA/DC024 Edit Change to Unearned Income Source Code 06 (Child Support Payments) and Unearned Income Source Code 02 (Alimony/Spousal Support Non-Arrears) (UPSTATE ONLY)

07/10/06 06TA/DC023 Camp Fees

07/07/06 06TA/DC022 Implementation of Disaster Food Stamp Program and Clarification of Emergency Assistance Programs; Information on Temporary Assistance Programs and HEAP in Relation to Flood Relief (UPSTATE ONLY)

07/07/06 06TA/DC021 WINR 4402 - Excess Child Support Exception Report - New Exceptions and Necessary Action (UPSTATE ONLY)

07/04/06 06TA/DC020 Emergency Benefit Issuance to Flooding Victims, July 4, 2006

06/29/06 06TA/DC019 WMS Availability on Fourth of July, 2006

06/29/06 06TA/DC018 Emergency Food Replacement

05/31/06 06TA/DC017 Problem with recent NYSNIP 24-Month Interim Report Mailing

05/25/06 06TA/DC016 Legislative Changes to Temporary Assistance Employment Requirements

05/12/06 06TA/DC015 NYSNIP Upstate 24 Month Interim Report (LDSS-4836 and 4836SP)

05/11/06 06TA/DC014 NYSNIP 24 Month Interim Reporting

04/07/06 06TA/DC013 Temporary Assistance: Income Eligibility Verification System (IEVS) 1099 Processing Contact List (UPSTATE ONLY)

04/03/06 06TA/DC012 New York State Nutrition Improvement Program (NYSNIP) Benefit Levels

03/28/06 06TA/DC011 Food Stamp Disaster Plan Local Contacts

03/23/06 06TA/DC010 Food Stamp Policy Reminder Authorized Reps are Chosen at HH Discretion

03/10/06 06TA/DC009 Delayed Delivery of Interim Assistance Reimbursement (IAR) Checks

03/07/06 06TA/DC008 WMS Coding for Evacuees of Hurricane Katrina

02/22/06 06TA/DC007 200% of Poverty Income Standards Chart - June 1, 2006 through May 31, 2007

02/10/06 06TA/DC006 Reauthorization of Temporary Assistance for Needy Families Program

02/10/06 06TA/DC005 2006 Emergency Program Income Guidelines for Emergency Safety Net Assistance (ESNA) and Emergency Assistance to Needy Families with Children (EAF)

02/01/06 06TA/DC004 Food Stamp Budgeting Reminder: Increased Standard Utility Allowances

01/30/06 06TA/DC003 Group Home Standardized Benefits (GHSB) Adjustments (NYC ONLY)

01/12/06 06TA/DC002 Food Stamp Budgeting; Updated Food Stamp Medical Mileage Deduction

01/05/06 06TA/DC001 Group Home Standardized Benefits (GHSB) Adjustments (UPSTATE ONLY)

DCLs (Child Support)

- 08/31/2006 Passport Denial Instructions

- 08/31/2006 Passport Denial

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- 05-ADM-16 Temporary Assistance Case Number Reuse

- 05-ADM-15 Food Stamp Claims and Collection Processes

- 05-ADM-14 Food Stamp Budgeting: VISTA Payments and Medical Mileage Expenses

- 05-ADM-13 Revised LDSS-3938: "Food Stamp Application Expedited Processing Summary Sheet"

- 05-ADM-12 Reporting of Room and Board Arrangements

- 05-ADM-11 Flexible Fund for Family Services

- 05-ADM-10 Velazquez Cases – Special Instructions Part 2

- 05-ADM-08 Front End Detection System (FEDS) Policy

- 05-ADM-06 Temporary Assistance (TA) and Medicaid (MA) Financial Institution Recipient Match (FIRM): Implications for TA, MA, and Food Stamps (FS)

- 05-ADM-04 Velazquez Cases – Special Instructions Parts 1 and 2

- 05-ADM-03 Establishing the Standard of Need and Budgeting Income for Persons Not Residing in Their Own Homes (18 NYCRR 352.9)

- 05-ADM-02 Section 8 Voucher: Change to the Temporary Assistance (TA) Budgeting for Some Section 8 Voucher Cases

INFs

- 05-INF-26 Notification of Local Districts Concerning Release of Sex Offenders

- 05-INF-25 Revised Hurricane Katrina Questions and Answers

- 05-INF-24 TA Policy: Non-parent Caregiver Cases and Temporary Assistance

- 05-INF-23 9/05 Revisions of LDSS-4682, LDSS-4682 NYC, LDSS-4799, LDSS-4799 NYC, LDSS-4827 and LDSS-4827 NYC

- 05-INF-22 SSA COLA for January 2006-SSI Benefit Levels Chart

- 05-INF-21 Revision to LDSS-3814: "Temporary Assistance Additional Allowances and Other Help" flyer

- 05-INF-20 Digest of Laws 2005 Relating to Programs of the Office of Temporary and Disability Assistance

- 05-INF-19 Hurricane Katrina Evacuee Questions and Answers

- 05-INF-18 Food Stamp Program Questions and Answers: Expedited FS Application Processing, IPV, NYSNIP, TOP/CAMS

- 05-INF-17 Temporary Assistance (TA) Budgeting: Volunteers in Service to America (VISTA) Payments

- 05-INF-16 8/05 Revision of LDSS-2642: "Documentation Requirements"

- 05-INF-15 Revisions to Mandatory Client Notices

- 05-INF-14 Revision of LDSS-4826: Food Stamp Benefits Application/Recertification and LDSS-4826A: How to Complete the Food Stamp Benefits Application/Recertification

- 05-INF-13 Revision to Food Stamp Benefits ABEL Budget Narratives (LDSS-3959, LDSS-3960 and LDSS-3961)

- 05-INF-11 Revision of Mandatory Client Notice: Repayment of Interim Assistance (LDSS-2425)

- 05-INF-10 Temporary Assistance Policy: Questions and Answers from the Spring 2004 Regional Meetings

- 05-INF-09 New Statewide "Common Application", LDSS – 2921 Statewide (Rev. 1/05) New Statewide "How to Complete" Publication, PUB – 1301 Statewide (Rev. 1/05)

- 05-INF-08 Revisions to PUB-4842: "Interpreter Services Poster" and PUB-4843: Interpreter Services Desk Guide

- 05-INF-07 State Tax Refund Offset Program (STROP): Watts vs. Wing – Update on Litigation and Request for LDSS Contact Person(s)

- 05-INF-04 Reinstatement of LDSS-3666: "TA/FS Documentation/Verification Desk Guide" (1/05)

- 05-INF-03 Puerto Rico EBT Interoperability Policy

- 05-INF-02 Documentation Receipt – Temporary Assistance, Food Stamp Benefits, Medicaid and or Child Health Plus A
- LCMs
- 05-LCM-13 Funding Availability for the Youth Engagement Services Program
- 05-LCM-12 Local District Emergency Closings
- 05-LCM-11 Case Management Services for Safety Net Recipients
- 05-LCM-10 HEAP Budget Calculator Application (HBC)
- 05-LCM-09 Policy Regarding the Supervisory Signature of LDSS-3209 Authorization
- 05-LCM-08 (Revised) Claiming Child Support Collections Refunded to Velasquez Case Members
- 05-LCM-06 Allocation for the 2005-06 Local Administrative Fund
- 05-LCM-05 Submission of TANF Special Project Claims
- 05-LCM-04 Treasury Offset Program
- 05-LCM-03 Submission of RF Certifications
- 05-LCM-01 TANF Calendar Year 2003 Projects/Allocations
- GIS Messages
- 10/06/05 05TA/DC040 NYSNIP Shelter Threshold Increase
- 09/14/05 05TA/DC031 Updated Food Stamp Instructions for Evacuees from Hurricane Katrina (NYC HRA Version)
- 09/14/05 05TA/DC031 Updated Food Stamp Instructions for Evacuees from Hurricane Katrina (Upstate Version)
- 09/08/05 05TA/DC028 Assistance for Displaced Citizens from Hurricane Katrina
- 09/02/05 05TA/DC027 Refugees from Hurricane Katrina
- 08/15/05 05TA/DC025 Updated Food Stamp Standards for October 1, 2005 (UPSTATE)
- 08/15/05 05TA/DC025 Updated - Food Stamp Standards for October 1, 2005 (NYC)
- 08/12/05 05TA/DC024 TA and/or FS Authorization Periods Limited to Six Months
- 04/21/05 05TA/DC016 Budgeting of Food Stamp Benefits for Group Home Residents
- 03/08/05 05TA/DC009 NYSNIP Non-Redeemer Letter-Round Two
- 03/02/05 05TA/DC008 FS Standard Utility Allowances for Heating/Cooling Expenses
- 02/15/05 05TA/DC006 Food Stamp Exclusion of Child Support Payments from Income
- 02/09/05 05TA/DC004 Exclusion of Disaster Relief Earnings
- 02/02/05 05TA/DC003 NYSNIP Non-Redeemer Reminder GIS
- 01/28/05 05TA/DC002 Exclusion of Military Combat Pay
- DCLs (Child Support)
- 11/29/2005 Model Bankruptcy Protocol
- 06/10/2005 Undistributed Collections and Coding
- 06/10/2005 Undistributed Collection Categories and Coding for 44 SPEC Field
- 03/10/2005 Medical Execution
- OAH PROCEDURES TRANSMITTALS
- 05-31 Varshavsky Remand Procedure 2
- 05-26a Attachment Referral Guide
- 05-03 Reminder to Agencies on Communications with Represented Clients/Appellants
- 2004
- ADMs
- 2004 ADM-08 Expansion of Eligibility of Alien Victims of Severe Forms of Trafficking in Persons
- 2004 ADM-07 Food Stamp Medical Deduction for Medicare Prescription Drug Discount Cards
- 2004 ADM-06 Treatment of Full-Time Earnings of Students Under Temporary Assistance (TA) Programs
- 2004 ADM-04 Refugee Cash and Medical Assistance Programs (RCA & RMA) Revised December 8, 2004

- 2004 ADM-02 Changes in Food Stamp Program Change Reporting Rules
- 2004 ADM-01 Establishing and Collecting Food Stamp Overissuance Claims
- INFs
- 2004 INF-26 Revisions to Manual Client Notices
- 2004 INF-25 Introduction of a Food Stamp Six-Month Reporting Desk Guide
- 2004 INF-24 Digest of Laws of 2004 Relating to Programs of the Office of Temporary and Disability Assistance
- 2004 INF-23 Revision of LDSS-4398: “WMS Non-Services Code Cards” (November 2004 Update)
- 2004 INF-22 SSA COLA for January 2005 - SSI and Food Stamp Charts
- 2004 INF-21 Revision of the LDSS-4403: “Determination of Eligibility For Emergency Assistance to Families (EAF)” (7/04 Revision)
- 2004 INF-20 Temporary Assistance Policy: Computer Matching Clarification
- 2004 INF-19 Offer of a Job as an Available Resource
- 2004 INF-18 Local Department of Social Services District of Fiscal Responsibility Contacts Found on the OTDA Intranet Site and CentralPort
- 2004 INF-16 Electronic Benefit Transfer (EBT) Voluntary Repayment of Overpayments
- 2004 INF-15 Availability of the Revised 2/04 Version of the 9 Other Than English Languages LDSS-3151: “Food Stamp Change Report Form”
- 2004 INF-14 Revision of the Mandated Food Stamp Benefits Civil Rights Complaint Procedure Poster (LDSS-8036)
- 2004-INF-13 Revisions to the Systems Generated “Periodic Report” (LDSS-4310) and the Vendor Printed “Follow-Up to the Periodic Report” (LDSS-4310A)
- 2004 INF-12 Temporary Assistance Questions and Answers Revised July 26, 2004
- 2004 INF-11 Revision of the LDSS-4826: “Food Stamp Benefits Application/Recertification” and LDSS-4826A: “How to Complete the Food Stamp Benefits Application/Recertification”
- 2004 INF-09 Documentation Requirements Reminder Revised July 6, 2004
- 2004 INF-07 Temporary Assistance Questions and Answers
- 2004 INF-05 Disregard Certain Veterans Administration (VA) Payments Made to Biological Children of Women Vietnam Veterans and Extend to Safety Net Assistance Families the Disregard of VA Payments Made to Vietnam Veterans’ Children with Spina Bifida
- 2004 INF-03 Revision of the LDSS-4403: “Determination of Eligibility for Emergency Assistance to Families (EAF)” (7/03 Revision)
- LCMs
- 2004 LCM-13 New York State Nutrition Improvement Project
- 2004 LCM-12 Appointment of OTDA Executive Deputy Commissioner and OTDA Deputy Commissioner for Division of Temporary Assistance
- 2004 LCM-11 AFIS Plan / Exemptions for FS Finger Imaging
- 2004 LCM-10 Program Integrity Performance Measures
- 2004 LCM-08 Food Stamp Program Access Policy
- 2004 LCM-07 Food Stamp Program Civil Rights Complaint Procedures Revised June 30, 2004
- 2004 LCM-06 Front End Detection System (FEDS)
- 2004 LCM-05 Food Stamp Management Evaluation Procedures
- 2004 LCM-04 Approvals of Revisions to Local District’s Cost Allocation Plan
- 2004 LCM-03 Submission of TANF Special Project Claims
- 2004 LCM-02 Procedures Regarding the Security of Common Benefit Identification Cards (CBICS) Returned Undeliverable By the United States Postal Service (USPS)

- 2004 LCM-01 District of Fiscal Responsibility Procedures Reminder Revised February 19, 2004
- GIS Messages
 - 12/29/04 04TA/DC031 FS Outreach via EPIC Letter regarding Medicare Rx Drug Discount Programs
 - 12/21/04 04TA/DC030 Cash HEAP Payments to NYSNIP Participants
 - 11/02/04 04TA/DC028 Implementation of Standardized Food Stamp Benefits for Group Home Residents
 - 10/14/04 04TA/DC025 FS Policy on Medicare RX Drug Discount programs
 - 08/17/04 04TA/DC019 Updated Food Stamp Standards for October 1, 2004
 - 07/06/04 04TA/DC018 Follow-up to GIS 04TA/DC005: Shortening 24-Month FS Certification Periods
 - 06/30/04 04TA/DC016 Periodic Reports for Non-TA Food Stamp Households
 - 06/02/04 04TA/DC014 Food Stamp Disaster Plan: Local District Contacts
 - 05/11/04 04TA/DC013 Clarification of FS TBA Policy reissued
 - 05/11/04 04TA/DC011 Clarification of FS TBA Policy
 - 03/18/04 04TA/DC005 Shortening 24-Month FS Certification Periods/New B80 CNS Code
 - 02/18/04 04TA/DC002 SUA for Telephone
 - DCLs (Child Support)
 - 06/25/2004 Document Data Sheets
 - 05/03/2004 Letter: Calculation of Unreimbursed Assistance
 - 05/03/2004 Calculation/Payment of Support In Excess of Assistance Paid
 - 05/03/2004 Response to Specific Questions
 - 03/24/2004 Unreimbursed Assistance
 - 03/23/2004 Letter: Medical Execution Frequently Asked Questions
 - 03/23/2004 Medical Execution Frequently Asked Questions
 - 03/02/2004 Issuance of Medical Execution and Alternative Coverage
 - 02/26/2004 Medical Execution Cover
 - 02/26/2004 National Medical Execution Notice Revised
- 2003
 - ADMs
 - 2003 ADM-11 Emergency Assistance to Families (EAF): Changes to Part 372 of 18 NYCRR 372 and to the TANF State Plan
 - 2003 ADM-10 TA Policy Changes: Lump Sum Set Asides and Resource Two-Year College Fund Exemption
 - 2003 ADM-09 Regulatory Changes: Temporary Assistance (TA) Budgeting: Percentage Earnings Disregard Extended to Pregnant SNA Women and Trust Fund Policy Clarification
 - 2003 ADM-08 Issuing Nonrecurring Temporary Assistance (TA) Emergency Payments and TANF Services Block Grant Payments on an Active Non-Temporary Assistance Food Stamp Case, an Active Medicaid Case or at the Time of a TA Application Denial
 - 2003 ADM-07 Temporary Assistance: New Shelter Allowances and Related Changes
 - 2003 ADM-03 New Food Stamp-Only Application Form
 - 2003 ADM-02 Desk Reference for DV Screening under the Family Violence Option
 - 2003 ADM-01 Eligibility of Alien Victims of Severe Form of Trafficking in Persons
 - INFs
 - 2003 INF-43 Food Stamp Deductions for Medical Expenses
 - 2003 INF-42 Elimination of Social Security Numbers from SSI, Interim Assistance Reimbursement, and Social Security Checks
 - 2003 INF-41 Revisions to Client Notices
 - 2003 INF-40 SSA COLA for January 2004 - SSI and Food Stamp Charts

- 2003 INF-39 New Statewide “Common Application”, LDSS – 2921 Statewide (Rev. 7/03) and New Statewide “How to Complete” Publication, PUB – 1301 Statewide (Rev. 7/03)
- 2003 INF-38 Availability of the Following Forms in Arabic and Chinese: LDSS-2921 Statewide “Common Application” form and PUB-1301 Statewide “How to Complete the Application” form
- 2003 INF-37 Revision to Spanish Versions of the Client Information Books and the Introduction of Other Available Languages Including Russian, Arabic and Chinese
- 2003 INF-36 Digest of Laws of 2003 Relating to Programs of the Office of Temporary and Disability Assistance
- 2003 INF-35 Clarification of Temporary Assistance Diversion Payment Types for Families
- 2003 INF-34 Limiting Emergency/Immediate Needs Grants Due to Frequent Applications for Recurring and Emergency Temporary Assistance
- 2003 INF-33 Revision of the LDSS-3151: “Food Stamp Change Report Form” (Rev. 6/03)
- 2003 INF-32 LDSS-4682: Notification of Overpayment of Public Assistance to a Former Recipient and Demand For Repayment (5/03) and LDSS-4682 NYC: Notification of Overpayment of Public Assistance to a Former Recipient and Demand For Repayment (NYC) (5/03)
- 2003 INF-31 Revision of the LDSS-3558: “Food Stamp Separate Determination Input Form” (Rev. 5/03)
- 2003 INF-29 Family Violence Option: Domestic Violence Liaison List
- 2003 INF-27 Temporary Assistance Date of Eligibility
- 2003 INF-26 Introduction of a Statewide LDSS-3174: “Recertification Form” and The Associated PUB-1313: “How to Complete” Publication
- 2003 INF-25 Temporary Assistance Questions and Answers Revision: July 7, 2003 Original Release: June 19, 2003
- 2003 INF-22 Temporary Assistance: Individuals in Residential Treatment Programs
- 2003 INF-20 Availability of the Statewide Common Application and the How to Complete the Application in Spanish and Russian
- 2003 INF-19 Expired or Lost Immigration Documents
- 2003 INF-18 Obsolete Form DSS-2215: “Report of Claim/Benefit Restoration Determination” Food Stamp Program
- 2003 INF-17 Recoupment Procedures When Temporary Assistance (TA) Recipients Change Districts
- 2003 INF-16 Revisions to the Food Stamp Benefits Budget Worksheets
- 2003 INF-15 Compromise of Food Stamp Claims for Overissuance
- 2003 INF-14 Food Stamp Program Eligibility for Aliens
- 2003 INF-13 Revision to LDSS-4753: “Food Stamps – Request for Contact/Missed Interview”
- 2003 INF-12 Revision of the “Food Stamp Household Composition Desk Guide” (LDSS-4314) (Rev. 1/03)
- 2003 INF-11 Revisions to the LDSS-4791: Important Information About What Changes You Must Report for Food Stamp Benefits
- 2003 INF-10 Food Stamp Program Questions and Answers: Application Processing, Six-Month Reporting, Transitional Benefits and Standard Utility Allowances
- 2003 INF-07 State Sixty-Month Time Limit and Essential Persons
- 2003 INF-05 Digest of Laws of 2002 Relating to Programs of the Office of Temporary and Disability Assistance
- 2003 INF-04 Time Limit Counts and Family Assistance Payment Corrections
- 2003-INF-02 Revision of the LDSS-3151 “Food Stamp Change Report Form” (Rev. 1/03)
- 2003 INF-01 Earned Income Tax Credit and Other Tax Credits LCMs

- 2003 LCM-09 Refunds of Treasury Offset Program (TOP) Monies
- 2003 LCM-08 Safeguarding of Personal Information for Food Stamp and Temporary Assistance Applicants and Recipients
- 2003 LCM-07 Food Stamp Management Evaluation Procedures
- 2003 LCM-05 Termination of Certain Food Stamp Overissuance Claims
- 2003 LCM-03 Food Stamp Program Civil Rights Complaint Procedures
- 2003 LCM-02 New Hires Match
- 2003 LCM-01 Clothing Allowance Under the Emergency Assistance to Adults Program
 - GIS Messages
 - 09/25/03 03TA/DC028 24-month FS certification periods for households in which all adults are elderly/disabled
 - 08/15/03 03TA/DC022 Response to Power Outages
 - 08/13/03 03TA/DC021 IPV Notices for PA and FS now available on OTDA Forms Website
 - 08/11/03 03TA/DC020 Updated-Food Stamp Standards for October 1, 2003
 - 07/31/03 03TA/DC019 Subscribe to the Automated Subscriber System for Updates to the Temporary Assistance Source Book - TASB and the Food Stamp Source Book – FSSB
 - 07/28/03 03TA/DC018 Temporary Assistance (TA), Medicaid and Food Stamps (FS) Policy Regarding the Treatment of Federal Tax Variables
 - 07/14/03 03TA/DC017 Treasury Offset Program Fairness Letter
 - 07/02/03 03TA/DC015 Introduction of LDSS-4826B: “Interview/Verification Guide for the LDSS-4826: ‘Food Stamp Benefits Application’ ”
 - 02/06/03 03TA/DC003 Food Stamp Eligibility of Certain Aliens
 - 02/04/03 03TA/DC001 Food Stamp Disaster Plan Local Contacts DCLs (Child Support)
- 10/21/2003 Private Collection Agencies
- 07/11/2003 \$500 Arrears Cap
- 06/27/2003 Intrastate Transfer of Cases
- 06/10/2003 HIPAA Rules and Child Support
- 05/01/2003 Department of Taxation and Finance: Kennedy Enhancements
- 01/28/2003 Cost Recovery of Legal Representation/International Child Support Cases
- OAH PROCEDURES TRANSMITTALS
- 03-22 Revised OTDA-4420 Notice of Aid Status
- 03-10 Revised OAH-457
- 2002
- ADMs
- 2002 ADM-08 Repeal of NYCRR 352.31(B) “Claimant for Income Tax Exemption”
- 2002 ADM-07 Food Stamp Program Reauthorization Changes
- 2002 ADM-06 Change in the Food Stamp Vehicle Resource Policy
- 2002 ADM-02 Meeting the Emergency/Immediate needs of Temporary Assistance (TA) Applicants/Recipients
- 2002 ADM-01 Food Stamp Treatment of Individual Development Accounts
- INFs
- 2002 INF-41 Revision to Food Stamp Benefits ABEL Budget Narratives (LDSS-3959, LDSS-3960 and LDSS-3961)
- 2002 INF-39 Conditions and Costs Associated with Removals, Revision: December 10, 2002
- 2002 INF-37 Temporary Assistance Periodic Reporting Regulation Filing
- 2002 INF-36 Family Violence Option Questions and Answers
- 2002 INF-35 SSA COLA for January 2003 – SSI and Food Stamp Charts
- 2002 INF-34 Treatment of Crime Victims Compensation Benefits for Temporary Assistance (Correction of November 1st Release)
- 2002 INF-33 Receipts for Recipients Who Drop Off Documentation
- 2002 INF-31 Temporary Assistance Questions and Answers
- 2002 INF-30 Revision of the “Food Stamp Household Composition Desk Guide” (LDSS-4314) (Rev. 6/02)
- 2002 INF-29 Necessity of Accurate Social Security Numbers in the Welfare Management System
- 2002 INF-28 Revision to Public Assistance ABEL Budget Narratives (LDSS-3951, LDSS-3952, LDSS-3953 and LDSS-3954)
- 2002 INF-27 Domestic Violence: Frequently Asked Questions on Reimbursement, General and Programmatic Issues
- 2002 INF-26 Revisions to the System Generated Periodic Report Form (LDSS-4310) and the Printed Follow-Ups to the Periodic Report Form (LDSS-4310A and LDSS-4310A NYC)
- 2002 INF-25 Section 8 Certificate Shelter Type Codes
- 2002 INF-22 Drug and Alcohol Frequently Asked Questions (FAQs), U.S. Department of Veteran Affairs (VA) Drug and Alcohol Treatment Programs; and OTDA Audit and Quality Control (A&QC) Drug and Alcohol Abuse Screening/Assessment Process Review/Findings
- 2002 INF-21 Temporary Assistance Procedures; Certification Periods of TA Cases With Earned Income
- 2002 INF-19 Revision of the LDSS-3708: “School Attendance Verification Form” (Rev. 4/01)
- 2002 INF-18 Revision of the LDSS-3151: “Food Stamp Change Report Form”
- 2002 INF-17 Food Stamp Questions and Answers
- 2002 INF-15 Revised Issue July 23, 2002 (Original Issued June 27, 2002) Recurring Limited Temporary Assistance Energy Payments
- 2002 INF-14 Charitable Choice Provision, Personal Responsibility and Work Opportunity Reconciliation Act of 1996, P.L. 104-193 (Reissued June 3, 2002)
- 2002 INF-09 Certification/Recertification Checklist: Changes In Requirements
- 2002 INF-06 Clarification of Retention Policy of Domestic Violence (DV) Screening Forms and Related Case Records
- 2002 INF-03 Responses to Questions Raised at Time Limit/Tracking Conference Calls
- 2002 INF-02 Obsolete Certification Guide (DSS-3570)
- 2002 INF-01 Expansion of the Eligibility of Certain Minors for TANF Service Programs
- LCMs
- 2002 LCM-13 Extension of Food Stamp Administrative Cost Reductions
- 2002 LCM-12 Work Experience Placements Reimbursement
- 2002 LCM-11 Model HEAP Cooperative Agreement/Contract
- 2002 LCM-10 Changes to Food Stamp Employment and Training Participant Expenditures
- 2002 LCM-08 Claiming Federal Reimbursement for Reserved Accommodations
- 2002 LCM-07 Americans with Disabilities Act (ADA) – Access to Local District Social Services Programs and Services and Activities
- 2002 LCM-06 Food Stamp Management Evaluation Procedures
- 2002 LCM-05 Submission of TANF Special Project Claims
- 2002 LCM-02 Suspension of Local MOE Plans Submission
- GIS Messages
- 09/17/02 02TADC024 Additional Food Stamp Resource Exclusion
- 08/13/02 02TADC018 Updated - Food Stamp Standards for October 1, 2002
- 04/10/02 02TADC009 Requirement to send the LDSS 4735 FS “Request for Contact/Notice of Missed Interview” when an initial FS eligibility interview is missed
- 03/11/02 02TADC007 Revised Message: GIS 02 TA/DC0040

3/01/02 02TADC004 Printing and Delivery of Manual Notices Referenced in 01 INF-17

02/22/02 02TADC003 Request for Contact Language for Food Stamp 6 Month Reporters on Transitional Benefits

01/08/02 02TADC001 Correction of LDSS 4753 - Request for Contact/Notice of Missed Interview

DCLs (Child Support)

- 12/16/2002 Modifications to Driver's License Suspension Process
- 08/29/2002 PIC Enforcement Procedures
- 07/29/2002 Liens
- 07/19/2002 Property Execution Against Jointly Owned Bank Accounts

• 06/03/2002 Wage and Health Benefit Report

• 05/21/2002 Drivers' License Suspension Modifications

OAH PROCEDURES TRANSMITTALS

02-01 EA and Foster Care Processing

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• 2001 ADM-16 Transitional Benefit Alternative: Transitional Food Stamp Benefits for Family Assistance Leavers

• 2001 ADM-14 Temporary Assistance Procedures: District Waiver Option of Quarterly Reporting Requirements (QRS) and Attachments

• 2001 ADM-13 Temporary Assistance Budgeting: Initial and Increased Earnings of Recipients

• 2001 ADM-12 Temporary Assistance Budgeting: The Treatment of Retroactive SSI and Social Security (RSDI) Corrective Payments

• 2001 ADM-11 Safety Net Assistance Recoupment Rate Change

• 2001 ADM-10 Revised Alcohol and Drug Abuse Screening and Referral Form, Revised Referral Protocols, Targeting TANF Applicants/Recipients

• 2001 ADM-09 Six-Month Reporting Rules Food Stamp Households With Earned Income

• 2001 ADM-08 Changes in Food Stamp Application and Recertification Procedures

• 2001 ADM-07 Food Stamp and Temporary Assistance Treatment of Family Subsistence Supplemental Allowance Payments

• 2001 ADM-06 Revised Letter of Notification (LON) and Letter of Intent (LOI) Approval Process for the Acquisition of EDP Equipment and/or Related Services

• 2001 ADM-04 Reporting Requirement for TANF Assistance: Reg. 351.1(b)(2)

• 2001 ADM-03 Errata: Exemptions to the State Sixty-Month Cash Time Limit/Evaluation for Safety Net Assistance

• 2001 ADM-03 Exemptions to the State Sixty-Month Cash Time Limit/Evaluation for Safety Net Assistance

• 2001 ADM-02 Expansion of Food Stamp Categorical Eligibility

• 2001 ADM-01 Continuation of Food Stamps on TA Case During Move

INFs

• 2001 INF-28 Digest of Laws of 2001 Relating to Programs of the Office of Temporary and Disability Assistance and Attachment

• 2001 INF-27 SSA Cost of Living Adjustment for January 2002-SSI Benefit Levels Chart

• 2001 INF-25 Treatment of Income/Resources of Participants in Operation Enduring Freedom

• 2001 INF-24 Obsolete Form DSS-632: "Consent for Verification of Information"

• 2001 INF-22 Revisions of LDSS-2921 Upstate Common Application and PUB-1301 Upstate "How to Complete" Publication

• 2001 INF-21 Food Stamp Questions and Answers

• 2001 INF-20 Providing Temporary Assistance to Individuals Sanctioned From Supplemental Security Income

• 2001 INF-19 Responses to Questions Raised at Time Limit/Tracking Regional Meetings

• 2001 INF-18 Clarification of Temporary Assistance Drug and Alcohol Employment Coding and Case Type Policy/Procedures

• 2001 INF-17 Revisions to Manual Notices

• 2001 INF-14 Converting EBT Food Stamp Benefits to EBT Cash When Recipients Move Out of State

• 2001 INF-12 Temporary Assistance Sanctions: Budgeting for TA and FS, Treatment of Income for FS When the TA Case Closes, and Medicaid Implications

• 2001 INF-11 Temporary Assistance Questions and Answers and Attachment

• 2001 INF-10 Clarification of Food Stamp Denials When an Eligibility Interview is Missed

• 2001 INF-09 Application Access for Non-Citizens: Temporary Assistance and Food Stamps

• 2001 INF-08 Temporary Assistance (TA) and Food Stamps (FS) Policy: The Treatment of Supplemental Needs Trusts (SNTs) and Reverse Annuity Mortgage (RAM) Loans

• 2001 INF-04 The 2001 New York State and Federal Earned Income Credit Campaign

• 2001 INF-03 Clarification of Policy Relating to the Provision of the Emergency Shelter Allowance for Persons with AIDS or HIV-Related Illness

• 2001 INF-02 Digest of Laws of 2000 Relating to Programs of the Office of Temporary and Disability Assistance

LCMs

• 2001 LCM-12 Availability of the Spanish Version of the "Youth Application for TANF Services" Form and Attachment

• 2001 LCM-11 Reserved Accommodations

• 2001 LCM-10 Availability of the "Youth Application for TANF Services" Form

• 2001 LCM-08 Two Year Claiming Deadlines

• 2001 LCM-06 IRS-1099 Match

• 2001 LCM-05 EBT Fedwire Settlement Process

• 2001 LCM-02 Special Claim Forms for TANF Services Plan Programs and TANF MOE

GIS Messages

10/23/01 TADC045 Exemption of Disaster Relief Payments Reminder

09/21/01 TADC040 Exemption of Disaster Relief Payments

09/20/01 TADC039 New Food Stamps Poster

09/06/01 TADC034 Revised Manual Notices (01 INF-17)

08/20/01 TADC030 Updated-FS Standards for October 1, 2001

08/10/01 TADC029 Updated-Food Stamp Standards for October 1, 2001

08/07/01 TADC028 Quarterly Reporting Mailers

06/25/01 TADC024 June mail out to Non-TA/FS cases regarding the six-month reporting rule

06/20/01 TADC023 Treatment of Federal Tax Rebates

06/13/01 TADC021 Exclusion of Certain Retroactive SSI Payments as Lump Sums for FS

06/01/01 TADC018 Changes in the Food Stamps Vehicle Resource Exemption Policy

02/27/01 TADC009 Client Benefit Access

02/27/01 TADC008 FS Cash-Out Conversion

02/06/01 TADC005 FS Cashout Conversion

01/24/01 TADC004 Food Stamp Casefile Documentation

01/24/01 TADC003 Updated-Food Stamp SUA Standards for March 1, 2001

DCLs (Child Support)

• 03/06/2001 Re-Assignment of Permanently Assigned Arrears

• 08/06/2001 Tax Off-Set Distribution Rules

• 12/18/2001 Letter: Continuation of Services

• 12/18/2001 Notice: Continuation of Services

OAH PROCEDURES TRANSMITTALS

- 01-51 Upstate Emergency Hearing Procedures
- 01-45 Action Taken by NYC HRA MAP Due to Ineligibility for SSI
- 01-35 Appellant Identification Procedure
- 01-15 Procedure for Handling Non-hearing Inquiries and Complaints
- 2000
- ADMs
 - 2000 ADM-08 Errata: Electronic Benefit Transfer (EBT)
 - 2000 ADM-07 Non-Cash Safety Net Assistance (SNA) for Other Than Grantee (OTG) Cases
 - 2000 ADM-06 Initial Notice of Overpayment to Closed Cases (Revised)
 - 2000 ADM-01 TANF Funding Swap From Public Assistance to EAF Foster Care for the 1999-2000 State Fiscal Year
- INFs
 - 2000 INF-21 Policy Clarification on TANF Funded Assistance
 - 2000 INF-20 WMS Input Directions to Assure Accurate and Complete Federal Reports
 - 2000 INF-19 District of Fiscal Responsibility (DFR) Procedures
 - 2000 INF18 Clarification of Relationship Between the Standard Utility Allowance (SUA) and Receipt of HEAP
 - 2000 INF-16 Temporary Assistance (TA), Food Stamps (FS), and Medicaid (MA) Budgeting: Out-of-State Temporary Assistance Payment
 - 2000 INF-15 Temporary Assistance Questions and Answers
 - 2000 INF-14 Revised "Request for Voluntary Restricted Payments" Form (LDSS-4580) (Rev. 1/00)
 - 2000 INF-13 Alien Eligibility Desk ID Card (Rev. 4/00)
 - 2000 INF-11 Revision of "Food Stamp Separate Determination Input Form" (LDSS-3558)
 - 2000 INF-10 Welfare Reform Community-Based Organization Resource Guide (Pub No. 4663)
 - 2000 INF-08 Office of Temporary and Disability Assistance (OTDA) Census 2000 Campaign
 - 2000 INF-07 Interim Printings of LDSS-2921, LDSS-2921(NYC), LDSS-3174 and LDSS-3174(NYC)
 - 2000 INF-06 Verifying Relationship of the Caretaker Relative to the Child
 - 2000 INF-05 LDSS-3343: "Quarterly Roster of Good Cause Claims"
 - 2000 INF-02 Child Support Cooperation: Questions and Answers
 - 2000 INF-01 Errata: Revision of Mandatory Client Notice: Repayment of Interim Assistance Notice (LDSS-2425)
 - 2000 INF-01 Revision of Mandatory Client Notice "Repayment of Interim Assistance Notice" LDSS-2425
- LCMs
 - 2000 LCM-21 Temporary Assistance to Needy Families Maintenance of Effort (MOE) Local Initiative
 - 2000 LCM-20 TANF Services for Individuals and Families With Incomes Up To 200% of The Federal Poverty Level
 - 2000 LCM-18 Availability of Funds to Provide Services to Certain Safety Net Recipients (SNAP – Safety Net Assistance Project)
 - 2000 LCM-15 TANF and TANF Maintenance-of-Effort (MOE) Program Reporting
 - 2000 LCM-13 Proposals Requested for the Establishment of Transitional Opportunities Program (TOP) Offices/Units
 - 2000 LCM-11 Earned Income Credit (EIC)
 - 2000 LCM-10 Certain Employment Costs not Allowed as Food Stamp Employment and Training Expenditures
 - 2000 LCM-09 Domestic Violence Allocation Use
 - 2000 LCM-08 Separate State Maintenance-of-Effort (MOE) Program Reporting
 - 2000 LCM-07 Emergency Assistance to Families (EAF) for Juvenile Delinquents and Persons In Need of Supervision (JD/PINS)

- 2000 LCM-04 2000 Census Promotion
- 2000 LCM-01 Temporary Assistance to Needy Families Maintenance of Effort FY 2000
- DCLs (Child Support)
 - 05/16/2000 Policy: DNA Labs + Attachment
 - 03/02/2000 CSMS Modification: Distributions/PROWRA
 - 01/19/2000 CSMS Modification: Distributions/PROWRA
- OAH PROCEDURES TRANSMITTALS
- 00-30 OTDA Initiative to Encourage and Monitor Compliance with FH Decisions
- 00-05 Document Imaging Implementation (Instructions for Local Agencies)
- 00-04 Document Imaging Implementation
- 1999
- ADMs
 - 1999 ADM-09 The Automated Finger Imaging System (AFIS) for PA, FS, FAP, EAF, ESNA, PICA and Medicaid
 - 1999 ADM-08 Domestic Violence: Final TANF Regulations and the Family Violence Option
 - 1999 ADM-07 Errata: Time Limit Tracking and System Support
 - 1999 ADM-05 Cooperation with Child Support Enforcement for Temporary Assistance, Medicaid, Foster Care and Child Care Services Applicants and Recipients
 - 1999 ADM-04 Changes to Supervisory Review Approval for Temporary Assistance and Food Stamps
 - 1999 ADM-02 Alien Sponsorship – Deeming of Sponsor's Income and Resources
 - 1999 ADM-01 Administration Issuance of Subpoenas in Child Support Cases
- INFs
 - 1999 INF-21 Child Assistance Program (CAP) Eligibility: Procedures for Employment Sanctions
 - 1999 INF-20 Digest of Laws of 1999 Relating to Programs of the Office of Temporary and Disability Assistance
 - 1999 INF-19 Drug/Alcohol Treatment: Option for In-District Care
 - 1999 INF-18 Non-Recoverability of Child Support Pass-Through Payments
 - 1999 INF-17 Reporting of Aliens Known to be Unlawfully in the United States
 - 1999 INF-16 HUD Welfare-to-Work Housing Vouchers – Potential Rent Subsidy Assistance for Some Temporary Assistance Families
 - 1999 INF-15 Emergency Assistance and Sanctioned Persons
 - 1999 INF-14 LDSS-4600: LDSS-4600 Drug and Alcohol Screening, Assessment, and Treatment Implications Desk Guide (6/98)
 - 1999 INF-13 Questions and Answers on Temporary Assistance Energy Policy
 - 1999 INF-11 Potential Eligibility for Food Stamps: Hmong and Other Highland Laotian Tribe Members
 - 1999 INF-10 Domestic Violence Waiver of Temporary Assistance Lien Requirements; Recovery of Temporary Assistance From Legally Responsible Batterers
 - 1999 INF-09 Temporary Assistance/Medicaid Eligibility: Expansion of Who Can Conduct Drug/Alcohol Assessments
 - 1999 INF-08 Food Stamp Program Application Requirements
 - 1999 INF-07 Amended State Version of Federal Form SS-5 "Application for a Social Security Card" (LDSS-4000)
 - 1999 INF-06 Medicaid Determinations When Public Assistance is Denied or Closed or the PA Application is Withdrawn
 - 1999 INF-05 Child Assistance Program (CAP): Questions and Answers
 - 1999 INF-04 Public Assistance Eligibility: Clarification of Drug and/or Alcohol Issues
 - 1999 INF-02 Revision to Budget Worksheet – Public Assistance (LDSS-548)

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- 1999 LCM-40 Information on Problem Gambling
- 1999 LCM-39 TANF Funded Employment Program Contracts
- 1999 LCM-37 Claiming Deadlines – TANF Programs
- 1999 LCM-32 Updated District of Fiscal Responsibility and Drug/Alcohol Contacts
- 1999 LCM-31 Y2K Readiness Planning
- 1999 LCM-30 Claiming of JD/PINS for Youth in Voluntary Agencies and Foster Boarding Homes
- 1999 LCM-29 TANF MOE Expenditures
- 1999 LCM-28 Domestic Violence Allocations: July 1999-June 2001
- 1999 LCM-26 Merit Incentive Awards Allocations
- 1999 LCM-23 Implementation of the Systematic Alien Verification for Entitlements (SAVE) Program – Interim Process
- 1999 LCM-22 Expansion of the Child Assistance Program (CAP)
- 1999 LCM-20 Non-Cash Safety Net Assistance (SNA) Restriction Hierarchy and Available Restriction and Payment Options
- 1999 LCM-19 Notice: LDSS-4647: “Important Information About Child Care”
- 1999 LCM-17 TANF State Plan Forums
- 1999 LCM-15 Allocations for TANF & SNA Drug & Alcohol Assessments and the Availability of Funds to Operate an Enhanced Drug/Alcohol Program for TANF Recipients
- 1999 LCM-14 Temporary Assistance to Needy Families Maintenance of Effort
- 1999 LCM-13 Local District Year 2000 Contingency Plan Survey
- 1999 LCM-12 Survey of Social Welfare Examiner Job Tasks
- 1999 LCM-11 Federal Tax Refund Offset Program (FTROP)
- 1999 LCM-10 Year 2000 Compliance Requirements
- 1999 LCM-09 Federal Tax Refund Offset Program (FTROP)
- 1999 LCM-08 “New York State Touchstones/Kids Count Data Book”
- 1999 LCM-04 Federal Tax Refund Offset Program (FTROP)
- 1999 LCM-03 “Notice of Claim Settlement” (OTDA-591, 591-A & 907)
- 1999 LCM-01 Food Stamp Program: Clarification of Definition of Disability

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- 99-40 Hearing Right for Former Recipients when Challenging the Amount of a Claim for Overpayment of PA
- 99-13 Changes to the Outcome Reason Codes and the Decision Issuance Screen (PFHISS)

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- 1998 ADM-14 Procedures for Cost of Living Adjustments (COLA) and One-Time Review and Adjustments for Child Support Orders
- 1998 ADM-12 Recovery of Overpayments: Modification of PA Threshold
- 1998 ADM-11 Authorization For Social Services Districts to Approve Adoption Subsidies
- 1998 ADM-09 Public Assistance Eligibility: Time Limit for Initial Interview
- 1998 ADM-06 Procedures for Establishing Paternity with Acknowledgments and Administrative Orders for Genetic/DNA Tests
- 1998 ADM-05 Merit Incentive Awards for Children in Receipt of TANF Funded Public Assistance
- 1998 ADM-03 Errata: Domestic Violence: Family Violence Option Under the Welfare Reform Act of 1997
- 1998 ADM-03 Domestic Violence: Family Violence Option Under the Welfare Reform Act of 1997
- 1998 ADM-02 Change of Payee Policy and Procedure for Child Support Enforcement

- 1998 ADM-01 Local Flexibility Incentive Pilot Programs

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- 1998 INF-16 Obsolete Form: DSS-2502: “ADC-U Screening Checklist”
- 1998 INF-15 Deadline Extension for Local District Negotiated Performance Award Plans and Transmittal of Baseline Performance Data on Job Placements for 98-ADM-13
- 1998 INF-13 State Assumption of Local Districts’ Share of Supplemental Payments
- 1998 INF-12 Digest of Laws of 1998 Relating to Programs of the Office of Temporary and Disability Assistance
- 1998 INF-06 Child Assistance Program (CAP); Questions and Answers on Changes Due to the Welfare Reform Act of 1997
- 1998 INF-04 Consolidated Services Plan: 1998 Income Eligibility Standards
- 1998 INF-03 Food Stamp Program: Record Retention
- 1998 INF-02 Revised Request for Voluntary Restriction Form (DSS-4580 Rev. 12/97)
- 1998 INF-01 Annual Index of Administrative Directives and Informational Letters

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- 1998 LCM-46 “Notice of Claims Settlement” Claims Against Households Report” (DSS-3214)
- 1998 LCM-43 Automated Claiming System (ACS) Re-Hosting Project
- 1998 LCM-40 National Voter Registration Act (NVRA) Litigation
- 1998 LCM-39 Drug and Alcohol Services: Availability of Funds to Provide Enhanced Drug and Alcohol Services to Victims of Domestic Violence
- 1998 LCM-37 Expansion of the Child Assistance Program (CAP)
- 1998 LCM-34 Clarification of Fair Hearing and Special Hearings Processes
- 1998 LCM-30 Survey of Drug and Alcohol Assessment Costs
- 1998 LCM-29 1998 Multidisciplinary Team Building Request for Proposals Grant Selections
- 1998 LCM-28 Case Management Funding Application
- 1998 LCM-27 Homeless Information Reporting
- 1998 LCM-26 Informational Mailing to All Public Assistance Households (FA, CAP, SNA)
- 1998 LCM-25 Adult Care Facilities: Prohibition of Referrals to Certain Facilities
- 1998 LCM-23 FISCAL: Allocation of \$100,000,000 TANF Set-Aside for Family and Children’s Services (EAF Allocation)
- 1998 LCM-21 Food Stamp Earned Income Deduction
- 1998 LCM-19 Reimbursement Ceilings for Social Services for the Period October 1, 1997 Through September 30, 1998
- 1998 LCM-18 DSS-3803 “Monthly Report of Collections of Overpayments to Families with Dependent Children and Home Relief”
- 1998 LCM-17 Disability Advocacy Program (DAP) RFP
- 1998 LCM-15 Federal/State Tax Refund Offset Reports Federal/State Tax Refund Offset
- 1998 LCM-14 Availability of Funds to Operate an Enhanced Drug/Alcohol Services Program for Family Assistance Recipients
- 1998 LCM-11 Retroactive TANF Conversions Retroactive TANF Conversions
- 1998 LCM-09 Tax Refund Offset Process – 1998 General Instructions
- 1998 LCM-07 Enhanced PA Earned Income Disregard (42%) Mailing
- 1998 LCM-06 Extension of Claiming for the Child Care and Development Block Grant Subsidy Program
- 1998 LCM-05 Deadlines for Submitting Claims to Close Out ADC (Including EAF and Administration), JOBS, At Risk and Transitional Child Care, as a Result of TANF

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98-51 NYC Department of Homeless Services Shelter Placements for SNA Singles

98-17 Responsibility of Local Agencies to Provide Documents to Representatives

98-05 Krieger v. Perales Notification

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- 1997 ADM-25 Food Stamp Eligibility of Non-Citizens
- 1997 ADM-24 Child Assistance Program (CAP): Impact of the Welfare Reform Act of 1997

- 1997 ADM-23 Public Assistance (Family Assistance/Safety Net Assistance) Changes Resulting From The Welfare Reform Act of 1997

- 1997 ADM-20 Family Assistance Program (Welfare Reform Act of 1997)

- 1997 ADM-19 Reporting and Monitoring of the DSS-3214, Food Stamps Claims Against Household Report

- 1997 ADM-18 Student Grants and Supportive Services Budgeting (Williams vs. Dowling)

- 1997 ADM-17 Elimination of the Child Care Earned Income Disregard and the Implementation of Child Care Payments for Public Assistance Cases with Earned Income

- 1997 ADM-13 Procedure for Requesting Approval of Local Equivalent Forms

- 1997 ADM-11 Assessment Requirement for Recipients of Temporary Assistance for Needy Families (TANF)

- 1997 ADM-08 Re-categorization of ADC and CAP Cases as a Result of the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA)

- 1997 ADM-06 Immunization Information for PA Applicants and Recipients

- 1997 ADM-05 Option to Extend Certification Periods for Certain Non-Citizen Food Stamp Recipients

- 1997 ADM-03 Prohibition Against Concurrent Benefits

- 1997 ADM-01 Federal Cost-of-Living Adjustment in Social Security and Supplemental Security Income (SSI) Benefits and Impact of Department Programs

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- 1997 INF-18 Digest of Laws of 1997 Relating to Social Services

- 1997 INF-17 DSS-4148D: Supplement to Client Information Books DSS-4148A, 4148B, and 4148C

- 1997 INF-16 Model Drug and/or Alcohol Assessment Form for Public Assistance

- 1997 INF-14 Obsolete Form: DSS-4232; "JOBS (Job Opportunities and Basic Skills Training Program)" Form

- 1997 INF-12 Revisions of the Quarterly Report (DSS-4310) and the Follow-Up to the Quarterly Report (DSS-4310A) and (DSS-4310A NYC)

- 1997 INF-09 Automated Finger Imaging System (AFIS) Policy Clarifications

- 1997 INF-07 Revision of DSS-3604: "Notification of ADC Change"

- 1997 INF-06 District of Fiscal Responsibility

- 1997 INF-05 Consolidated Services Plan: 1997 Income Eligibility Standards

- 1997 INF-04 Temporary Assistance to Needy Families (TANF) State Plan

- 1997 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1996

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- 1997 LCM-68 Preventive Services: Reduction/Waiver of Maintenance of Effort (MOE) Penalty Amount

- 1997 LCM-64 1997 Federal Family Violence Prevention and Services Act Grant

- 1997 LCM-61 Expansion of the Child Assistance Program (CAP)

- 1997 LCM-56 Recoupments, Screen 6 Changes and Attachment

- 1997 LCM-52 Welfare Reform Act of 1997

- 1997 LCM-51 Federal Changes in SSI Eligibility for Children

- 1997 LCM-49 Local District Training CAP

- 1997 LCM-44 Agency-Based Voter Registration (Motor Voter) Training Program

- 1997 LCM-42 Local District Closings

- 1997 LCM-38 Temporary Assistance to Needy Families (TANF) State Plan

- 1997 LCM-37 SSN Validation

- 1997 LCM-32 Notice to Certain Disabled Children Affected by Welfare Reform

- 1997 LCM-31 Tax Refund Offset Program (FTROP)

- 1997 LCM-23 Home and Community-Based Services Waiver for Persons with Traumatic Brain Injuries (HCBS/TBI Waiver): New Recipient Restriction/Exception Code for Waiver Participants

- 1997 LCM-22 Revised Disability Criteria for Children

- 1997 LCM-21 Food Stamp Eligibility for Non-Citizens Prior to April 1, 1997

- 1997 LCM-20 Waiver of Food Stamp ABAWD Eligibility Requirements

- 1997 LCM-07 Home and Community-Based Services Waiver for Persons with Traumatic Brain Injuries (HCBS/TBI Waiver): Authorization, Provision and Payment of Transportation

- 1997 LCM-01 Tax Refund Offset Process – 1997 General Instructions

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97-25 Requests from Local Agencies for Additional Copies of Decisions

97-21 Administrative Disqualification Hearing (ADH) Reopen Procedures

97-07 Local District Letter Request Notification (Letter Requests)

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- 1996 ADM-08 OBRA'93 Provisions on Transferees and Trusts

- 1996 ADM-05 Article VII Changes – 1995/96 State Budget

- 1996 ADM-04 The Automated Finger Imaging System (AFIS) for Public Assistance

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- 1996 INF-29 Digest of Laws of 1996 Relating to Social Services

- 1996 INF-28 Questions and Answers from the Drug and Alcohol Statewide Regional Meetings, the Introduction of Four New Forms That Will Assist Local Districts In Working With Their Client Population, and the Obsolescence of DSS-2355 and DSS-2356

- 1996 INF-26 Revisions to Applications (DSS-2921, DSS-2921NYC), Recertification Forms (DSS-3174, DSS-3174 NYC) and their "How to Complete" Publications (PUB-1301, PUB-1301 NYC, PUB-1313, PUB -1313 NYC)

- 1996 INF-21 Home and Community-Based Services Waiver for Persons with Traumatic Brain Injuries (HCBS/TBI Waiver)

- 1996 INF-19 Paper Reduction/Reports Distribution

- 1996 INF-16 Implementation of the Revised DSS-876: "Request For Forms or Publications" (Rev. 2/96)

- 1996 INF-12 Obsolete Form: DSS-4158: "Home Relief Notification of Job Readiness and The Right To Contest" (Rev. 8/93)

- 1996 INF-11 Temporary Assistance Forms Implemented, Revised or Made Obsolete in 1995

- 1996 INF-05 Revision of DSS-4231: "Option To End Your Sanction"

- 1996 INF-04 Blue Book Internet Project

- 1996 INF-01 Annual Index of Administrative Directives and Informational Letters for 1995

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- 1996 LCM-110 FY 1996/97 Maximum State Aid Rates (MSARs)

For Foster Care Programs and SED Approved Residential Schools for the Period September 1, 1996 – June 30, 1997

- 1996 LCM-108 Adult Care Facilities: Prohibition of Referrals to Certain Facilities
 - 1996 LCM-107 FY 1996/97 Maximum State Aid Rates (MSAR) for Foster Care Programs and In-State Approved Private Schools for the Period July 1, 1996-August 31, 1996
 - 1996 LCM-106 Competency-Based Training
 - 1996 LCM-105 1996/97 Committee on Special Education (CSE) Maintenance Rates for Approved Schools Located Out-of-State
 - 1996 LCM-104 Child and Adolescent Sexual Offense Medical Protocol
 - 1996 LCM-103 New Address and Telephone Numbers for State MA Disability Review Team
 - 1996 LCM-102 Claiming Instructions - \$50 Child Support Disregard
 - 1996 LCM-100 Annual Implementation Report of the Consolidated Services Plan
 - 1996 LCM-99 Supplemental Security Income (SSI) Cost of Living Adjustment for Family Type Home for Adult Residents
 - 1996 LCM-98 Notification of the Lack of Federal Funding for the Non-Federal Costs of ADC Type Refugees
 - 1996 LCM-87 National Association of Counties Teleconference “Counties and the New Welfare Law”
 - 1996 LCM-86 Federal Welfare Reform “Food Stamp Eligibility of Aliens”
 - 1996 LCM-85 Lottery Intercept Program
 - 1996 LCM-83 Food Stamp Impact of New Federal Welfare Law
 - 1996 LCM-76 State Assumption of Local Districts’ Share of Supplemental SSI Payments
 - 1996 LCM-75 Local District Training CAP
 - 1996 LCM-72 1995 Domestic Violence Annual Report
 - 1996 LCM-63 Revised Reimbursement Ceilings for Social Services for the Period October 1, 1995 through September 30, 1996
 - 1996 LCM-62 Food Stamp Error Rate for FFY 1995
 - 1996 LCM-59 1996-97 Domestic Violence State Aid Rates (DVSAR) for Domestic Violence Residential Programs in New York City
 - 1996 LCM-58 Update to Emergency Assistance to Families Claiming for JD/PINS
 - 1996 LCM-47 TASA Client Outcomes
 - 1996 LCM-45 Employees Separated from Employment Due to Domestic Violence
 - 1996 LCM-29 Local District Clearances
 - 1996 LCM-26 Department Report to Governor Pataki
 - 1996 LCM-21 Authorizing EAF For Services Provided by Non-DSS Agencies
 - 1996 LCM-17 DSS-3214 “Claims Against Households” Retention Amounts
 - 1996 LCM-14 FS Error Rate/Sanction for FFY ‘94
 - 1996 LCM-12 AFDC Error Rate/Sanction for FFY ‘94
 - 1996 LCM-11 1996 Domestic Violence State Aid Rates (DVSAR) for Domestic Violence Residential Programs in New York State
- OAH PPROCEDURES TRANSMITTALS
- 96-22 Provision of Aid Continuing for Food Stamp Recertification Issues
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- 1995 ADM-24 Home Visits for Public Assistance Eligibility and Continuing Eligibility
 - 1995 ADM-20 Food Stamps: Stipulation and Order of Settlement in *Huberman, et al. v. Espy, et al.*
 - 1995 ADM-15 Food Stamp Program Implications of the Mickey Leland Childhood Hunger Relief Act

- 1995 ADM-09 PA Budgeting: The Treatment of New York State Disability Benefits
 - 1995 ADM-08 Food Stamps: Selection of Head of Household for Employment Purposes
 - 1995 ADM-05 SSI Case Correction Procedure: Use of Form SSA-3911 (Cancels 79-ADM-72)
 - 1995 ADM-04 Public Assistance and Medical Assistance Benefits for Infants Residing with their Incarcerated Mothers
 - 1995 ADM-01 National Voter Registration Act
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- 1995 INF-46 Revision of Client Information Books
 - 1995 INF-45 Digest of Laws of 1995 Relating to Social Services
 - 1995 INF-41 Food Stamps: Clarification of Treatment of Earned Income Tax Credit (EITC) as a Resource and Introduction of EITC Desk Chart
 - 1995 INF-40 Food Stamps Expedited Authorization Report (WINR 3195 Expedited Food Stamps)
 - 1995 INF-39 Revision of “How to Apply for Food Stamps If You Are Also Applying For SSI/Are Getting SSI/Are Living In A Group Home...” Booklet (DSS-3035A)
 - 1995 INF-35 Food Stamps: SSI or SSDI When Disability is Based on Drug Addition or Alcoholism
 - 1995 INF-33 PA Budgeting: Self-Employment Income
 - 1995 INF-31 Frequent Reapplications for Emergency Home Relief
 - 1995 INF-30 Clarification of the Treatment of Americorps Awards
 - 1995 INF-27 Federal OSHA Regulations on Blood Borne Pathogens
 - 1995 INF-24 Revision of “Action Taken On Your Request For Assistance To Meet An Immediate Need Or A Special Allowance” (DSS-4002) (Rev. 9/94)
 - 1995 INF-22 FS: Students on Meal Programs and Eligibility of Students Campus Housing
 - 1995 INF-20 The Family Protection and Domestic Violence Intervention Act
 - 1995 INF-19 Quarterly Reporting System (QRS) Questions and Answers
 - 1995 INF-12 Treatment of Americorps Awards
 - 1995 INF-05 Direct Shelter and Child Care Payments
 - 1995 INF-04 Revision of “Determination of Eligibility For Emergency Assistance To Families (EAF)” (DSS-4403) (Rev. 10/94)
 - 1995 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1994
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- 1995 LCM-138 Emergency Assistance to Families Claiming for JD/PINS
 - 1995 LCM-132 HR Requirements to Sign Agreement and Assignment Forms
 - 1995 LCM-129 Reimbursement Ceilings for Social Services for the Period of October 1, 1995 through September 30, 1996
 - 1995 LCM-128 Additional Office of Administrative Hearings Staff Chargeback
 - 1995 LCM-126 ADC Minors – Living Arrangements
 - 1995 LCM-123 SFY 1995/96 Preventive Services MOE Amounts for Social Services Districts Spending Under the Family and Children’s Services Block Grant
 - 1995 LCM-114 National Voter Registration Act
 - 1995 LCM-108 Family and Children’s Services Block Grant
 - 1995 LCM-104 Paper Reduction/Reports Survey
 - 1995 LCM-94 Questions and Answers from the May 3, 1995 Teleconference on Changes to the Local District Claiming Schedules
 - 1995 LCM-88 Claiming Instructions for the Finger Imaging Demonstration Project
 - 1995 LCM-78 Treatment of Student Grants When Determining the Need for Supportive Services

- 1995 LCM-75 Announcement of the Availability of Federal Funds for “Changing the Culture of Welfare” Demonstration Projects
- 1995 LCM-66 1995 Domestic Violence State Aid Rates (DVSAR) for Domestic Violence Residential Programs In New York State
- 1995 LCM-58 1994 Domestic Violence Annual Report
- 1995 LCM-54 Emergency Assistance to Families (EAF) for Division for Youth Placements
- 1995 LCM-42 Updated Information Concerning Velasquez v. Bane
- 1995 LCM-17 Food Stamp Computer Assisted Instruction (CAI)
- 1995 LCM-09 Interim Assistance Reimbursement for New Drug/Alcohol SSI Recipients
- 1995 LCM-07 Report of District Organization and Operation – Staffing Schedule (Form DSS-1023)
- 1995 LCM-03 National Voter Registration Act
- OAH PROCEDURES TRANSMITTALS
- 95-28 Home Hearings Pursuant to Varshavsky v. Perales (Issue Code 900)
- 95-25 New Issue Code: 994 McMahon v. Dowling Disabled Adult Children (DAC)
- 95-14 Phone Numbers to Request Fair Hearings
- 95-06 Transmittal of FH Decisions
- 95-04 Issue Code 997 Agency Field NYS6
- 1994
- ADMs
- 1994 ADM-20 Preventing Homelessness and Providing Assistance to Homeless Persons
- 1994 ADM-17 Treatment of Personal Needs Allowance of Institutional Persons and Disposition Upon Death
- 1994 ADM-15 Food Stamps: Expansion of Definition of Food Stamp Eligibles Who Reside in Certain Group Living Arrangements
- 1994 ADM-13 Deeming of Parental Income to SSI-Related Children
- 1994 ADM-11 Domestic Violence: Eligibility and Payment for Residential Services for Victims
- 1994 ADM-10 Budgeting of a Home Relief (HR) Case When a Legally Responsible Relative in Receipt of Supplemental Social Security Income (SSI) is in the Household (Rice vs. Perales)
- 1994 ADM-05 Writing Off Uncollectible Amounts from Closed Cases
- 1994 ADM-01 Interim Assistance Reimbursement (IAR) for Non-IV-E Child Welfare (CW) Benefits
- INFs
- 1994 INF-58 FS: Medical Deductions Clarification
- 1994 INF-54 Revision to ABEL Input Sheet (DSS-3570A)
- 1994 INF-46 Digest of Laws of 1994 Relating to Social Services
- 1994 INF-45 PA Budgeting and Case Category for Joint Custody Cases
- 1994 INF-44 Revision of Mandatory Client Notice “Repayment of Interim Assistance Notice” (DSS-2425)
- 1994 INF-43 Obsolescence of Food Stamp Client Notices DSS-4050, DSS-4051 and DSS-4052
- 1994 INF-40 Microenterprises and Public Assistance Recipients
- 1994 INF-39 Revision of DSS-4398: “WMS Non-Services Code Cards” (April 1994 Update) (Upstate Only)
- 1994 INF-38 Revision of “Shelter Verification” Form (DSS-3668)
- 1994 INF-37 Revision of “Life Insurance Information Request – Prudential and Metropolitan” Form (DSS-1410)
- 1994 INF-36 Revised “Programmatic Action Regulations Guide” DSS-4168
- 1994 INF-35 Obsolescence of the 7/91 (Brown) Upstate Version of the “Recertification For PA, MA, FS” (DSS-3174) and the 7/91 (Brown) Upstate Version of the “How To Complete...Recertification” (Pub. 1313)

- 1994 INF-34 Introduction of New Informational Book DSS-3035A to Accompany the DSS-3035/DSS-3035 NYC “Food Stamp Application for SSI Recipients and Group Living Residents”
- 1994 INF-32 Revision of “Determination of Eligibility for Emergency Assistance to Families (EAF)” (DSS-4403) (Rev. 5/94)
- 1994 INF-29 Food Stamps: Child and Adult Care Food Program Payments
- 1994 INF-27 Economic Security Forms Implemented, Revised or Made Obsolete in 1993
- 1994 INF-23 Food Stamps: Deduction for Recurring Medical Expenses
- 1994 INF-22 Obsolescence of “Right To Claim Good Cause For Refusal To Cooperate With Child Support Enforcement (Second Notice)” (DSS-4280)
- 1994 INF-16 Food Stamps Clarification of Effective Date of a Timely Adverse Action Notice
- 1994 INF-11 Intentional Program Violation (IPV) – Regional Meetings Questions and Answers
- 1994 INF-10 Food Stamps: Waiver of In-Office Interviews for Certain Applicants
- 1994 INF-09 Limitations on HR for New Residents – Standards of Payment Update
- 1994 INF-05 Revision of Public Assistance ABEL Budget Narrative (DSS-3951) (Rev. 11/93)
- 1994 INF-04 Revision of Food Stamp Application for SSI Recipients and Group Living Residents (DSS-3035) and (DSS-3035 NYC) (Rev. 9/93)
- 1994 INF-03 The 1994 Earned Income Credit Campaign
- 1994 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1993
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- 1994 LCM-155 Reimbursement Ceilings for Social Services for the Period of October 1, 1994 through September 30, 1995
- 1994 LCM-153 Domestic Violence: Questions and Answers
- 1994 LCM-148 National Voter Registration Act Supplies
- 1994 LCM-145 Tax Refund Offset Process – 1995 General Instructions
- 1994 LCM-133 Front End Detection System Teleconference Issues
- 1994 LCM-129 Food Stamp Data Analysis Report with Upstate Case Detail for 10/1/92 through 9/30/93
- 1994 LCM-119 AFDC Error Rate/Sanction for FFY ‘91
- 1994 LCM-106 Providing Local District Job Opportunities for Public Assistance Applicants/Recipients
- 1994 LCM-104 National Voter Registration Act
- 1994 LCM-91 Teleconference on Front End Detection System – September 30, 1994
- 1994 LCM-81 Velasquez Injunction Required Action with Respect to Poverty Level Respondents
- 1994 LCM-70 1994 Domestic Violence State Aid Rates (DVSAR) for Domestic Violence Residential Programs in New York State
- 1994 LCM-54 Three Informational Brochures
- 1994 LCM-53 Implementation of Emergency Assistance to Families (EAF) in Child Welfare
- 1994 LCM-50 1993 Domestic Violence Annual Report
- 1994 LCM-41 Teenage Custodial Parents
- 1994 LCM-29 Food Stamp Employment and Training (FSE&T) Work Experience Programs
- 1994 LCM-15 Reimbursement Ceilings for Social Services for the Period October 1, 1993 through September 30, 1994
- 1994 LCM-05 RFI High Risk Report
- 1993
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- 1993 ADM-39 Use of EAF for the Provision of Services Revised September 30, 1996

- 1993 ADM-38 Public Assistance Category Clarification
 - 1993 ADM-35 Shelter Arrears Payments Above Shelter Maximums for Recipients of Aid to Dependent Children and Home Relief and Revised Method of Calculating Income Under Emergency Home Relief
 - 1993 ADM-34 Foster Care and Adoption Assistance: Eligibility Under Title IV-E, Emergency Assistance for Families (EAF), and the Supplemental Security Income Program (SSI)
 - 1993 ADM-33 Filing Unit: Adding Persons Reported or Found to Be in The Household
 - 1993 ADM-31 Filing Unit: Social Security Benefits Received by Children and Their Parents
 - 1993 ADM-26 Social Services District Implications of Chapter 713 of the Laws of 1981 (Home Energy Fair Practices Act)
 - 1993 ADM-24 Model Contract for Local Purchase of Residential Domestic Violence Services Agreements
 - 1993 ADM-21 Utilization of Veteran's Benefits as a Resource
 - 1993 ADM-20 DSS-2642 Documentation Requirements
 - 1993 ADM-14 New Procedures for Eligibility Workers Regarding Inquiry of Third Party Resources
 - 1993 ADM-13 Public Assistance Alien Sponsor Deeming Modified by the Minino and Ruiz vs. Perales Decision
 - 1993 ADM-10 Public Assistance Consolidated Policy on Securing Housing
 - 1993-ADM-09 Quarterly Reporting System (QRS)
 - 1993 ADM-08 Disqualifications for Intentional Program Violations
 - 1993 ADM-05 Public Assistance Eligibility: Retroactive Payment Process (DeAllaume vs. Perales)
 - 1993 ADM-04 Furnishing of Social Security Numbers as a Condition of Public Assistance Household Eligibility
 - 1993 ADM-02 Public Housing: Changes to Shelter Allowances INFs
 - 1993 INF-49 Digest of Laws of 1993 Relating to Social Services
 - 1993 INF-45 Revisions to Mandatory Client Notices
 - 1993 INF-42 Revision of Follow-Up to the Quarterly Reports (DSS-4310A and DSS-4310A NYC)
 - 1993 INF-40 Revision of Certification Guide (DSS-3570)
 - 1993 INF-34 Department of Housing and Community Renewal (DHCR) Regulation on Security Agreements in Public Housing
 - 1993 INF-30 Social Security Enumeration
 - 1993 INF-29 Restaurant Allowances When Three Meals Are Provided
 - 1993 INF-28 Revision to ABEL Input Sheet (DSS-3570A)
 - 1993 INF-27 Revision of "Food Stamp Change Report Form" (DSS-3151) Rev. 3/93
 - 1993 INF-26 Revision of Client Information Books: DSS-4148A – "What You Should Know About Your Rights and Responsibilities (When Applying For or Receiving Social Services)"; DSS-4148B – "What You Should Know About Social Services Programs"; DSS-4148C – "What You Should Know If You Have An Emergency"
 - 1993 INF-25 Revision of DSS-4398: "WMS Non-Services Code Cards" (December, 1992 Update)
 - 1993 INF-23 Revision of Mandated "Public Assistance Recertification – Medical Assistance Status" (DSS-2114)
 - 1993 INF-22 Economic Security Forms Implemented, Revised or Made Obsolete in 1992
 - 1993 INF-18 Clarification of Lump Sum Policy for Retroactive SSI Recipients
 - 1993 INF-11 PA Cost Containment: Implementation of Certain Provisions of Chapter 41 of the Laws of 1992 – Questions and Answers
 - 1993 INF-10 Electronic Benefit Issuance and Control System (EBICS) Questions and Answers
 - 1993 INF-09 The 1993 Earned Income Credit Campaign
 - 1993 INF-08 Food Stamp Income Exclusions: National Community Service Act Funds
 - 1993 INF-07 Revision of Applications (DSS-2921 and DSS-2921 NYC) and Accompanying "How to Complete" Publications (PUB. 1301 and PUB. 1301 NYC) and "Declaration of Citizenship/Immigration Status" Form (DSS-4060)
 - 1993 INF-03 Questions and Answers from May 21, 1992 Teleconference on Immediate Needs
 - 1993 INF-02 Revision of "Shelter Verification" Form (DSS-3668)
 - 1993 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1992
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- 1993 LCM-158 Treatment of Accelerated Life Insurance Payments
 - 1993 LCM-150 Clarification to 93 LCM-26, dated March 22, 1993, on HIV/AIDS Confidentiality
 - 1993 LCM-147 Food Stamp Provisions of the 1993 Omnibus Budget Reconciliation Act: Mickey Leland Childhood Hunger Relief Act
 - 1993 LCM-141 Social Services Block Grant Report and IV-B Plan for 1993 – 1997
 - 1993 LCM-138 Fraud Prevention Booklet
 - 1993 LCM-136 1993 Domestic Violence State Aid Rates (DVSAR) for Domestic Violence Residential Programs in New York State
 - 1993 LCM-132 1993 Forms Survey
 - 1993 LCM-127 National Voter Registration Act of 1993 ("Motor Voter")
 - 1993 LCM-124 1992 Domestic Violence Annual Report
 - 1993 LCM-120 Food Stamp Nutrition Education
 - 1993 LCM-99 Providing Food Stamp and ADC Program Participation Information to Local School Authorities
 - 1993 LCM-65 Reimbursement Ceilings for Social Services for the Period October 1, 1992 through September 30, 1993
 - 1993 LCM-58 Food Stamp Data Analysis Report for 10/1/91 through 9/30/92
 - 1993 LCM-20 Food Stamp Reinvestment Plan
 - 1993 LCM-14 Food Stamp Sanction Settlement
 - 1993 LCM-04 Lashieka Jackson vs. Perales: The Effect of the Filing Unit of the Lifting of The Jackson Injunction (83 ADM-7)
- 1992
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- 1992 ADM-46 Shelters for Families: Pre-Approval Process
 - 1992 ADM-44 Transfer of Resources: Changes in the Method of Calculating Transfer Penalty Periods
 - 1992 ADM-43 Disregard of Loans for ADC Public Assistance Cases
 - 1992 ADM-42 Public Assistance Budgeting: Treatment of Adoption Subsidies
 - 1992 ADM-41 Quality Control Reviews: Penalty for Non-Cooperation
 - 1992 ADM-40 Pursuing Support for Home Relief Applicants/Recipients and Revision of Related Forms (DSS-4279 and DSS-4280)
 - 1992 ADM-39 Reimbursement Ceilings for Social Services for the Period October 1, 1991 through September 30, 1992
 - 1992 ADM-37 Home Relief (HR) Plan of Self-Support
 - 1992 ADM-33 Front End Detection Systems (FEDS)
 - 1992 ADM-31 Filing Unit Rules for Sanctioned Persons
 - 1992 ADM-30 PA Budgeting: Prorating Grants According to Date Specific Eligibility Rules
 - 1992 ADM-26 PA Cost Containment Implementation of Certain Provisions of Chapter 41 of the Laws of 1992
 - 1992 ADM-22 Required Corrective Action Plan
 - 1992 ADM-20 PA Budgeting: Income of Sanctioned Public Assistance Recipients
 - 1992 ADM-19 Absent Parent/Legally Responsible Relative Subrogation

- 1992 ADM-17 PA Budgeting: Lump Sum Notification Procedures
- 1992 ADM-10 Requirement for Declaration of Citizenship/Immigration Status – Change in Food Stamp Requirement
- 1992 ADM-09 Food Stamps: Income Exclusion for Homeless Households in Transitional Housing
- 1992 ADM-07 Treatment of Lump Sum Workers' Compensation Awards
- 1992 ADM-06 Treatment of Earned Income Tax Credit (EITC)
- 1992 ADM-03 Food Stamps: Failure to Comply with Employment and Training Requirements (Non-Head of Household)
- INFs
 - 1992 INF-57 Revised "Programmatic Action Regulations Guide" DSS-4168
 - 1992 INF-53 Digest of Laws of 1992 Relating to Social Services
 - 1992 INF-49 Introduction of Combined Recertification Form (DSS-3174) and Accompanying "How To Complete" Publication (Pub. 1313)
 - 1992 INF-48 Home Relief Drug/Alcohol Abuse Sanctions – Questions and Answers
 - 1992 INF-45 PA, MA, and FS Treatment of Escrow Accounts Under the Family Self-Sufficiency (FSS) Program Administered by the Department of Housing and Urban Development (HUD)
 - 1992 INF-42 Revision of Continuous Pinfeed Version of "Notice of Intent to Change Benefits: PA, FS, MA Coverage and Services (Timely and Adequate)" (DSS-4015C)
 - 1992 INF-39 Revision to ABEL Input Sheet (DSS-3570A)
 - 1992 INF-38 Revision of Two Food Stamp ABEL Budget Narratives (DSS-3959 and DSS-3961)
 - 1992 INF-34 Revision to Mandatory Client Notices
 - 1992 INF-31 Revision of "Shelter Verification" Form (DSS-3668)
 - 1992 INF-30 Revision of Mandated "Public Assistance Recertification – Medical Assistance Status" (DSS-2114)
 - 1992 INF-28 Income Maintenance Forms Implemented, Revised or Made Obsolete in 1991
 - 1992 INF-24 Revision of Certification Guide (DSS-3570)
 - 1992 INF-22 Food Stamp Program: Processing of and Revisions to Form DSS-2291 (Rev. 10/91), Statement of Non-Receipt of Food Stamp Benefits
 - 1992 INF-21 Verification of Social Security Numbers
 - 1992 INF-17 Revision to Budget Worksheet – Public Assistance (DSS-548) (Rev. 12/91)
 - 1992 INF-16 Food Stamp Treatment of Payments to Qualified Organizations serving as Representative Payees in the SSI Program
 - 1992 INF-12 The 1992 Earned Income Credit Campaign
 - 1992 INF-09 Verifying Eligibility: Special Determinations for Public Assistance Cases
 - 1992 INF-08 Public Assistance Paternity Acknowledgment
 - 1992 INF-07 Verification of Information Maintained by Banks and Financial Institutions
 - 1992 INF-06 Revision to Budget Worksheet – Public Assistance (DSS-548) (Rev. 12/91)
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 - 1992 INF-02 Revision to ABEL Input Sheet (DS-3570A)
 - 1992 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1991
- LCMs
 - 1992 LCM-197 Review of Local Rules, Regulations and Procedures 18NYCRR 300.6 – New Contact Person
 - 1992 LCM-193 Tax Refund Offset Process – 1993 General Instructions
 - 1992 LCM-182 Supplemental Security Income (SSI) Cost of Living Adjustment for Family Type Home for Adults Residents
 - 1992 LCM-175 Quarterly Client Contact
 - 1992 LCM-149 NYPWA Committee Meetings: Distribution of Materials
 - 1992 LCM-140 Final AFDC Data Analysis Report for 10/1/90 Through 9/30/91
 - 1992 LCM-122 Electronic Benefit Issuance and Control System (EBICS) PIN Security Requirements
 - 1992 LCM-116 Client Informational Material – Forty Five Day Waiting Period for Home Relief Applicants
 - 1992 LCM-112 Recovery of Security Deposits from Landlords
 - 1992 LCM-106 Providing Food Stamp and ADC Program Participation Information to Local School Authorities
 - 1992 LCM-104 Domestic Violence: Questions and Answers
 - 1992 LCM-103 1991 Domestic Violence Annual Report
 - 1992 LCM-93 Resource File Integration
 - 1992 LCM-59 Twelve Month Food Stamp Data Analysis Report with Upstate Case Detail for 10/1/90 through 9/30/91
 - 1992 LCM-34 1992 Domestic Violence State Aid Rates (DVSAR) for Domestic Violence Residential Programs in New York State
 - 1992 LCM-24 Photo ID's – CBIC Cards EMEVS Processing
 - 1992 LCM-22 Photo ID Requirements for AFSI Phase III (EBICS)
 - 1992 LCM-06 Non-Residential Services for Victims of Domestic Violence
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 - 1991 ADM-49 Reimbursement for Burials
 - 1991 ADM-45 Recovery/Recoupment of Security Deposits or Security Agreements, Finders'/Brokers' Fees and Moving Expenses Due to Non-Payment of Rent
 - 1991 ADM-44 Changes to Home Relief (HR/PG-ADC) Drug Alcohol Rehabilitation Requirements
 - 1991 ADM-43 Emergency Home Relief Income Eligibility Criteria and Other Changes to the Emergency Home Relief Program
 - 1991 ADM-41 Food Stamps: Replacement of Coupons and Food
 - 1991 ADM-25 Section 8: Amendment to Department Regulation 352.3(d) and the Effect of PA Households in Section 8 Rent Subsidy programs
 - 1991 ADM-23 Treatment of German Reparation Payments Received by Institutionalized Individuals
 - 1991 ADM-09 Cancellation of Outdated or Duplicative Administrative Directives
 - 1991 ADM-06 PA and FS Disregards: Treatment of Agent Orange Payments
 - 1991 ADM-03 Fuel Allowances for Dependent Children Residing with Self-Maintaining Non-Legally Responsible Caretakers (McMullen vs. Perales, et al.)
 - 1991 ADM-01 Public Assistance Shelter and Fuel Needs for Children in Foster Care
 - INFs
 - 1991 INF-69 Revision of Applications and Recertification Application (DSS-2921, DSS-2921(NYC), DSS-3174), Accompanying "How To Complete" Publications (Pub.1301, Pub. 1301(NYC), Pub 1313) and "Declaration of Citizenship/Immigration Status" Form (DSS-4060)
 - 1991 INF-68 Food Stamps: MA Referral of Persons Termed Disabled to Local District FS Staff
 - 1991 INF-66 Public Assistance Sewer, Water and Garbage Charges
 - 1991 INF-65 Revision to Public Assistance ABEL Budget Narratives (DSS-3951, DSS-3952, DSS-3953, DSS-3954) (Rev. 10/91)
 - 1991 INF-64 Digest of Laws of 1991 Relating to Social Services
 - 1991 INF-60 Revision of Client Information Books: DSS-4148A – "What You Should Know About Your Rights and Responsibilities (When Applying for or Receiving Social Services)" DSS-4148B – "What You Should Know About Social Services Programs" DSS-4148C – "What You Should Know If You Have An Emergency"

- 1991 INF-58 Clarification of Policy on Income-Producing Property
- 1991 INF-57 Revisions to Mandatory Client Notices
- 1991 INF-56 Fair Hearings – Compliance with Favorable Decisions
- 1991 INF-51 Revised “Programmatic Action Regulations Guide” DSS-4168
- 1991 INF-49 Food Stamps Quality Control Alert: Failure to Budget Correct Shelter Costs for Households Reporting Changes in HUD Rent Subsidies
- 1991 INF-48 Food Stamps Policy Clarification Regarding Aged, Blind or Disabled Aliens Under the Immigration and Nationality Act (INA)
- 1991 INF-47 Food Stamps Quality Control Alert
- 1991 INF-41 Use of Uniform Terms and Names
- 1991-INF-38 Food Stamps: SSI/Food Stamp Joint Processing Procedures
- 1991 INF-35 Clarification of Requirements to Provide Client Information Books (DSS-4148A – “What You Should Know About Your Rights and Responsibilities (When Applying for or Receiving Social Services)” and DSS-4148B – “What You Should Know About Social Services Programs”)
- 1991 INF-25 Resources File Integration
- 1991 INF-24 Reduction of Certain Institutionalized Veterans’ Pension Benefits
- 1991 INF-20 The 1991 Earned Income Credit Campaign
- 1991 INF-19 Revision of Applications and Recertification Application (DSS-2921, DSS-2921(NYC), DSS-3174) and Accompanying “How To Complete” Publications (Pub. 1301, Pub. 1301(NYC), Pub. 1313)
- 1991 INF-18 Unemployment Insurance Benefits (UIB): Permanent Provision to Extend Benefits to UIB Claimants in Training
- 1991 INF-17 Digest of Laws of 1990 Relating to Social Services
- 1991 INF-16 Income Maintenance Forms Implemented, Revised or Made Obsolete in 1990
- 1991 INF-15 Revision of “Bank Inquiry and Clearance Report” (DSS-760) (Rev.1/91)
- 1991 INF-12 Filing Unit: A Non-Legally Responsible Caretaker Relative and a Natural Parent Reside with A Minor Dependent Child
- 1991 INF-10 Introduction of Continuous Pinfeed Version of “Notice of Intent to Change Benefits: PA, FS, MA Coverage and Services (Timely and Adequate)” (DSS-4015C)
- 1991 INF-07 Monthly Reporting Retrospective Budgeting (MRRB): Prospective Budgeting
- 1991 INF-06 Food Stamps: Treatment of Federal Pension Income
- 1991 INF-04 Unemployment Insurance Benefits (UIB): Permanent
- 1991 INF-03 1990 Income Maintenance Regional Meetings Questions and Answers
- 1991 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1990
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- 1991 LCM-218 Individual Categorical Code 04 Military Service of Parent
- 1991 LCM-212 Domestic Violence Maintenance Grants
- 1991 LCM-210 Declaration of Citizenship/Alien Status
- 1991 LCM-181 Payment of Child Care for Employed Caretaker Relatives Prior to the Application of the Child Care Disregard
- 1991 LCM-149 Domestic Violence, Provisions of Chapter 53 of the Laws of 1991
- 1991 LCM-139 Preventive Housing Grants
- 1991 LCM-129 Recovery of Security Deposits from Landlords
- 1991 LCM-122 Energy Reconciliation Procedures
- 1991 LCM-91 DSS-3214 “Claims Against Households” Retention Amounts
- 1991 LCM-80 Increase in Federal Minimum Wage Level
- 1991 LCM-79 Child Support Pass-Throughs
- 1991 LCM-60 Disclosure of Information to the U.S. Department of Veterans’ Affairs
- 1991 LCM-48 Filed Regulation 352.22(o) Filed Regulation 352.22(v) Filed Regulation 504.5
- 1991 LCM-46 Section 8: Proposed Change to Department Regulation 352.3(d) to Establish a Shelter Schedule for Public Assistance Tenants Who Participate In The Section 8 Certificate Program
- 1991 LCM-45 Education for Homeless Children
- 1991 LCM-32 Federal Reimbursement for Cash/Medical Assistance and Administration Under the Refugee/Entrant Assistance Program(R/EAP) for FFY 91
- 1991 LCM-28 Filed Regulation 352.22(x)
- 1991 LCM-19 Information on High School Diploma Programs
- 1991 LCM-17 Fair Hearing Chargebacks
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- 1990 ADM-45 Emergency Assistance for Adults (EAA) – Permanent Authorization
- 1990 ADM-44 Recipient Restriction Program Policy Changes
- 1990 ADM-41 New Client Informational Books: DSS-4148A – “What You Should Know About Your Rights and Responsibilities (When Applying for or Receiving Social Services)” and DSS-4148B – “What you Should Know About Social Services Programs”
- 1990 ADM-39 Revision of Public Assistance “Undue Hardship” Policy
- 1990 ADM-38 Public Service Commission Regulations Regarding Certain Private Waterworks Corporations
- 1990 ADM-23 Food Stamps: Changes in Social Security Number Policy
- 1990 ADM-22 Reimbursement Ceilings for Social Services for the Period October 1, 1989 Through September 30, 1990
- 1990 ADM-19 Preventive Services/Housing Services: Chapter 542 of the Laws of 1988
- 1990 ADM-18 ADC and Food Stamps for Individuals in Congregate Care Facilities
- 1990 ADM-17 Mandatory Notice: Disability Determinations
- 1990 ADM-15 Cancellation of Outdated or Duplicative Administrative Directives
- 1990 ADM-13 Eligibility Criteria for Emergency Home Relief
- 1990 ADM-08 Emergency Shelter Allowances for Persons with AIDS or HIV-Related Illness Faced with Homelessness
- 1990 ADM-05 Claiming Burial Expenses Under the Aid to Dependent Children(ADC) Program
- 1990 ADM-03 Changes in Earned Income Disregards: Amendments to Department Regulations
- INFs
- 1990 INF-67 Revision of “Emergency Assistance For Adults Applicant Statement” (DSS-2921A)
- 1990 INF-66 Revision of “Documentation/Verification Desk Aid” (DSS-3666)
- 1990 INF-65 Revision of Client Information Books: DSS4148A – “What You Should Know About Your Rights and Responsibilities (When Applying for or Receiving Social Services)” and DSS-4148B – “What You Should Know About Social Services Programs”
- 1990 INF-62 Errata 90 INF-62 (Revisions to DSS-3825 and Cancellation of DSS-3824), Transmittal Date November 9, 1990
- 1990 INF-57 Revisions to Mandatory Client Notices
- 1990 INF-53 Errata 90 INF-53 (Food Stamp; Complaint Procedures/Requirements) transmittal Date October 1, 1990
- 1990 INF-52 Grants of Assistance to Guide Dogs: Elimination of Quarterly Report (DS-3094)
- 1990 INF-49 Revision of “ADC-U Screening Checklist” (DSS-2502)

- 1990 INF-47 Food Stamp Notice for October 1, 1990 Food Stamp Changes
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- 1990 INF-40 Revision of “Documentation Requirements” (DSS-2642)
- 1990 INF-39 Incapacity as an ADC Deprivation Factor
- 1990 INF-34 Revision to Monthly Reporting Data Mailers (DSS-3469; DSS-3469A) and Monthly Reporting Instructions (DSS-3469B; DSS-3469B(S))
- 1990 INF-33 Treatment of Income from Certain Seniors Citizen Programs for Public Assistance, Medical Assistance and Food Stamps
- 1990 INF-32 Revisions to Applications (DSS-2921 and DSS-2921 (NYC))
- 1990 INF-31 The Earned Income Credit Campaign
- 1990 INF-30 Home Relief (HR) Job Search Program Questions and Answers
- 1990 INF-27 Revision of “School Attendance Verification” Form (DSS-3708)
- 1990 INF-26 Food Stamp Program: Revision of Replacement Claim Statement – Food Stamp Program (DSS-2291, Rev. 1/90)
- 1990 INF-25 Revision of “Shelter Verification” Form (DSS-3668)
- 1990 INF-22 SSI: Budgeting of Income for Persons Living with ADC Households
- 1990 INF-21 Revisions to Recertification Application (DSS-3174) and its Companion Publication (PUB-1313)
- 1990 INF-18 Food Stamps: Medicare Part B Premiums as a Medical Deduction
- 1990 INF-17 Revision of Recertification Guide (DSS-3608)
- 1990 INF-13 Revision of “Declaration of Citizenship/Alien Status” form (DSS-4060)
- 1990 INF-08 “Programmatic Action Regulations Guide” DSS-4168
- 1990 INF-06 Food Stamp Certification of Self Employed Farmers
- 1990 INF-05 Revision to Food Stamp ABEL Budget Narratives (DSS-3959, DSS-3960, DSS-3961)
- 1990 INF-04 Food Stamp Program Treatment of Child Care Food Program (CCFP) Payments
- 1990 INF-03 Revisions to Applications and Recertification Forms and Their Companion Publications (DSS-2921, 2921(S), 2921(NYC), 2921(NYC)(S), 3174, 3174(S); PUB-1301, 1301(S), 1301(NYC), 1301(NYC)(S), 1313 and 1313(S))
- 1990 INF-02 Public Assistance Security Deposits
- 1990 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1989
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 - 1990 LCM-182 Revised SDX (SSI) Instructions
 - 1990 LCM-181 Filed Regulation 352.30(F)
 - 1990 LCM-169 Training Fees Increase
 - 1990 LCM-168 Local district IV-D Cooperative Agreements
 - 1990 LCM-165 Federal Lobbying Act-Certification Requirements
 - 1990 LCM-157 Welfare Reform Conference
 - 1990 LCM-155 Burials – Itemized Billing
 - 1990 LCM-153 Domestic Violence Maintenance Grants
 - 1990 LCM-135 PA Closing Reports for Notification of Transitional Child Care Benefits
 - 1990 LCM-132 Teenage Services Act (TASA)
 - 1990 LCM-131 Case Management Reimbursement for AIDS
 - 1990 LCM-77 “Face Facts” Family Violence Prevention Campaign
 - 1990 LCM-73 AFDC Transitional Housing Demonstration
 - 1990 LCM-54 Teenage Services Act Evaluation
 - 1990 LCM-42 Earned Income Credit Campaign
- 1990 LCM-41 PG-ADC Case Count Procedures
- 1990 LCM-39 Unapplied/Undistributed Support Collections
- 1990 LCM-37 Effect of the Computer Matching and Privacy Protection Act of 1988 on Automated SDX/WMS Interface (ASWI) Processing
- 1990 LCM-27 Income and Resource Collection Subsystems (IRCS)
- 1990 LCM-22 Child Support Enforcement Referral for Title IV-E Foster Care Cases
- 1990 LCM-18 Lump Sum Retroactive SSI and RSDI Payments
- 1990 LCM-14 PG-ADC Adult Only Cases and Good Cause Claims
- 1990 LCM-13 Aliens and Public Assistance Applications 1989 ADMs
 - 1989 ADM-52 Cancellation of Outdated or Duplicative Administrative Directives
 - 1989 ADM-50 New Regulatory Requirements Regarding Eligibility Mailout Questionnaires
 - 1989 ADM-44 Home Relief Job Search Program
 - 1989 ADM-41 Change of Policy Concerning Public Assistance Budgeting of Income From Roomers and Room and Boarders (Boarder/Lodger Income)
 - 1989 ADM-25 Elimination of the Six Month Hotel and Motel Waiver Process
 - 1989 ADM-21 Mandatory Client Notices (Public Assistance, Food Stamps, Medical Assistance)
 - 1989 ADM-16 Cancellation of Outdated or Duplicative Administrative Directives
 - 1989 ADM-12 Transmitting Applications for Social Security Numbers (SS-5s) to the Local Social Security Office
 - 1989 ADM-9 Notification to Monthly Reporting Households that Return a Late Incomplete Monthly Report Form & Language for Client (Ruffin v. Perales)
 - 1989 ADM-02 Home Relief Cash Allowance for Persons in Public Shelters for Adults (Thrower v. Perales)
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 - 1989 INF-70 Food Stamps: Budgeting of Certain Student Income
 - 1989 INF-61 Fire Insurance on Client Owned Property
 - 1989 INF-60 Non-Public Assistance Food Stamp Notice for the Federal Cost of Living Adjustment in Social Security and Supplemental Security Income (SSI)
 - 1989 INF-55 Lump Sums
 - 1989 INF-54 Participation by Pregnant Women in Emergency Assistance To Families (EAF)
 - 1989 INF-47 Digest of Laws of 1989 Relating to Social Services
 - 1989 INF-46 Food Stamps: Application Processing for Migrant/Seasonal Farm workers
 - 1989 INF-34 Food Stamp Policy Regarding Eastern Airlines Strikers
 - 1989 INF-33 Page Replacements for 89 ADM-18
 - 1989 INF-32 Payment of Sales Tax for Public Assistance Recipients Placed in Hotels/Motels
 - 1989 INF-31 Food Stamp Household Composition: Three Generation Household and Living With Siblings
 - 1989 INF-29 Revision of “MA/FS Separate Determination Input Form” (DSS-3558)
 - 1989 INF-25 Incapacity as an ADC Deprivation Factor
 - 1989 INF-22 SSI/SSA: Pursuit of Benefits by Certain Public Assistance Applicants/Recipients
 - 1989 INF-15 SSI Referrals of Individuals Dependent on Alcohol or Drugs
 - 1989 INF-14 Digest of Laws of 1988 Relating To Social Services
 - 1989 INF-12 Clarification of Alien Issues

- 1989 INF-03 1988-89 Home Energy Assistance Program (HEAP) Questions and Answers
- 1989 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1988
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 - 1989 LCM-170 Claiming Reimbursement of Filing Fees for Court Cases
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 - 1988 ADM-52 Cancellation of Outdated Administrative Directives
 - 1988 ADM-46 July 1, 1988 Increases in the SSI and HR Congregate Care Level II Rates and in the PNA For SSI Recipients in Medical Facilities
 - 1988 ADM-40 Exclusion of Senior Community Service Employment Program (SCSEP) Income as Food Stamp Income
 - 1988 ADM-34 Cancellation of Outdated Administrative Directives
 - 1988 ADM-26 Cancellation of Outdated Administrative Directives
 - 1988 ADM-06 Comprehensive Employment Report (CER) DSS-3545 (Re 11/87)
 - 1988 ADM-05 Cancellation of Outdated Administrative Directives
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 - 1988 INF-81 Clarification of Food Stamp Regional Meetings Questions and Answers
 - 1988 INF-75 Burial Spaces/Plots
 - 1988 INF-71 Social Security Numbers Issued Prior to January 1, 1972 for Purposes of Verifying Alien Status
 - 1988 INF-68 Graduate Student Assistantships
 - 1988 INF-67 Refugee/Entrant Assistance Program: Eligibility of Certain Amerasian Immigrants
 - 1988 INF-64 PA/Energy Voluntary Restriction Form
 - 1988 INF-58 Revision to Form DSS-2502: "ADC-U Screening Checklist" and DSS-548 "Budget Worksheet – Public Assistance"
 - 1988 INF-53 Availability of Special Funding to Operate Expanded Educational and Occupational Training Programs for HR & NPA Food Stamp Recipients
 - 1988 INF-50 Food Stamp Categorical Eligibility: Budgeting of Food Stamp Households Retroactively Determined Eligible for SSI
 - 1988 INF-47 Amendment to Department Regulations Increasing Public Assistance Exemption of Earnings of Family Day Care Providers
 - 1988 INF-45 Amendment of Department Regulation Regarding Public Assistance Exemption of Student Earnings
 - 1988 INF-38 Revision to DSS-3342: "Food Stamp Program Disqualification Notice/Notice of Food Stamp Overissuance Action"
 - 1988 INF-36 Revision of DSS-3153: "Continuing Your Food Stamps"
 - 1988 INF-34 Food Stamp Categorical Eligibility 87 ADM-35
 - 1988 INF-30 Biggs v. Lyng – Home Relief/Interim Assistance Payments
 - 1988 INF-23 1988-1989 Comprehensive Employment Program (CEP) and the Food Stamp Employment and Training Program (FSET): Guidelines and Planning Documents
 - 1988 INF-16 Revised DSS-3890 Comment Sheet
 - 1988 INF-11 Increase in Maximum Amount of Grant Which May Be Provided Toward Purchase of an Interest In a Cooperative in a Low Cost Housing Unit
 - 1988 INF-10 Revisions to the Second Monthly Reporting Mailer (DSS-3469A)
 - 1988 INF-01 Annual Index of Administrative Directives, Informational Letters and Manual Bulletins for 1987
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 - 1988 LCM-43 Non-Discrimination Policy Concerning HIV and AIDS
 - 1988 LCM-32 Public Assistance Training Manual
 - 1998 LCM-11 Transfer of Assets
 - 1988 LCM-3 Filed Regulations
 - 1988 LCM-1 New Communication Vehicle: Local Commissioners Memorandum (LCM)
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 - 1987 ADM-52 Community Work Experience Program (CWEP) – ADC Work Experience
 - 1987 ADM-28 Monthly Reporting (Jensen v. Perales)
 - 1987 ADM-25 Social Security Number Validation Process
 - 1987 ADM-24 Assistance for Newborns (Vega v. Perales)
 - 1987 ADM-14 Special Monthly Restaurant Allowance for Pregnant Women and Children
 - 1987 ADM-05 Increase in Grants of Assistance to Guide Dogs (GAGD) Program
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 - 1987 INF-66 Increase in the State Supplemental Personal Needs Allowance (SSPNA)
 - 1987 INF-64 Increase in Camp Fees
 - 1987 INF-58 Elimination of 60 Day Limit on the Storage of Furniture and Personal Belongings Under the Emergency Assistance to Adults Program (EAA)
 - 1987 INF-54 the Revision of the DSS-2425, Repayment of Interim Assistance Notice
 - 1987 INF-53 SSI Related Case Closing
 - 1987 INF-52 Digest of Laws of 1987 Relating to Social Services
 - 1987 INF-50 Prenatal Care Act of 1987: Chapter 822 of the Laws of 1987
 - 1987 INF-48 Education Services: Payment of Reduced Tuition for Vocational Training at Board of Cooperative Education Services (BOCES) Facilities
 - 1987 INF-47 Literacy Volunteers of New York State, Inc.
 - 1987 INF-45 Expanded Child Care Demonstration Project
 - 1987 INF-42 Sales Tax on Food Stamp Purchases
 - 1987 INF-40 The Amendment of Subdivision (b) of Section 372.4 of Title 18 NYCRR (EAF Property Repairs)
 - 1987 INF-38 Food Stamp Client Education Video
 - 1987 INF-37 Responsibility of Local Districts During the Fair Hearings Process
 - 1987 INF-35 Food Stamp Eligibility for the Disabled: Press Release
 - 1987 INF-32 Tax Credit Programs: Targeted Jobs Tax Credit (JTTC)
 - 1987 INF-31 Energy Conservation Bank (ECB)
 - 1987 INF-30 New York Telephone Life Line
 - 1987 INF-29 Income Maintenance Regional Meetings: Questions and Answers
 - 1987 INF-28 Adult Educational Services: Welfare Education Program (WEP), Employment Preparation Education Program (EPE), and Adult Education Act (AEA – Also Known as Adult Basic Education (ABE)
 - 1987 INF-27 Job Training Partnership Act (JTPA): Remediation and Assessment Requirements Amendments for Summer Programming
 - 1987 INF-26 "Food Stamp Restaurant Program for the Elderly and Disabled:" List of Authorized Restaurants
 - 1987 INF-25 Job Training Partnership Act (JTPA): Schedule for Modifications of the Job Training Plan JTPA Allocations (1987-88) Changes in the JTPA Title IIB Program – (Summer Youth)
 - 1987 INF-23 Job Training Partnership Act (JTPA): Title IIA Statewide Summary Report for July 1985 – June 1986

- 1987 INF-19 Clarification of Excess Income Policy
- 1987 INF-18 Food Stamp Eligibility of Certain Aliens Admitted as Permanent Residents
- 1987 INF-17 Revised Food Stamp Standard Utility Schedules
- 1987 INF-16 Reimbursement for Educationally Handicapped Children Placed in Child Care Institutions or RTFs
- 1987 INF-15 The Revision of the DSS-3021, AFDC/SSI Inter-agency Request Form
- 1987 INF-14 Submission of DSS-2550: Application Register (or WINR 1140 – DS-2550 Food Stamp Application Register)
- 1987 INF-12 Planning Year (PY) '86 Hard to Serve Incentive Awards
- 1987 INF-10 Jobs Created by the NYS Job Development Authority Available to Public Assistance Recipients
- 1987 INF-07 Department of Social Services/State Education Department Employment Program Initiatives
- 1987 INF-05 Interagency Agreement Between the Department of Social Services and Office of Mental Health on Discharge Planning
- 1987 INF-03 Clarification of Employability Status of ADC Caretaker Relative with Children Under Six
- 1987 INF-01 Annual Index of Administrative Directives/Informational Letters, Manual Bulletins 1986
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- 1986 ADM-42 Retroactive Budgeting of Three Generation Households (Yates et al. v. Buscaglia et al.)
- 1986 ADM-40 Assistance to Recipients Who Move from One District to Another (Rogers v. Kramer)
- 1986 ADM-27 Retroactive Aid Category Changes
- 1986 ADM-13 Client Requested Restricted Payments
- 1986 ADM-10 Revision of PA-Employment Related Sanctioning Procedures
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- 1986 INF-47 Licensure of Home Care Services Agencies and Certification of Home Health Agencies
- 1986 INF-43 Permanency Practice Issue: Parental Involvement With Their Children and With The Supervising Agencies
- 1986 INF-41 1986 Legislation Related to Victims of Domestic Violence
- 1986 INF-37 Clarification of Certain Environmental Standards for Family Type Homes (Dept. Regulation Part 489)
- 1986 INF-34 Revised State Form DSS-1552 and Instructions
- 1986 INF-25 Home Energy Assistance Program (HEAP) Reporting Requirements of Section 6041 of the Internal Review Code (IRC)
- 1986 INF-23 WMS Homeless Indicator
- 1986 INF-18 Family-Type Homes for Adults: Responses to Questions Raised by Local Staff at Regional Technical Assistance Sessions
- 1986 INF-15 Digest of Laws of 1986 Relating to Social Services
- 1986 INF-12 Interstate Compact for the Placement of Children
- 1986 INF-11 Utilization Trends of Section 473-a of the SSL Short Term Involuntary Protective Services Orders
- 1986 INF-07 Regulations for the Shelter for Families Program
- 1986 INF-03 Parental Visiting of Children in Foster Care
- 1986 INF-02 Annual Index of Administrative Directives INF's, 1985
- 1986 INF-01 Digest of Laws of 1985 Relating to Social Services All Commissioners Letters
- 06/13/86 – Availability of Non-Liquid Resources
- 03/18/86 – Allowance for Furniture and Supplies
- 03/18/86 – Increase in Visitor Allowance
- 03/05/86 – Recoupment of Shelter Allowances
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- 1985 ADM-49 Monthly Allowances for Supplemental Home Energy Assistance
- 1985 ADM-45 Fair Hearings to Contest Determinations of Employability
- 1985 ADM-38 Implementation in Local Social Services Districts of New and Revised Eligibility Documents for Public Assistance, Medical Assistance and Food Stamps
- 1985 ADM-31 Underwood and Morgan v. Blum – Retroactive SSI Invisibility
- 1985 ADM-24 Work Incentive Program (WIN Demonstration) and Other Changes that Affect All Districts
- 1985 ADM-17 Procedures for Implementation of Legislation Regarding Recipient Noncompliance with Employment Related Requirements (SSL § 131.5)
- 1985 ADM-09 Cooperative Cases (Danks v. Perales)
- 1985 ADM-01 Burial Trusts for SSI Recipients
- INFs
- 1985 INF-10 Case Assessment and Prioritization
- 1985 INF-02 Annual Index of Administrative Directives/Informational Letters 1984
- 05/02/85 EIC
- 02/14/85 Public Housing
- 02/01/85 Support Pass-through
- 1984
ADMs
- 1984 ADM-42 Water Allowances for PA Recipients
- 1984 ADM-39 Implementation of the Applicable Provisions of the Deficit Reduction Act of 1984 (Public Law 98-369)
- 1984 ADM-25 Fiscal Responsibility for Recipients Discharged Directly from Mental Hygiene Institutions into Community Residences Certified by the Office of Mental Health
- 1984 ADM-20 PA Recertification – MA Status Notice to Recipients
- 1984 ADM-10 Payment of the Supplemental Security Income (SSI) Rate to Home Relief (HR) Recipients in Congregate Care Facilities
- 1984 ADM-01 Exemption of JTPA Allowances
- INFs
- 1984 INF-14 Digest of Laws of 1984 Relating to Social Services
- 1984 INF-06 Changes in the Preparation of Social Security Number Applications (Form SS-5)
- 1984 INF-03 Annual Index of ADM Directives/INF Letters, 1983 Letters
- 09/25/1984 Prospective Budgeting
- 07/02/1984 Danks v. Perales
- 01/17/1984 – IAR
- 1983
ADMs
- 1983 ADM-67 Grazyna Pasternak v. Blum: Exemption of Graduate School Grants and Loans
- 1983 ADM-55 Stepparent Deeming (Kelly v. Perales)
- 1983 ADM-53 Clarifications of Procedures in Authorizing EAF Payments
- 1983 ADM-49 EAF Modification Confirmed by the U.S. Supreme Court in the Blum v. Bacon Litigation
- 1983 ADM-48 Changes in the Refugee Assistance Program (RAP) and Cuban/Haitian Entrant Program (CHEP)
- 1983 ADM-45 Budgeting of Individuals and Families Temporarily Housed in Hotels/Motels
- 1983 ADM-38 Determining the Standard of Need for the Gross Income Limitation
- 1983 ADM-37 Tax Equity and Fiscal Responsibility Act of 1982 (P.L. 97-248) and Chapter 548 of the Laws of 1983: Rounding Down Provision

- 1983 ADM-30 Deeming of a Stepparent's Income to PA Dependents
- 1983 ADM-25 Tax Equity and Fiscal Responsibility Act of 1982 (P.L. 97-248): Military Service No Longer Deprivation Factor for ADC
- 1983 ADM-12 Clarification of New SSI Requirement: Disclosure of Tax Return Information (82 ADM-67)
- 1983 ADM-10 Failure to Cooperate with Child support Enforcement Requirements: Vasquez v. Blum
- INFs
 - 1983 INF-14 Burial Set Asides for SSI Recipients
 - 1983 INF-08 Voter Registration Activities
 - 1983 INF-07 Retrospective Monthly Accounting (RMA) in the Supplemental Security Income (SSI) Program
 - 1983 INF-05 Annual Index of ADM Directives/INF Letters, 1982
 - 1983 INF-02 Removal of the Remaining Sex Based Distinctions in Social Services Law Section 131.5; Chapter 388 of the Laws of 1983
- All Commissioners Letters
 - 12/29/1983 IAR
 - 08/15/1983 Transportation for Homeless Children
 - 05/05/1983 Cooperation with CSEU
- 1982
- ADMs
 - 1982 ADM-78 Allen v. Blum: Budgeting the Income of a Spouse or Parent Who Fails to Apply for Public Assistance
 - 1982 ADM-75 Elimination of Proration in PA cases Affected by the Swift v. Toia Case
 - 1982 ADM-74 Provision of Adequate and Timely Notice for HR Supplemented Recipients of SSI Benefits When the HR Benefit is Reduced or Discontinued
 - 1982 ADM-68 Public Work Project Worksites at Religious Institutions; Atchinson et al. v. Blum
 - 1982 ADM-65 Nafziger et al. v. Blum
 - 1982 ADM-55 Rivers v. Schweiker et al. Federal Court Decision Regarding 10-day Interim Assistance Accounting Period and Authorization Processing Procedures.
 - 1982 ADM-49 Treatment of Earned Income Credits and Further Clarification of Other Provisions Covered in 81 ADM-55
 - 1982 ADM-24 Changes to the Refugee Social Services Assistance Program and the Cuban/Haitian Entrant Program (CHEP)
 - 1982 ADM-17 Assignment and Subrogation (Chapter 319 Laws of 1981)
 - 1982 ADM-15 Budgeting Sick Pay Benefits as Earned Income (Pennick v. Blum and Buscaglia)
 - 1982 ADM-03 Folsom v. Blum: New Developments
- INFs
 - 1982 INF-24 Emergency Nutrition Aid Program for Pregnant Women and Adolescents
 - 1983 INF-20 Procedures for the Use of the General Information System (GIS)
 - 1982 INF-19 State Supplemental Personal Needs Allowance (SSPNA) to SSI Recipients Placed in Certain Health Care Facilities Out-of-State
 - 1982 INF-13 State Supplemental Personal Needs Allowance
 - 1982 INF-07 Annual Index of ADM Directives/INF Letters, 1981
 - 1982 INF-01 Increase in Veterans Pension Benefits for Service Connected Disability
- All Commissioners Letter
 - 09/08/1982 Recoupment Rate 10%
- 1981
- ADMs
 - 1981 ADM-67 EAF Modification Ordered by the U.S. Court of Appeals in the Bacon v. Toia Litigation
 - 1981 ADM-65 U.S. District Court Settlement: Montes v. Blum, Treatment of Shelter Allowance in Rental Disputes in ADC Cases
 - 1981 ADM-63 Percey v. Blum Budgeting Earned Income on Non-PA Legally Responsible ADC Caretaker Relatives
 - 1981 ADM-61 Further Court Order in the Swift v. Toia Case
 - 1981 ADM-56 ADC Child Care Allowance for Student Parents
 - 1981 ADM-52 Public Law 97-35: Repealing the 20% Vendor Restricted Payment Limitation and the Montes v. Blum Case
 - 1981 ADM-51 Freedman v. Blum Decision
 - 1981 ADM-44 PA/SSI Households: Income of SSI Recipients – Further Development in the Folsom v. Blum Case
 - 1981 ADM-38 U.S. Circuit Court of Appeals Decision, Hayes and Warren v. Blum, and U.S. District Court Decisions, Jamroz v. Blum and Markel v. Blum: Treatment of Educational Grants, Loans and Scholarships
 - 1981 ADM-27 Riddick v. Blum Court Decision
 - 1981 ADM-26 Monthly Allowances for Home, Energy Needs, Effective July 1, 1981
 - 1981 ADM-25 IV-A/IV-D Interface Record Keeping in Good Cause Claims
 - 1981 ADM-24 SSI/AFDC Payment Coordination Form DSS-3021
 - 1981 ADM-01 Income of Illegal Aliens Ineligible for Public Assistance and Care
- INFs
 - 1981 INF-32 Digest of Laws of 1981 Relating to Social Services
 - 1981 INF-28 New Interim Assistance Legislation Chapter 433 of Laws of 1981
 - 1981 INF-14 Addendum to 1981 INF-10
 - 1981 INF-12 Recently Enacted Federal Legislation Related to the Supplemental Security Income (SSI) Program
 - 1981 INF-10 Clarification of Certain Issues Regarding Burial Trust for SSI Recipients
 - 1981 INF-09 Allocation of WIN Medical Expenditure Funds for the Period October 1, 1979 through September 30, 1980
 - 1981 INF-03 Annual Index of ADM Directives/INF Letters, 1980
 - 1981 INF-02 Reallocation of WIN Services Funds for Federal Fiscal Year 1980
 - 1981 INF-01 Reallocation of WIN Medical Expenditure Funds for the Period October 1, 1979 through September 30, 1980
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 - 1980 ADM-98 Restricted Payments in ADC Cases
 - 1980 ADM-86 Cooperative Agreements and Inter-Agency Contracts with Other Local Governmental Units
 - 1980 ADM-64 Tax Credit Programs
 - 1980 ADM-44 Exception to procedures requiring PA applicant/recipients to reapply for SSI benefits
 - 1980 ADM-42 Necessity of obtaining correct SSN for all applicant/recipients and absent parents
 - 1980 ADM-11 U.S. Supreme Court Decision in the Matter of Califano v. Westcott: Extension of ADC-U Eligibility to Unemployed Mothers and Its Impact on the Work Incentive and Work Rules Programs
 - 1980 ADM-4 Inter-district jurisdictional disputes
- INFs
 - 1980 INF-23 1981 Clients' Reporting Date Schedule – Work Referral
 - 1980 INF-14 Revised DSS 1776 Work Relief Project Activity Work Sheet
 - 1980 INF-10 Reallocation of WIN Services Funds for Federal Fiscal Year 1979
 - 1980 INF-07 1980 Census
 - 1980 INF-06 List of Records Maintained by DSS (Freedom of Information Law)

- 1980 INF-04 Allocation of WIN Medical Expenditures Funds for the Period October 1, 1978 through September 30, 1979
- 1980 INF-02 Annual Index of ADM Directives/INF Letters, 1979 All Commissioners Letter
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- 1979 ADM-82 Burial Trust for SSI recipients
- 1979 ADM-02 Child Care for Employed ADC/HR Applicants/Recipients
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- 1979 INF-32 Automatic Four-Month Extension of MA for Certain Families who Become Ineligible for ADC
- 1979 INF-20 Digest of Laws of 1978 Relating to Social Services
- 1979 INF-19 Revised CETA Referral/Enrollment Form
- 1979 INF-18 Reference Guide to SSI – Related IM Activities and Programs
- 1979 INF-17 Section 8 – Housing Assistance Payments (HAP) Program for Lower-Income Families
- 1979 INF-15 Revised CETA Desk Aid
- 1979 INF-14 Settlement of International Union of Electrical Workers (I.U.E.) v. Bergland Lawsuit
- 1979 INF-13 Aliens – Permanent Residence Under Color of Law
- 1979 INF-08 Emergency Assistance for Adults (EAA) – A Desk Reference Outlining Available Benefits
- 1979 INF-07 Pen and Ink Correction of ‘78 INF-8 (EAA Desk Reference)
- 1979 INF-05 Disregard of Per Capita Judgment Fund Paid to Indians
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- 1978 ADM-95 Foran v. Dimitri – Sanctioned for Failure to Comply with Part 385 Requirements
- 1978 ADM-93 Maximum Utilization of SSI Program by Requiring ADC Applicants/Recipients Who Appear Disabled to Apply for SSI
- 1978 ADM-76 SSI/AFDC Payment Coordination Form DSS-3021
- 1978 ADM-71 Nondiscrimination-Handicapped Section 504-Rehabilitation Act of 1973
- 1978 ADM-56 Public Assistance and Care for Migratory Seasonal Farm Workers
- 1978 ADM-55 Emergency Home Relief Grants for Presumptive SSI-Eligible Persons
- 1978 ADM-48 Services to Victims of Domestic Violence: Special Care Homes as Authorized by Chapter 450 of the Laws of 1977
- 1978 ADM-26 Definition of “Appropriate Rehabilitative Program” for Purposes of Home Relief Eligibility
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- 1978 INF-37 Additional Food Stamp Reimbursement
- 1978 INF-32 Automatic Four-Month Extension of MA for Certain Families Who Become Ineligible for ADC
- 1978 INF-20 Digest of Laws of 1978 Relating to Social Services
- 1978 INF-19 Eligibility for Services to Victims of Domestic Violence Programs
- 1978 INF-18 Reference Guide to SSI – Related IM Activities and Programs
- 1979 INF-17 Section 8 – Housing Assistance Payments (HAP) Program for Lower-Income Families
- 1978 INF-08 Emergency Assistance for Adults (EAA) – A Desk Reference Outlining Available Benefits
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- 1977 ADM-138 Court of Appeals Decision: Lee v. Smith and Its Effect on the Home Relief Program
- 1977 ADM-134 Treatment of Educational Grants, Loans and Scholarships
- 1977 ADM-130 Federal Regulations Concerning Nondiscrimination against the Handicapped
- 1977 ADM-96 Budgeting of Applicant Who is an “Essential Person” in an Active SSI Case
- 1977 ADM-85 Congregate Care Directory
- 1977 ADM-59 Separation of Services from Income Maintenance
- 1977 ADM-56A Initial Case Review MIL Maintenance Program and Rebudgeting
- 1977 ADM-56 Minimum Income Level (MIL) Maintenance Program
- 1977 ADM-54 Emergency Assistance to Adults (EAA) – Direct Deposit Program for SSI Checks
- 1977 ADM-40 Change in Procedures Regarding the Use of Timely and Adequate Notices During an Eligibility Questionnaire Mail-Out Project
- 1977 ADM-26B Citizenship and Alien Status as a Condition for Public Assistance and Care
- 1977 ADM-26 Citizenship and Alien Status as a Condition for Public Assistance and Care
- 1977 ADM-25 Chapter 77 of the Laws of 1977: Duplicate Assistance Payments
- 1977 ADM-22 Settlement in the Case of Jefferies v. Sugerman, Clarification of Policy with Respect to Four-Year College Students Who Are Applicants and Recipients of AFDC
- 1977 ADM-06 Recoveries of Advance Allowances for Rent and/or Utilities (Reves v. Dumpson & Lavine)
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- 1977 INF-23 Access to Social Security Administration Income Information
- 1977 INF-15 Pass-Through of Federal Cost-of-Living Increases to SSI Recipients and Increases in State Supplement Payments
- 1977 INF-12 List of Available Records for NYS DSS - Freedom of Information Law
- 1977 INF-09 Upgrading of “Less Than Honorable Discharge from Military Service”
- 1977 INF-01 Recent SSI Legislation
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- 1976 ADM-122 Clarification of Policy, Sanctions for Voluntarily Terminating Employment, Milne, et al. vs. Lavine, et al.
- 1976 ADM-121 Miscellaneous Shelter Grants and Allowances
- 1976 ADM-115 Date of Initial Entitlement of Assistance for Eligible Applicants
- 1976 ADM-110 EAA Policy: Claiming for Repairs To, or Maintenance On, Property Not Owned by the SSI Occupant
- 1976 ADM-104 Exceptions to the Timely Notice Requirement in Certain Cases of Proposed Adverse Action
- 1976 ADM- 87 EAF Clarification of Policy
- 1976 ADM-60 Privacy Act Notice – Disclosure and Use of Social Security Number
- 1976 ADM-31 Replacement Cost of Clothing
- 1976 ADM-09 Client Reminder to Report Change
- 1976 ADM-09A Client Reminder to Report Change (Spanish Version)
- 1976 ADM-07 Welfare Enumeration – Revision of Required Procedures
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- 1976 INF-35 Requirement for Use of New Forms DSS-2655 and DSS-2657
- 1976 INF-34 Bonus Payments to ADC Families Under Title IV-D

- 1976 INF-33 List of Available Records for NYS DSS Freedom of Information Law
- 1976 INF-25 Federal Policy Clarification
- 1976 INF-23 Digest of Laws of 1976 Relating to Social Services
- 1976 INF-22 Family Planning Services Flyer, “The Stork Should Be An Invited Guest”
- 1976 INF-14 List of Available Records for NYS DSS Freedom of Information Law
- 1976 INF-13 Evidentiary Requirements for Case Actions and FH for “Man-in-House” Cases
- 1976 INF-09 Title IV-D, Change of Payee Under Assignment of Right
- 1976 INF-02 EAF Court Decision – Baumes v. Lavine
- 1976 INF-01 Introduction to DSS-2487, Notice of CETA Referral or Enrollment
- 1975
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 - 1975 ADM-131 1975 Index to ADM/INF Letters and List of Releases Superseded in 1975
 - 1975 ADM-108 EAA-Program Amendment and Expansion
 - 1975 ADM-86 N.Y. Court of Appeals Decision: Jones v. Lavine (Westchester Co.); Domine and Gipson v. Lavine (Albany Co.); Duplicate Assistance Payments Under the Emergency Assistance for Families (EAF) Program (S.S.L. § 350-j; 18 NYCRR § 372.2(c); Expedited Hearings Under EAF
 - 1975 ADM-85 MA Eligibility of Children in Foster Care
 - 1975 ADM-78 Expedited Hearings for EAF/EAA
 - 1975 ADM-73 Family Planning Services
- INFs
 - 1975 INF-56 List of Available Records for NYS DSS Freedom of Information Law
 - 1975 INF-45 Federal Legislation, “Emergency Housing Act of 1975” (PL 94-50)
 - 1975 INF-42 Improper Practices by Rental Brokers
 - 1975 INF-33 Final Federal Regulations Under Title XX
 - 1975 INF-29 Implementation of New Federal Paternity and Support Requirements
 - 1975 INF-25 Desk Aid – CETA - Program and Policies
 - 1975 INF-11 Model Regulations for Public Access to Records Freedom of Information Law
 - 1975 INF-09 Interim Payments Under Home Relief for SSI Eligibles – Continuation of Instructions in 74-ADM-176
 - 1975 INF-07 Family Planning Services – Flyer “The Smaller Size”
- 1974
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 - 1974 ADM-132 Freedom of Information Law: Implementation by Local Districts
 - 1974 ADM-124 Emergency Assistance to Adults (EAA)
 - 1974 ADM-96 Continuation of Assistance Payments, Medical Assistance Authorization and Food Stamp Authorization When Fair Hearing is Requested
 - 1974 ADM-83 Fraud Investigations of Voluntary Case Closings Occurring During the Public Assistance and Medical Assistance Face-to-Face Recertification Programs
 - 1974 ADM-79 Standards of Assistance – Monthly Grants and Allowances
 - 1974 ADM-26 Recommended Procedure to Reduce the Incidence of Illegal Welfare Check Cashing
 - 1974 ADM-24 Shelter Allowances
 - 1974 ADM-11 Averaging of Earned Income for ADC Recipients
 - 1974 ADM-06 Emergency Assistance to Adults
- INFs
 - 1974 INF-34 PA for Strikers
 - 1974 INF-28 Disregards of Payment Received Pursuant to the Alaska Native Claims Act
 - 1974 INF-20 Information Flow and Processing, PA Eligibility
- 1973
WIN ADM
 - 1973 WIN ADM-09 Application of #30 and 1/3 Earned Income Disregard
- PWDs (Administrative Letters)
 - 1973 PWD-182 Clarification of Admin. Letter 73 PWD-159 Relating to Investigation and Eligibility; Continued Federal Court Order in Lewis v. Lavine Admin. Letter 73 PWD-88
 - 1973 PWD-173 Right to Apply for Public Assistance and Action of Suspension of Assistance Eliminated
 - 1973 PWD-161 Addendum to Admin. Letter 73 PWD-93 of 6/18/73 (Requirements Applicable to Fraud Cases)
 - 1973 PWD-159 Investigation and Eligibility
 - 1973 PWD-157 Application for Public Assistance
 - 1973 PWD-131 Dublino v. NYS DSS (Non-Win Districts Only)
 - 1973 PWD-124 Security Deposit for Gas and Electric Service
 - 1973 PWD-09 (1) State Approval for Sale of Conveyed Real Estate prior to Death of Recipient (2) Redemption of Real Property After a Deed or Mortgage Has Been Given to a Social Services District
- INFs
 - 1973 INF-48 Recipient Non-Payment of Shelter Expenses
 - 1973 INF-34 Digest of Laws of 1973 Relating to Social Services
 - 1973 INF-13 NYS DSS Response to Natural Disasters
 - 1973 INF-01 Release of Information to Internal Revenue Service
- 1972
PWDs (Administrative Letters)
 - 1972 PWD-157 Decisions & Actions
 - 1972 PWD-149 Dublino Case Court Order: HR Employables; Notice to Recipients Relative To Right to Fair Hearing on Determination of Employability pursuant to Section 131.4 of the Social Services law and Part 385 of the Regulations
 - 1972 PWD-148 Court Order in Case of Dublino v. Wyman (New York State Work Rules)
 - 1972 PWD-147 Inclusion of Full Shelter Allowance in One Semi-Monthly Check
 - 1972 PWD-137 Shelter Payments – Chapter 943 Laws of 1972
 - 1972 PWD-133 laws of 1972 – Amendment to Social Services Law, in Relation to Rent Security Deposits
 - 1972 PWD-84 Revised WIN Program (III), Budgeting of WIN Enrollees Who Are Employed or in OJT
 - 1972 PWD-23 Public Works Project – Workmen’s Compensation
 - 1972 PWD-16 Inquiry and Report on Unemployment Insurance Benefits Form DSS-1416
 - 1972 PWD-08 FSP – Instructions for Local Districts on Recipient Claim Determinations
- INF
 - 1972 INF-37 Educational Services for Children of Families Residing in Motel/Hotels
- 1971
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 - 1971 PWD-105 Photo ID Cards
 - 1971 PWD-103 Grouping of Districts by PA Caseload
 - 1971 PWD-81 Photo ID Cards
 - 1971 PWD-75 Possible Travel to be Reporting to DA
 - 1971 PWD-68 Chapter 123 of the Laws of 1971
 - 1971 PWD-63 Photo Identification Cards
 - 1971 PWD-62 Volunteers
 - 1971 PWD-61 Lopez v. Wyman
 - 1971 PWD-55 Welfare Residency Requirements
 - 1971 PWD-46 Study of Characteristics of Recipients of Home Relief

- 1971 PWD-41 Separation of Services, Guidelines Pursuant to Chapter 109, Laws of 1971, Supplemental to Admin Letter '71 PWD-23
- 1971 PWD-21 Standards of Assistance
1970
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- 1970 PWD-84 Location of SSD Office
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- 1970 INF-22 Digest of Laws of 1970 Relating to Social Services
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- 1968 PWD-41 Exemption of Income and Resources
- 1968 PWD-13 Reporting of ADC Children in Need Due to Absence of Parents
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- 1968 INF-29 Digest of Laws of 1968 Relating to Social Services
- 1968 INF-17 Cuban Refugee Program: Adjustment of Status from Parolee to Permanent Resident
Manual Bulletins (undated)
- MB 195 - Compilation of Requirements for the Provision of Social Services
- MB 185 - EAF
- MB 181 - Work – Related Benefits
- MB 178 - Protection Against Discriminatory Practices
- MB 175 - Caseload and Supervisory Standards
- MB 169 - Requirements Applicable to Fraud Cases
- MB 137b - Disclosure of Information
- MB 134 - Standard of Need
- MB 128 - Fair Hearings
- MB 91b - Determination of Initial and Continuing Eligibility for Public Assistance or Care
- MB 90h - Official Releases
- MB 26a - Restoring Employables to Self-Support
- MB 17h - Distribution of Informational Pamphlets and Notification to Applicants and Recipients of Public Assistance and Care

SECURITIES OFFERINGS

STATE NOTICES

Published pursuant to provisions of General Business Law
[Art. 23-A, § 359-e(2)]

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2500 Sand Hill Rd., Suite 300, Menlo Park, CA 94025
Partnership — AKKR Credit Partners Management Company, LP

Bronte Capital Ganymede Fund Ltd.
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Camana Bay, Grand Cayman, Cayman Islands KY1-1205
State or country in which incorporated — Cayman Islands

CCM CB I, L.P.
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Partnership — CCM CB I Limited

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233 Wilshire Blvd., Santa Monica, CA 94104
Partnership — Clearlake Capital Partners VI GP, L.P.

Clearlake Capital Partners VI (Offshore), L.P.
233 Wilshire Blvd., Santa Monica, CA 94104
Partnership — Clearlake Capital Partners VI GP, L.P.

Clearlake Capital Partners VI (USTE), L.P.
233 Wilshire Blvd., Santa Monica, CA 94104
Partnership — Clearlake Capital Partners VI GP, L.P.

DoubleBlue Argentina Consumer Finance Fund II L.P.
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Partnership — DoubleBlue ACF GP II LLC

Eagle Secondaries Fund, LLC
c/o First Republic Investment Management, Inc., 1888 Century Park
E, Los Angeles, CA 90067-1702
State or country in which incorporated — Delaware

Eagle Secondaries Fund II, LLC
c/o First Republic Investment Management, Inc., 1888 Century Park
E, Los Angeles, CA 90067-1702
State or country in which incorporated — Delaware

EKKDA™ Research, LLC
P.O. Box 792, Kingsland, TX 78639
State or country in which incorporated — Texas

Go Store It Raleigh Storage DST
6805 Morrison Blvd., Suite 250, Charlotte, NC 28211
State or country in which incorporated — Delaware

Herbert J. Sims & Co. Inc.
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State or country in which incorporated — Delaware

Hudson Housing Tax Credit Fund LXXXVII LP
630 Fifth Ave., 28th Fl., New York, NY 10111
Partnership — Hudson GP LXXXVII LLC

Inland Securities Corporation
2901 Butterfield Rd., Oak Brook, IL 60523
State or country in which incorporated — Delaware

LMV QR Build to Core REIT, LLC
700 NW. 107th Ave., Suite 400, Miami, FL 33172
State or country in which incorporated — Delaware

Lyst Ltd.
7th Fl., The Minster Bldg., 21 Mincing Lane, London EC3R 7AG
State or country in which incorporated — England

RHP Partners REIT, LLC
31200 Northwestern Hwy., Farmington Hills, MI 48334
Partnership — RHP Partners, LP

RHP Partners II REIT, LLC
31200 Northwestern Hwy., Farmington Hills, MI 48334
Partnership — RHP Partners, LP

Royal Street Ventures Seed Fund III, L.P.
3100 Pinebrook St., Suite 2100, Park City, UT 84098
Partnership — Royal Street Ventures Seed Fund III, G.P.

RPF-Pike Creek, LLC
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State or country in which incorporated — Delaware limited liability
company

Sky Creek Capital Fund, LP
83 Gallup Rd., Princetown, NJ 08540
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State or country in which incorporated — Florida

Thomas Bravo Fund XIV, L.P.
150 N. Riverside Plaza, Suite 2800, Chicago, IL 60606
Partnership — Thomas Bravo Partners XIV, L.P.

Thomas Bravo Fund XIV-A, L.P.
150 N. Riverside Plaza, Suite 2800, Chicago, IL 60606
Partnership — Thomas Bravo Partners XIV, L.P.

Thomas Bravo Fund XIV-P, L.P.
150 N. Riverside Plaza, Suite 2800, Chicago, IL 60606
Partnership — Thomas Bravo Partners XIV-P, L.P.

ADVERTISEMENTS FOR BIDDERS/CONTRACTORS

SEALED BIDS

REHABILITATE BASEMENT Creedmoor Psychiatric Center Queens Village, Queens County

Sealed bids for Project No. Q1762, comprising a contract for Construction Work, Rehabilitate Basement, Building 18, Creedmoor Psychiatric Center, 8045 Winchester Blvd, Queens Village (Queens County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Office of Mental Health, until 2:00 p.m. on Wednesday, January 29, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$24,000 for C.

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 \$250,000 and \$500,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are Jessica Hoffman, Carl Ruppert and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewykyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 272 days after the Agreement is approved by the Comptroller.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on January 16, 2020, at Creedmoor Psychiatric Center, 8045 Winchester Blvd, Bldg. 73 Basement, Queens Village, 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 Bibi Bacchus (718-776-4441) a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

For questions about purchase of bid documents, please send an e-mail to DCPlans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewykyj, Deputy Director*
OGS - Design & Construction Group

REPLACE ROOF

St. Regis Mohawk School
Hogansburg, Franklin County

Sealed bids for Project Nos. 45997-C, 45997-H, 45997-P and 45997-E, comprising separate contracts for Construction Work, HVAC Work, Plumbing Work, and Electrical Work, Replace Roof, St. Regis Mohawk School, 385 Church St, Hogansburg (Franklin 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 State Education Department, until 2:00 p.m. on Wednesday, January 29, 2020 when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$56,500 for C, \$16,000 for H, \$11,700 for P, and \$18,300 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 \$1,000,000 and \$2,000,000 for C, between \$100,000 and \$250,000 for H, between \$100,000 and \$250,000 for P, and between \$100,000 and \$250,000 for E.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are Jessica Hoffman, Carl Ruppert and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewycky, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is September 9, 2020.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:00 a.m. on January 17th, 2020 at the St. Regis Mohawk School, 385 Church Street, Hogansburg, 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 Shane Rolich (518-483-8170) a minimum of 48 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 Work and an overall goal of 8% for MWBE participation, 4% for Minority-Owned Business Enterprises ("MBE") participation and 4% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical Work and an overall goal of 10% for MWBE participation, 5% for Minority-Owned Business Enterprises ("MBE") participation and 5% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for HVAC Work and an overall goal of 20% for MWBE participation, 10% for Minority-Owned Business Enterprises ("MBE") participation and 10% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Plumbing 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. Lewycky*, Deputy Director
OGS - Design & Construction Group

NOTICE OF AVAILABILITY OF STATE AND FEDERAL FUNDS

Division of Homeland Security and Emergency Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

NONPUBLIC NONPROFIT SCHOOLS, NONPROFIT DAY CARE
CENTERS, NONPROFIT COMMUNITY CENTERS, NONPROFIT
CULTURAL MUSEUMS AND NONPROFIT RESIDENTIAL
CAMPS

State Fiscal Year 2019-2020 Securing Communities Against Hate Crimes (SCAHC)

Description:

Governor Andrew M. Cuomo is committed to ensuring the safety and equal treatment of all New Yorkers and as such has continued support of the Securing Communities Against Hate Crimes Program. This program is designed to boost safety and security at New York's nonprofit organizations at risk of hate crimes or attacks because of their ideology, beliefs, or mission. In support of this effort, \$25 million has been made available through this competitive grant program to eligible nonpublic nonprofit schools, nonprofit day care centers, nonprofit community centers, nonprofit cultural museums and nonprofit residential camps as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code which demonstrate a risk of a hate crime due to their ideology, beliefs or mission. Applications will be accepted for up to \$50,000 per facility. Eligible organizations may submit up to five applications for a maximum total request of \$250,000.

Applications will be accepted until February 27, 2020 at 5:00 p.m. through the New York State Division of Homeland Security and Emergency Services' (DHSES) electronic grants management system (E-Grants).

The RFA and other required documents can be found at: <http://www.dhSES.ny.gov/grants/nonprofit/hate-crimes.cfm>

program to eligible nonpublic nonprofit schools, and nonprofit day camps as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code which demonstrate a risk of a hate crime due to their ideology, beliefs or mission. This program includes a cost match requirement. The applicant must coordinate and partner with local governments (e.g. counties, towns, villages, cities, etc.) to meet the cost match requirement. All applications must have a 3:1 ratio of State to local funding for total project costs. Cost match contributions may be in-kind contributions, cash contributions or a combination of both.

Applications will be accepted for up to \$50,000 per facility (with a local cost match per application). Eligible organizations may submit up to five applications for a maximum total request of \$250,000 (including local cost match).

Applications will be accepted until February 27, 2020 at 5:00 p.m. through the New York State Division of Homeland Security and Emergency Services' (DHSES) electronic grants management system (E-Grants).

The RFA and other required documents can be found at: <http://www.dhSES.ny.gov/grants/nonprofit/hate-crimes.cfm>

Division of Homeland Security and Emergency Services

1220 Washington Ave.
State Office Bldg. Campus, Bldg. 7A
Albany, NY 12242

NONPUBLIC NONPROFIT SCHOOLS AND NONPROFIT DAY
CAMPS

State Fiscal Year 2019-20 Securing Communities Against Hate Crimes with Local Matching Funds (SCAHC Match Program)

Description:

Governor Andrew M. Cuomo is committed to ensuring the safety and equal treatment of all New Yorkers and as such has continued support of the Securing Communities Against Hate Crimes Program. This program is designed to boost safety and security at New York's nonprofit organizations at risk of hate crimes or attacks because of their ideology, beliefs, or mission. In support of this effort, \$20 million in grant funding has been made available through this competitive grant

MISCELLANEOUS NOTICES/HEARINGS

Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311
or visit our web site at:
www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

NOTICE OF PUBLIC HEARING

New York State Energy Planning Board

Pursuant to New York State Energy Law, Article 6, the New York State Energy Planning Board hereby gives notice of the following public hearings:

Time, Date, and Place: 10:00 a.m., February 27, 2020 at the Albany Public Library, 161 Washington Ave., Albany, NY 12210; and 3:00 p.m., March 2, 2020 at Building Energy Exchange, Inc., 31 Chambers St., Suite 608, New York, NY 10007

Purpose: To receive public comment on the 2015 Draft Amendment to the New York State Energy Plan.

For further information, contact: John Williams, NYSEDA, 17 Columbia Circle, Albany, NY 12203, (518) 862-1090, ext. 3333, e-mail: John.Williams@nyserda.ny.gov

PUBLIC NOTICE Department of Civil Service

PURSUANT to the Open Meetings Law, the New York State Civil Service Commission hereby gives public notice of the following:

Please take notice that the regular monthly meeting of the State Civil Service Commission for February 2020 will be conducted on February 12 and February 13 commencing at 10:00 a.m. This meeting will be conducted at NYS Media Services Center, Suite 146, South Concourse, Empire State Plaza, Albany, NY with live coverage available at <https://www.cs.ny.gov/commission/>

For further information, contact: Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. One, Albany, NY 12239, (518) 473-6598

PUBLIC NOTICE Office of General Services

Pursuant to Section 33 of the Public Lands Law, the Office of General Services hereby gives notice to the following:

Notice is hereby given that the Department of Transportation has determined that:

Surplus Property Case No.: 03-111-825
Project Identification Number (PIN): 3045.55.221

Proceeding Number: 13491

Project: Oswego City: State Road; S.H. 53-5

City of Oswego, Oswego County

Map 84-D, Parcel 102

Address: 240 NYS Route 104, Oswego, NY, 13126

a 0.25± acre lot, is surplus and no longer useful or necessary for state program purposes and has abandoned the property to the Commissioner of General Services for sale or other disposition as Unappropriated State land.

For further information, please contact: Thomas Pohl, Esq., Office of General Services, Legal Services, 41st Fl. Corning Tower, Empire State Plaza, Albany, NY 12242, (518) 474-8831, (518) 473-4973 fax

PUBLIC NOTICE

New York City Deferred Compensation Plan

The New York City Deferred Compensation Plan (the "Plan") is seeking qualified vendors to provide international growth equity investment management services for the International Equity Fund (the "Fund") investment option of the Plan. The objective of the Fund is to provide exposure to the broad international equity market. Qualified vendors that do not currently provide product capabilities to eVestment must submit product information to Milliman Investment Consulting at the following e-mail address: sanf.investment.search@milliman.com. Please complete the submission of product information no later than 4:30 P.M. Eastern Time on January 22, 2020.

Consistent with the policies expressed by the City, proposals from certified minority-owned and/or women-owned businesses or proposals that include partnering arrangements with certified minority-owned and/or women-owned firms are encouraged. Additionally, proposals from small and New York City-based businesses are also encouraged.

PUBLIC NOTICE

Office of Parks, Recreation and Historic Preservation

Pursuant to Title 9, Article 54 of the Environmental Conservation Law, the New York State Office of Parks, Recreation and Historic Preservation hereby gives public notice of the following:

Notice is hereby given, pursuant to Section 49-0305 (9) of the Environmental Conservation Law, that the State of New York acting by and through the New York State Office of Parks, Recreation and Historic Preservation intends to acquire a Conservation Easement from the following: Mohawk Hudson Land Conservancy, Inc. in Delmar, Albany County, New York; Baltimore Woods Nature Center, Inc. in Marcellus, Onondaga County, New York; Finger Lakes Land Trust, Inc. in Ithaca, Tompkins County New York; and Western New

York Land Conservancy, Inc., East Aurora, Chautauqua County, New York.

For further information, contact: Beatrice L. Gamache, Assistant Director, Contract Bureau, Office of Parks, Recreation and Historic Preservation, Albany, NY 12238, (518) 473-3321, Fax: (518) 486-7377

PUBLIC NOTICE

Department of State

Proclamation

Revoking Limited Liability Partnerships

WHEREAS, 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

WHEREAS, the following registered limited liability partnerships and New York registered foreign limited liability partnerships have not furnished the department with the required statement, and

WHEREAS, such registered limited liability partnerships and New York registered foreign limited liability partnerships have been provided with 60 days notice of this action;

NOW, 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

B

BLATT & DAUMAN LLP (04)

BRAND BRAND NOMBERG & ROSENBAUM, LLP (04)

E

EHRLICH GAYNER, LLP (14)

F

FASTEN HALBERSTAM LLP (14)

FINAMORE & PHILLIPS, LLP (14)

G

GABAY BOWLER LLP (09)

GALLUZZO & ARNONE LLP (09)

K

KLEIN AND COMPANY CERTIFIED PUBLIC ACCOUNTANTS, LLP (14)

KRESMAN & WEINER, LLP (09)

M

METSCH & METSCH LLP (14)

N

NAPOLI, BERN & ASSOCIATES, LLP (04)

NASSAU NEPHROLOGY LLP (99)

S

SCHRADER, ISRAELY & DELUCA LLP (04)

SIMMONS JANNACE DELUCA, LLP (09)

SPIEGEL & JONES, LLP (04)

STEAMER HART LLP (14)

T

THE B.A.C., LLP (09)

THE HALL PARTNERSHIP, ARCHITECTS, LLP (99)

THE MAYLOV LAW GROUP, LLP (09)

U

UNIVERSITY PLAZA PEDIATRICS, LLP (99)

V

VARACALLI & HAMRA, LLP (14)

FOREIGN REGISTERED LIMITED LIABILITY PARTNERSHIPS

A

ABBM GROUP, LTD LLP (14) (TX)

ANSEL & SLOTOPOLSKY, LLP (09) (NJ)

B

BERNS WEISS, LLP (14) (CA)

C

CKR LAW LLP (14) (CA)

G

GFELLER LAURIE LLP (09) (CT)

N

NEMIROFF COSMAS & COMPANY LLP (14) (NJ)

S

SHECHTMAN HALPERIN SAVAGE, LLP (14) (RI)

[SEAL]

WITNESS my hand and the official seal of the Department of State at its office in the City of Albany this 29th day of January in the year two thousand twenty.

ROSSANA ROSADO

Secretary of State

PUBLIC NOTICE

Department of State

Notice of Review of Request for

Brownfield Opportunity Area

Conformance Determination

Project: 27 – 37 Chandler Street

Location: City of Buffalo Tonawanda Street Corridor
Brownfield Opportunity Area, City of Buffalo, Erie County

In accordance with General Municipal Law, Article 18 - C, Section 970-r, the Secretary of State designated the Tonawanda Street Corridor Brownfield Opportunity Area, in the City of Buffalo, on November 27, 2017. The designation of the Tonawanda Street 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 November 4th, 2019, 27 Chandler Street, LLC and 37 Chandler Street, LLC submitted a request for the Secretary of State to determine whether the 27 Chandler Street and 37 Chandler Street which will be located within the designated Tonawanda Street Corridor Brownfield Opportunity Area, conform to the goals and priorities identified in the Nomination that was prepared for the designated Tonawanda Street 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/27%20-%2037%20Chandler_amended.pdf

Comments must be submitted no later than February 28th, 2020, either by mail to: Christopher Bauer, Department of State, Office of Planning and Development, 65 Court St., Suite 208, Buffalo, NY 14202, or by email to: chris.bauer@dos.ny.gov

PUBLIC NOTICE

Department of State
F-2019-0925

Date of Issuance – January 29, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York.

In F-2019-0925, Joseph & Patricia Brantuk are proposing to install a 4' x 20' ramp onto a 4' x 47' open-grate decked catwalk onto a 4' x 82' open-grate decked fixed dock with a 32" x 12' seasonal aluminum ramp onto a seasonal 6' x 20' floating dock chocked off bottom and secured by (4) 8" diameter pilings. Total length of structure to be 179' built at the end of a Right of Way. This project is located at 44632 Route 25, Town of Southold, Suffolk County, Richmond Creek.

The proposed activity would be located within or has the potential to affect the following Special Management or Regulated Area(s):

- Town of Southold Local Waterfront Revitalization Program: https://www.dos.ny.gov/opd/programs/WFRvitalization/LWRP_status.html;
- Richmond Creek & Beach Significant Coastal Fish and Wildlife Habitat: <https://www.dos.ny.gov/opd/programs/consistency/scfwhabitats.html>;

The applicant's consistency certification and supporting information are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-0925.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 February 13, 2020.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-1023

Date of Issuance – January 29, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-1023 or the "Mazzella Project", the applicant Anthony Mazzella, is proposing to replace approximately 4' x 140' walkway along the shoreline and install a 4' x 50' fixed walkway with a 4' x 20' "T" section at the end for vessel mooring. The authorized work is located at 435 Vanderbilt Blvd, Oakdale, Town of Islip, Suffolk County, Connetquot River.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1023_Mazzella_App.pdf

Original copies of public information and data submitted by the ap-

plicant 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, February 28, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-1083

Date of Issuance – January 29, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-1083 or the "Baycrest Properties LLC- Quogue Project", the applicant Baycrest Properties, LLC, is proposing a reconstruction of a non-functional 12' wave break. Installation of two 6' x 12' seasonal floats. The authorized work is located at 23 Dune Rd, Village of Quogue, Suffolk County, Quogue Canal.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1083_Baycrest_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, February 28, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2019-1225

Date of Issuance – January 29, 2020

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program.

In F-2019-1225 or the "NYCT 225th Street Bridge Submarine Cables Replacement", the applicant MTA New York City Transit, is proposing to abandon, in-place, deteriorated cables for the No. 1 Subway Broadway Line and replace a communication cable and two replacement negative cables within a previously excavated trench over the existing cables which are buried in sediment. No dredging is

proposed. The existing trench in the Harlem River is approximately 365' long, 5' deep below the mud line, and 5' wide at its base and 20' wide at its top. The installation and protection of the proposed cables within the trenches will require the installation of approximately 9000 sq. ft of geotextile fabric, 24 cy of electrical cables, 400 cy of clean bedding stone and 100 cy of pre-cast concrete mattresses will be installed. The authorized work is located at 225th Street Bridge, Manhattan, New York County, Harlem River.

The applicant's consistency certification and supporting information are available for review at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2019-1225_NYCT_225th_St_Cbl_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, February 28, 2020.

Comments should be addressed to: Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State

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.

2019-0620 Matter of Edward Butt, P.O. Box 2069, New Hyde Park, NY 11040 for a variance/appeal concerning, alteration level determinations. Involved is an existing five story mixed use building. The building is located at 52 Main Street, Town of North Hempstead, 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.

2020-0003 Matter of Justin Zaroovabeli, Unit A12A, 6-8 Wooleys Lane, Great Neck, NY 11021 for a variance/appeal concerning, fire escape requirements. Involved is an existing three story co-op building. The building is located at 6-8 Wooleys Lane, Incorporated Village of Great Neck, County of Nassau, State of New York.

2020-0004 Matter of Phase Zero Design, Inc., Eight Wilcox Street, Simsbury, CT, 06070 for a variance concerning, temporary construction limitations. Involved are temporary structures located at One South Avenue, Incorporated Village of Garden City, 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.

2020-0017 In the matter of MTA-New York City Transit, Two Broadway, D3.131, New York, NY 10004, for a variance for multiple life safety design issues system wide concerning alterations and additions to an existing underground, elevated and open cut transportation station, throughout the five borough area, City of New York, the five counties of the Bronx, Queens, Kings, New York and Richmond, 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.

2020-0019 In the matter of Stephen Doria, 112 Utica Street, Ithaca, NY 14850, concerning safety requirements including a variance for reduction in required height of existing exterior front porch guardrails and interior handrails and guardrails.

Involved is the certificate of compliance inspection of an existing residential occupancy, two stories in height, located at 112 Utica Street, City of Ithaca, County of Tompkins, New York.

FINANCIAL REPORTS



**Department of
Taxation and Finance**

Depositories for the Funds of the State of New York

Month End: December 31, 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	1,991,807.93
Occupational Training Act Funding Account	Key Bank	(2,554.49)
Unemployment Insurance Exchange Account	Key Bank	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(325,248,430.13)
General Checking	Key Bank	(761,419,996.26)
Direct Deposit Account	Wells Fargo	16,164.00
TOTAL		(344,625,346.43)
01000 - EXECUTIVE CHAMBER		
Executive Chamber Advance Account	Key Bank	No report received
01010 - DIVISION OF BUDGET		
Advance Account	Bank of America, N.A.	4,954.66
01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL		
Albany		
SLA Investigations Account	Key Bank	1,955.75
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	6.98
NY ISO Account	Key Bank	2,515,703.36
OGS Binghamton Office Bldg	Key Bank	0.00
SNY Office of General Services	JPMorgan Chase Bank, N.A.	925.68
State of New York OGS Escrow II	Key Bank	2,817,894.73
State of New York OGS Petty Cash	Key Bank	293,159.48
State of New Your OGS Escrow	Key Bank	113,823.42
State of NY Office Of General Services	Key Bank	3,426.00
01060 - DIVISION OF STATE POLICE		
CNET Confidential Account	Key Bank	0.00
Div Headquarters - Petty Cash	Key Bank	2,516.75
Key Advantage Account	Key Bank	82,944.44
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	509,397.86
NYSP CTIU Confidential Fund	Key Bank	3,450.00
SIU Confidential Fund Account	Key Bank	8,822.05
Special Fund	Key Bank	48,287.23
State Police Receipts Account	Bank of America, N.A.	197,879.09
Troop A Batavia - Petty Cash	Bank of America, N.A.	1,000.00
Troop A Batavia-Confidential	Bank of America, N.A.	3,350.00
Troop B Confidential	Key Bank	5,731.00
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	4,300.00
Troop C Petty Cash	NBT Bank	1,000.00
Troop D Oneida - Confidential	Alliance Bank	3,000.00
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.	3,500.00
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	549.75
Troop G Petty Cash	Bank of America, N.A.	1,000.00
Troop K Petty Cash	Bank of Millbrook	880.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	1,171.82
Troop L Confidential Fund	Bank of America, N.A.	6,213.41
01070 - DIVISION OF MILITARY & NAVAL AFFAIRS		
Advance For Travel	Key Bank	13,371.82
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	9,872.42
01077 - OFFICE OF HOMELAND SECURITY		
Academy Of Fire Science	Chemung Canal Trust	133,000.00
01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	47,334.53
Revenue Account	JPMorgan Chase Bank, N.A.	1,663,816.94
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 Flex Spending	Key Bank	54,627.26
State of New York LMC Petty Cash Account	Key Bank	5,722.40
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	1,925.00
01300 - ADIRONDACK PARK AGENCY		

General Fund	Community Bank	172.50
Petty Cash	Community Bank	3,966.15
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	9,550.00
Emergency Award Account	M&T Bank	0.00
Emergency Claims	Key Bank	11,759.31
Petty Cash Account	Key Bank	186.05
REST/SUBROG Escrow Account	Key Bank	389.66
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,884.00
FBI Fee Account	Bank of America, N.A.	4,906.21
Fingerprint Fee Account	Bank of America, N.A.	14,282.10
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.	396,409.96
Advance for Travel Account	Key Bank	No report received
Alcohol Beverage	Bank of America, N.A.	20,769.43
Alcoholic Bev Control License	Wells Fargo Bank	123,317.75
Alcoholic Beverage Control License	M&T Bank	94,348.59
Assessments Bulk	JPMorgan Chase Bank, N.A.	79,481.18
Assessments Receivable	JPMorgan Chase Bank, N.A.	9,882,768.64
Assessments Receivable (EFT)	Wells Fargo Bank	605,587.70
Boxing And Wrestling Tax	Bank of America, N.A.	68,135.59
Check 21 Corporation Tax	JPMorgan Chase Bank, N.A.	380,139.97
Check 21 Estate Tax	JPMorgan Chase Bank, N.A.	0.00
Check 21 Highway Use	JPMorgan Chase Bank, N.A.	492,939.24
Check 21 PIT	JPMorgan Chase Bank, N.A.	541,133.25
Check 21 Real Estate Transfer	JPMorgan Chase Bank, N.A.	430,373.41
Check Sales Tax	JPMorgan Chase Bank, N.A.	546,779.85
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	1,557,740.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	21,300.00
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	7,979,664.71
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	496,662.68
Cigarette Tax Tobacco Products	Bank of America, N.A.	133,980.24
Congestion Surcharge	Wells Fargo Bank	107,292.29
Corporation Tax	Wells Fargo Bank	267.28
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	2,861,600.67
Educational Charitable Account	Wells Fargo Bank	0.00
Employer Compensation Expense	Wells Fargo Bank	263,165.15
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	479,461.64
ERS Petty Cash Acct	Key Bank	No report received
Estate Tax	Bank of America, N.A.	6,195,096.58
Estimated Tax	JPMorgan Chase Bank, N.A.	54,432,886.08
Gift Tax	Bank of America, N.A.	26,125.00
Hazardous Waste	Key Bank	4,011.16
Health Charitable Account	Wells Fargo Bank	0.00
Highway Use - Permits & Reg.	Bank of America, N.A.	62,307.86
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	550,755.44
Hudson River-Black River	Bank of America, N.A.	121,514.25
Hudson River-Black River	Community Bank	2,458.36
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	86,415.50
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	23,711.83
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	82,424.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	91,697.50
IFTA-Fuel Use	Bank of America, N.A.	15,518.14
Income Tax - LLC	JPMorgan Chase Bank, N.A.	37,129.92
Justice Court	Key Bank	891,550.86
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	2,662.00
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	200,171.60
Medical Marijuana Tax Collections	Bank of America, N.A.	1,204.10
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	18,024.35
Ogdensburg Bridge & Port	Community Bank	(254,788.19)
Opioid Excise Tax	Wells Fargo Bank	0.00
Personal Income Tax	Wells Fargo Bank	320,813.05
Petroleum Business Tax (EFT)	Wells Fargo Bank	301,755.89
Petroleum Products Tax	Bank of America, N.A.	4,579,477.29
Petty Cash Account	Key Bank	No report received
PIT Bulk	JPMorgan Chase Bank, N.A.	2,670.00
Port Of Oswego	Key Bank	64,943.11

Promptax - MCTMT	Wells Fargo Bank	5,740,314.85
Promptax - Petroleum Business Tax	Wells Fargo Bank	136.25
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	690.75
Promptax - Withholding	Wells Fargo Bank	66,421,581.66
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	84,198.47
Real Estate Transfer Tax	Key Bank	1,373.59
Revenue Holding	First Niagara Bank	3,995,117.52
Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Sales Tax	Wells Fargo Bank	2,894.65
SUNY Concentration	First Niagara Bank	1,566,000.00
TNC Assessment (EFT)	Wells Fargo Bank	1,073.64
Troy Debt Service Reserve Fund	Bank of America, N.A.	34,200.00
Uncashed Winning Tickets	Bank of America, N.A.	25,331.90
Unclaimed Funds	JPMorgan Chase Bank, N.A.	122,818.47
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	1,437.69
Withholding	Wells Fargo Bank	354.42
Withholding Tax	JPMorgan Chase Bank, N.A.	23,672,435.13
Cash Advance Accounts		
Advance For Travel Account	Key Bank	No report received
ERS Petty Cash Acct	Key Bank	No report received
Petty Cash Account	Key Bank	No report received
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	(1,021.95)
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	360,068.68
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	224.47
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.	3,260,891.00
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	25.31
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	12,282,415.98
National Global Settlement	JPMorgan Chase Bank, N.A.	7,264,317.54
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	38,625.00
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,320.01
04020 - NYS ASSEMBLY		
Advance For Travel	Bank of America, N.A.	4,000.00
Petty Cash Account Dist Off	Bank of America, N.A.	21,165.16
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	1,959.97
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	2,000.00
04250 - REAPPORTIONMENT		
NYS Taskforce On Demo Res & Reapp	JPMorgan Chase Bank, N.A.	125.00
05000 - OFFICE OF COURT ADMINISTRATION		

Attorney Registration Fees - Revenue	JPMorgan Chase Bank, N.A.	1,712,895.00
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	9,936,332.43
Finger Print Account	JPMorgan Chase Bank, N.A.	1,125.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	500.00
05005 - OCA OFFICE OF BUDGET & FINANCE		
Petty Cash Account	Key Bank	2,500.00
05008 - LAWYERS FUND FOR CLIENT PROTECTION		
Client Security Fund - Bail	Key Bank	1,746,633.53
Lawyers Fund For Client Protection - Bail	Key Bank	700.57
Petty Cash	Key Bank	2,419.70
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	65.07
Clerk Of The Court Of Appeals	Key Bank	4,008.75
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	50,035.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	55,710.40
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	100,564.50
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	22,375.00
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	14,522.00
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	4,675.94
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	34,730.71
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	25,672.00
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	No report received
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	No report received
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	No report received
05210 - NYC-CIVIL COURT		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	52,931.90
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	1,470.10
Kings Civil Court- Civil		
Kings Civil Court- Civil Revenue	JPMorgan Chase Bank, N.A.	155,636.80
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	55,760.30
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	64,814.90
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	17,108.10
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	68,529.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	42,532.00
Kings County Criminal Court		
Kings Criminal Court	Citibank	18,085.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	24,760.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	65,305.00

Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	38,796.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	71,145.00
Richmond County Criminal Court		
Richard Criminal Court-City Funds	JPMorgan Chase Bank, N.A.	26,194.00
Richmond Criminal Court-State Funds	JPMorgan Chase Bank, N.A.	25,699.00
05231 - SUPREME COURT - BRONX COUNTY		
Bronx County Supreme - NYS OCA	JPMorgan Chase Bank, N.A.	1,253.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County-Revenue	JPMorgan Chase Bank, N.A.	3,627.00
05240 - SUPREME COURT - QUEENS COUNTY		
Queens Co Supreme		
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	10,618.27
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	927,500.50
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	763,146.47
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	998,132.55
05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	716,408.43
05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	6,827,067.20
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	88.37
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	19,503.00
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	9,358.25
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	2,932.00
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	26,572.75
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	6,848.00
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court - (Civil)		
Albany City Civil - Revenue	Wells Fargo Bank	12,188.00
Albany City Court - (Crim-Bail)		
Albany City Criminal - Bail	Wells Fargo Bank	18,962.28
Albany City Court - (Traffic)		
Albany City Traffic-Revenue	Wells Fargo Bank	85,386.00
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	3,675.00
Albany City Court - Traffic-Bail		
Albany City Traffic - Bail	Wells Fargo Bank	1,300.33
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	1,497.00
Albany Police Court		
Albany Police Court Bail Account	Key Bank	0.00
Cohoes City Court		
Cohoes City Court Bail	Key Bank	8,997.10
Cohoes City Court Fees/Fines Account	Key Bank	8,699.50
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	859.00
Greene Surrogate		
Greene Surrogate-Revenue	Wells Fargo Bank	2,036.00
Hudson City Court		
Hudson City Bail	Wells Fargo Bank	31,825.30
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	10,431.50
Kingston City Court		
Kingston City Court Bail	Wells Fargo Bank	2,250.00

Kingston City Court Revenue	Wells Fargo Bank	31,894.03
Rensselaer City Court		
Rensselaer City Court - Revenue	Key Bank	3,413.00
Rensselaer City Court Bail Acct	Key Bank	3,410.00
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	11,267.00
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	460.00
Sullivan Surrogate		
Sullivan Surrogate-Revenue	Wells Fargo Bank	1,674.00
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	52,021.95
Troy Police Court Bail Account	Bank of America, N.A.	23,229.87
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	3,210.50
Watervliet City Court		
Watervliet Bail	Pioneer Savings Bank	52,164.00
Watervliet Revenue	Pioneer Savings Bank	32,563.50
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	Key Bank	71,500.12
Amsterdam City Court - Revenue	Key Bank	11,893.70
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	1,355.00
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	3,255.50
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	689.75
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	738.75
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	10,935.20
Glens Falls City Court Bail Acct	Glens Falls National	18,360.88
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	32,050.00
Gloversville City Court Revenue	NBT Bank	8,471.50
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	0.00
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	11,427.79
Johnstown City Court Fines/Fees - Revenue	Key Bank	18,049.00
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	100.09
Mechanicville City Ct Revenue Acct	TD Bank	5,003.00
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	830.25
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	1,020.00
Ogdensburg City Court Revenue	Community Bank	2,908.00
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	31,906.55
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	12,469.56
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	3,515.50
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	13,541.98
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	13,923.25
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	52,985.58
Schenectady City Court Revenue	Bank of America, N.A.	28,184.72
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	514.25
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	679.00
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	725.00
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	535.50
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	6,577.50
Fulton City Court Revenue	Key Bank	6,288.40
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	35.00

Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	3,329.00
Lewis County		
Lewis County Clerk	Community Bank	7,585.00
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	0.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	11,100.00
Little Falls City Court Revenue	M&T Bank	4,404.00
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	7,077.15
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	10,091.50
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	4,453.00
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	9,181.74
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	14,216.71
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	2,763.00
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	10,236.25
Rome City Court - Revenue	Bank of America, N.A.	28,233.75
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	0.00
Sherrill City Court Fees - Revenue	Alliance Bank	230.00
Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	167,001.00
Syracuse City Court - Fees - Revenue	Alliance Bank	40,543.80
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	56,803.50
Utica City Court Revenue Account	Key Bank	31,021.88
Watertown City Court		
Watertown City Court Bail	Key Bank	67,655.53
Watertown City Court Fees & Fines - Revenue	Key Bank	10,553.04
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	70,960.00
Binghamton City Court Revenue	M&T Bank	23,632.03
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	2,981.50
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	947.00
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	5.00
Cortland City Court		
Court City Court Bail	NBT Bank	20,185.36
Court City Court- Revenue	NBT Bank	7,202.00
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	663.00
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	425.00
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	11,980.91
Elmira City Court Bail	Chemung Canal Trust	12,820.44
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	7,820.00
Ithaca City Court Revenue	Tompkins County Trust	12,951.50
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	221.00
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	2,500.00
Norwich City Court Revenue Acct	NBT Bank	3,099.00
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	7,795.00
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	9,407.00
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	10,523.00
Oneonta City Court Bail Account	Community Bank	9,750.00
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	52.00
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	422.25
Tioga County Surrogates		

Tioga Surrogates Court - Revenue	M&T Bank	1,391.00
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	1,759.00
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	Key Bank	23,131.55
Auburn City Court Fees & Fines - Revenue	Key Bank	11,213.95
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	30,772.97
Canandaigua City Court Revenue	Canandaigua National Bank	10,368.50
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	409.00
Corning City Court		
Corning City Court - Bail	Wells Fargo Bank	0.00
Corning City Court - Revenue	Wells Fargo Bank	0.00
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	19,983.60
Geneva City Court Revenue Account	Wells Fargo Bank	8,257.50
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	11,198.24
Hornell City Court Revenue	Steuben Trust Co.	3,071.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	1,586.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	9,007.00
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	94.25
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	338,510.50
Rochester City Revenue	M&T Bank	25,291.45
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	13.25
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	574.00
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	841.75
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	0.00
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
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
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.	10,771.45
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	8,992.50
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	40,181.00
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	109,384.63
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	29,036.30
Mt Vernon City Court		
Mt Vernon City Court State Bail	Wells Fargo Bank	115,125.39
Mt Vernon City Court State Revenue	Wells Fargo Bank	54,098.70
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	316,149.03
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	55,410.93
Newburgh City Court		
Newburgh Bail Account	Wells Fargo Bank	24,829.99
Newburgh City Court Revenue	Wells Fargo Bank	17,796.55
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	6,672.75
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	15,131.47
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	55,358.92
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	3,955.14
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	14,168.90
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	115,334.09
Poughkeepsie City Court -Revenue	Wells Fargo Bank	77,372.50
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	7,598.25
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	10,255.50
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	6,947.72
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	30,433.50
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	38,858.00
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	108,192.40
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	87,061.90
Yonkers City Court		
Yonkers City Bail Account - Bail	Wells Fargo Bank	281,673.94
Yonkers City Revenue Account - Revenue	Wells Fargo Bank	89,494.04
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	55,118.92
Agency Advance Account	Key Bank	10,000.00
Agriculture Producers Sec Fund	Key Bank	12,537.00
Animal Population Control Account	Key Bank	42,004.03

Apple Marketing Order Fund	Key Bank	0.00
Consumer Food Industry Account	Key Bank	44,422.34
Dairy Industry Services Account	Key Bank	12,050.80
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products Grading	JPMorgan Chase Bank, N.A.	0.00
Milk Producers Security Fund	Key Bank	31,010.03
NYS Farmers Market Program	Key Bank	79,878.04
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	60.77
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	11,190.96
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	318.85
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	35,812.26
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
State Fair Premium Award Account	Solvay Bank	0.00
Weights & Measures Account	Key Bank	23,424.93
NYS Dept Agriculture & Markets		
Apple Marketing Order Fund	Key Bank	0.00
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products	Key Bank	46,627.33
State Fair		
NYS Fair Operating Account	Solvay Bank	111,728.02
NYS Fair Petty Cash/Travel	Solvay Bank	1,415.56
NYS Fair Special Account	Solvay Bank	231.18
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.	6,848.00
Examination Application Fees Account	Key Bank	17,375.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	3,339,702.82
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	1,229.55
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	34,227.90
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	493,461.21
Conservation Petty Cash Account	M&T Bank	30,000.00
DEC/Exchange Account	M&T Bank	11,983.53
ENCON License Issuing Office	M&T Bank	2,622.50
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,199.19
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,901.18
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	1,560,919.74
Hunting Trapping & Fishing Account	M&T Bank	16,984.55
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	156,062.69
Lockbox Account	Wells Fargo Bank	187,560.05
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,328.01
NY Conservationist	Bank of America, N.A.	88,822.44
Program Fee	JPMorgan Chase Bank, N.A.	2,504.38
Revenue Account	Bank of America, N.A.	895,575.99
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,264,290.27
State of New York	Key Bank	69,359.68
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,158.07
Region 1		
Marine Permit Account	Bank of Smithtown	324,449.25
Region 3		
Beaverkill & Mongaup Pond	Jeff Bank	0.00
Revenue Region 3 Account	Bank of America, N.A.	0.00
Region 4		
Bear Spring Revenue Account	National Bank of Delaware	200.00
Region 4	Greene County Commercial Bank	0.00
Region 4 Camping	NBT Bank	0.00
Region 5		
Campsite Revenue Account	Glens Falls National	9,195.38
Land & Forest Region 5W	TD Bank	21,273.03
NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	1,243.75
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	70,414.02
Tree Nursery	Bank of America, N.A.	261.00
Region 6		
Fish & Wildlife Watertown	Key Bank	121.92
Lands & Forest District #7	Community Bank	0.00
Lands & Forests District #6	Community Bank	2,085.00

Lands And Forests District 10	M&T Bank	21.20
SNY Dept Of Environmental Conserv	Community Bank	14.04
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,756.61
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	4,461.93
General Cash Fund	Five Star Bank	10,066.69
Inmate Occupational Therapy Fund	Five Star Bank	102,521.34
Inmate Savings Account	Five Star Bank	254,321.56
Spendable Fund	Five Star Bank	115,992.22
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Key Bank	3,551.56
Certificate of Deposit	Bank of America, N.A.	90,000.00
Certificate of Deposit	Bank of America, N.A.	15,000.00
Inmate Occupational Therapy Fund	Key Bank	28,689.25
Inmate Spendable Account	Bank of America, N.A.	0.00
Inmate Spendable Account	Key Bank	161,704.11
Inmate Spendable Savings CD	Key Bank	252,491.36
Misc Revenue	Key Bank	42,528.31
Money Market	Bank of America, N.A.	0.19
10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	12,362.52
Employee Benefit Fund	Key Bank	12,388.95
General Fund	Key Bank	962.19
Inmate Funds	Key Bank	162,631.21
Inmate Funds Money Market Account	Key Bank	683,964.86
Inmate Occupational Therapy Acct	Key Bank	60,004.47
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	2,236.26
Inmate Occupational Therapy Fund	Key Bank	17,974.49
Inmate Spendable Funds	Key Bank	47,915.28
Inmate Spendable Savings Account	Key Bank	60,645.06
Miscellaneous Receipts	Key Bank	14,150.59
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	6,250.72
General Fund	Key Bank	0.00
Inmate Fund	Key Bank	113,185.50
Inmate Fund Savings Account	Glens Falls National	52,500.00
Miscellaneous Account	Key Bank	10,378.54
Occupational Therapy	Key Bank	21,718.01
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	4,349.12
Employee Benefits	M&T Bank	8,965.56
Inmate Spending Account	M&T Bank	810,033.77
Inmates Account	M&T Bank	462,830.32
Inmates Benefit	M&T Bank	13,346.57
Misc Receipts	M&T Bank	6,137.04
Occupational Therapy Account	M&T Bank	28,109.99
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,402.63
Employee Benefit	Key Bank	964.27
Inmate Occupational Therapy Fund	Key Bank	43,796.25
Inmate Savings Account	Key Bank	88,133.92
Inmates Fund Account	Key Bank	124,667.47
Misc. Receipts	Key Bank	26,432.31
10070 - SING SING CORRECTIONAL FACILITY		
Cash Advance	JPMorgan Chase Bank, N.A.	1,964.35
Inmate Funds	JPMorgan Chase Bank, N.A.	151,163.44
Inmate Interest Funds	JPMorgan Chase Bank, N.A.	454,874.58
Misc Receipts	JPMorgan Chase Bank, N.A.	20,779.16
Occupational Therapy	JPMorgan Chase Bank, N.A.	88,978.73
Quality Work Life	JPMorgan Chase Bank, N.A.	51,929.12
10080 - GREEN HAVEN CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,437.33
General Fund	Key Bank	8,167.34
Inmates Money Market	Key Bank	287,690.36
Inmates Now Checking	Key Bank	516,478.92
Occupational Therapy Fund	Key Bank	125,245.94
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	3,721.70
Employee Benefit Fund	Bank of America, N.A.	9,113.88

Inmate Funds	Bank of America, N.A.	71,276.39
Inmate Funds Savings	Bank of America, N.A.	154,020.03
Misc Receipts	Bank of America, N.A.	6,708.28
Occupational Therapy	Bank of America, N.A.	29,977.59
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	532.99
Employee Benefit Fund	Sterling Bank	13,747.23
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	508,693.30
Inmate Occupational Therapy Account	Sterling Bank	27,616.23
Misc. Receipts	Sterling Bank	1,560.92
10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER		
Agency Advance Account	Chemung Canal Trust	715.33
Employee Benefit Fund	Chemung Canal Trust	28,103.49
Inmate CD Account	M&T Bank	213,712.61
Inmates Fund	Chemung Canal Trust	527,944.84
Miscellaneous Receipts	Chemung Canal Trust	177.91
Occupational Therapy Fund	Chemung Canal Trust	43,838.43
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	3,009.09
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	4,490.28
Inmate Funds	JPMorgan Chase Bank, N.A.	87,369.03
Inmate Funds CD	JPMorgan Chase Bank, N.A.	90,000.00
Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	22,628.14
Misc. Receipts	JPMorgan Chase Bank, N.A.	2,311.00
Occupational Therapy	JPMorgan Chase Bank, N.A.	53,209.60
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Coxsackie	No report received
Employee Benefits Fund	National Bank of Coxsackie	No report received
Inmates Fund	National Bank of Coxsackie	No report received
Inmates Fund Savings Acct	National Bank of Coxsackie	No report received
Misc. Revenue	National Bank of Coxsackie	No report received
Money Market Acct	National Bank of Coxsackie	No report received
Occupational Therapy Acct	National Bank of Coxsackie	No report received
10140 - WOODBOURNE CORRECTIONAL FACILITY		
CD - Inmate Funds	First National Bank of Jeffersonville	1,485.26
CD - Inmate Funds	First National Bank of Jeffersonville	10,212.65
WCF Agency Advance	Jeff Bank	190,928.41
WCF General Fund	Jeff Bank	26,880.13
WCF Inmate Fund	Jeff Bank	50,000.00
WCF Occupational Therapy Fund	Jeff Bank	190,000.00
10160 - DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION		
Agency Advance Account	Key Bank	22,195.85
Employee Benefit Fund	Key Bank	17,568.83
Inmate Escrow Account	Key Bank	469,245.23
Misc. Receipts Account	Key Bank	277,093.77
Special Account	Key Bank	1,300.00
10170 - QUEENSBORO CORRECTIONAL FACILITY		
Agency Advance Account	JPMorgan Chase Bank, N.A.	2,936.36
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	8,344.82
Inmate Funds Account	JPMorgan Chase Bank, N.A.	397,667.19
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	1,108.79
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	3,290.10
Savings Account	JPMorgan Chase Bank, N.A.	16,966.05
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	8,471.95
Agency Advance	Community Bank	786.08
Diversity Management	Community Bank	493.07
Employee Benefit Fund	Community Bank	994.64
General Fund	Community Bank	156.87
Inmate Funds	Community Bank	1,732.40
Inmate Occupational Therapy Fund	Community Bank	7,613.43
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.	1,658.84
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	15,283.93
Inmate Fund	JPMorgan Chase Bank, N.A.	401,507.27
Inmates Funds Savings	JPMorgan Chase Bank, N.A.	80,367.50
Misc. Receipts	JPMorgan Chase Bank, N.A.	26,309.77
Occupational Therapy	JPMorgan Chase Bank, N.A.	91,906.89
10250 - TACONIC CORRECTIONAL FACILITY		
Inmate Funds	JPMorgan Chase Bank, N.A.	78,743.45
Misc. Revenue	JPMorgan Chase Bank, N.A.	1,899.44

Money Market	JPMorgan Chase Bank, N.A.	30,952.94
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	16,802.37
Taconic Advance Account	JPMorgan Chase Bank, N.A.	2,927.14
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,416.66
Employee Benefit Fund Account	Key Bank	5,777.37
Inmate Funds Account	Key Bank	145,875.91
Inmate Key Advantage Account	Key Bank	50,334.98
Inmate Occupational Therapy Account	Key Bank	9,042.53
Miscellaneous Receipts Account	Key Bank	3,886.62
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	515.10
General Fund	Jeff Bank	2,487.19
Inmate Funds	Jeff Bank	175,954.99
Inmate Occupational Therapy	Jeff Bank	29,182.94
Inmate Savings	Jeff Bank	51,330.83
Inmate Savings CD	Hometown Bank	77,563.68
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	1,154.56
Employee Recreation Fund	M&T Bank	1,081.46
Inmate Deposit Account	M&T Bank	108,092.98
Inmate Occupational Therapy	M&T Bank	35.98
Misc Fees	M&T Bank	1,524.65
Work Release Advance Account	M&T Bank	2,026.00
10320 - EDGEcombe CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	No report received
Employee Benefit Account	JPMorgan Chase Bank, N.A.	No report received
Inmate Cash Account	JPMorgan Chase Bank, N.A.	No report received
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	No report received
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	No report received
Work Release Account	JPMorgan Chase Bank, N.A.	No report received
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	3,100.00
EBF	Community Bank	5,929.60
Inmate Fund	Community Bank	67,572.50
Inmate Savings	Community Bank	45,224.99
Misc. Receipts	Community Bank	134.00
Occupational Therapy	Community Bank	18,476.98
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,035.47
EBF Checking	Five Star Bank	32,679.48
EBF Savings	Five Star Bank	31,759.16
Inmate Savings	Five Star Bank	257,905.42
Inmate Spendable	Five Star Bank	224,569.95
Misc Receipts	Five Star Bank	1,596.62
Occupational Therapy	Five Star Bank	28,874.79
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,458.06
Employee Benefit Fund Checking	Bank of America, N.A.	26,518.20
Inmate Funds Checking	Key Bank	368,990.83
Inmate Funds Savings	Key Bank	314,334.63
Miscellaneous Revenue	Key Bank	1,062.53
Occupational Therapy	Key Bank	28,802.05
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	3,850.00
Employee Benefit Account	Alden State Bank	20,615.97
Inmate Savings	Alden State Bank	196,751.78
Inmates Funds	Alden State Bank	163,567.08
Misc. Receipts	Alden State Bank	7,317.82
Occupational Therapy	Alden State Bank	56,764.36
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		
Office of Nutritional Services		
Miscellaneous Receipts	Key Bank	8,247.35
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,985.58
Employee Benefit Fund	Community Bank	14,948.10
Inmate Funds	Community Bank	96,706.38
Inmate Funds Savings	Community Bank	259,739.47
Miscellaneous Revenue	Community Bank	8,724.19
Occupational Therapy	Community Bank	21,307.55
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,815.90
Employee Commission Account	Five Star Bank	13,424.16
Inmate Funds Account	Five Star Bank	100,503.12

Inmate Funds Account - Savings	Five Star Bank	108,043.68
Miscellaneous Receipts Account	Five Star Bank	2,174.02
Occupational Therapy Account	Five Star Bank	20,674.59
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	4,105.37
Employee Activities	Community Bank	47,824.76
Inmate Fund Checking	Community Bank	239,013.09
Inmate Savings	Community Bank	130,536.86
Miscellaneous Revenue	Community Bank	6,743.83
Occupational Therapy	Community Bank	18,989.05
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	Key Bank	782.86
Employee Benefit Fund	Bank of America, N.A.	35,529.12
Inmate Funds	Key Bank	312,087.47
Inmate Savings	Key Bank	198,659.20
Misc. Revenue	Key Bank	3,582.65
Occupational Therapy	Key Bank	51,239.60
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	3,655.47
Employee Benefit Fund Account	Bank of America, N.A.	23,321.69
Inmate Fund Account	Key Bank	185,602.45
Misc receipts Acct	Key Bank	2,588.83
NYS DOCS Marcy CORR Facility	Key Bank	206,719.62
Occupational Therapy fund Acct	Key Bank	44,745.18
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	2,108.11
Moriah Shock Incarceration Occ Therapy	Glens Falls National	2,410.66
Moriah Shock Misc Receipts	Glens Falls National	0.00
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	67,481.20
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,669.36
Employee Benefit Account	Key Bank	14,882.09
Inmate Funds	Key Bank	61,612.15
Inmate Occupational Therapy	Key Bank	16,872.30
Inmate Savings	Key Bank	267,553.36
Misc. Receipts	Key Bank	2,949.68
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	3,143.28
Employees Vending Benefit	NBT Bank	10,500.82
Inmates Funds	NBT Bank	111,155.48
Misc Revenues General Fund	NBT Bank	388.53
Occupational Therapy	NBT Bank	6,180.46
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	1,684.39
Cert Of Deposit	First National Bank of Groton	87,127.06
Employee Benefit Fund	First National Bank of Groton	4,319.64
Inmate Occupational Therapy Account	First National Bank of Groton	41,551.21
Inmate Spendable	First National Bank of Groton	235,623.29
Misc Receipts	First National Bank of Groton	2,680.90
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,830.00
Employee Benefit Fund	Key Bank	7,405.23
Inmate Spendable Funds	Key Bank	82,747.96
Key Public Money Market Checking	Key Bank	268,876.66
Miscellaneous Receipts	Key Bank	252.95
Occupational Therapy	Key Bank	19,139.52
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	0.00
Inmate Accounts	Key Bank	43,188.29
Inmate Savings Account	Key Bank	105,595.77
Miscellaneous Receipts Account	Key Bank	7,660.58
Occupational Therapy	Key Bank	22,442.95
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,900.00
Employee Benefit Fund	Community Bank	39,006.27
Inmate Occupation Therapy Acct	Community Bank	35,313.82
Inmate Savings	Community Bank	151,705.63
Inmate Spendable Account	Community Bank	136,978.87

Miscellaneous Receipts Account	Community Bank	4,884.33
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	3,700.00
Employee Benefit Fund	Community Bank	14,841.70
Inmate Funds	Community Bank	32,437.25
Inmate Funds - Sav	Community Bank	94,654.91
Miscellaneous Revenue	Community Bank	2,209.02
Occupational Therapy	Community Bank	1,498.46
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	0.00
Agency Advance	M&T Bank	1,888.07
Employee Benefit Fund	Bank of America, N.A.	0.00
Employee Benefit Fund	M&T Bank	6,500.43
Inmate Fund	Bank of America, N.A.	0.00
Inmate Fund	M&T Bank	160,685.45
Inmate Funds Savings	Bank of America, N.A.	0.00
Inmate Funds Savings	M&T Bank	12,300.55
Misc Receipts	M&T Bank	285.00
Misc. Receipts	Bank of America, N.A.	0.00
Occupational Therapy	Bank of America, N.A.	0.00
Occupational Therapy	M&T Bank	4,774.58
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	405.13
Employee Benefit Fund	Chemung Canal Trust	13,928.96
Inmate Funds	Chemung Canal Trust	81,718.88
Inmate Funds Account	Chemung Canal Trust	58,810.01
Misc. Receipts Account	Chemung Canal Trust	544.32
Occupational Therapy Account	Chemung Canal Trust	28,842.51
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	1,935.93
Employee Benefit Fund	Bank of America, N.A.	9,049.62
Inmate Funds	Bank of America, N.A.	78,222.70
Inmate Savings	Bank of America, N.A.	108,054.38
Miscellaneous Receipts	Bank of America, N.A.	15,256.25
Occupational Therapy	Bank of America, N.A.	28,773.56
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,441.23
General Account	Key Bank	0.00
Inmate Account	Key Bank	99,250.58
Inmate Funds Account Certificate Of Deposit	Glens Falls National	78,891.89
Inmate Savings Account	Key Bank	14,362.59
Occupational Therapy Account	Key Bank	28,180.13
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	6,273.59
Employee Benefit Fund	Five Star Bank	10,009.63
Inmate Occupational Therapy	Five Star Bank	50,206.07
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	51,699.13
Inmate Savings-Certificate of Deposit	Five Star Bank	25,000.00
Inmate Spendable	Five Star Bank	219,970.50
Misc. Receipts Account	Five Star Bank	8,288.15
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	1,944.06
Inmate Accounts	National Bank of Coxsackie	157,360.25
Inmate Savings	National Bank of Coxsackie	248,599.68
Misc. Receipts	National Bank of Coxsackie	881.54
Occupational Therapy	National Bank of Coxsackie	67,237.09
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	1,187.04
Inmate Funds	Key Bank	51,656.67
Inmates Funds Account	Key Bank	150,329.63
Misc. Receipts Account	Key Bank	2,812.30
Occupational Therapy Acct	Key Bank	24,887.60
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Key Bank	2,410.11
Inmate Checking	Key Bank	101,634.33
Inmate Savings	Key Bank	100,436.47
Miscellaneous	Key Bank	7,013.54
Occupational Therapy	Key Bank	26,820.11
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	1,156.30
Inmate Occupational Therapy	Community Bank	27,858.02
Inmate Savings	Community Bank	194,967.70

Inmate Spendable Fund	Community Bank	136,911.05
Misc Receipts	Community Bank	14,214.04
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	917.17
Employee Benefit Fund	Community Bank	9,081.72
Inmate Funds	Community Bank	68,103.04
Inmate Occupational Therapy	Community Bank	10,578.73
Misc Receipts	Community Bank	228.00
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	1,700.00
Facility Committees	Key Bank	15,813.07
Inmate Fund	Key Bank	108,410.30
Inmate Fund Savings	Key Bank	0.00
Inmate Occupational Therapy Fund	Key Bank	4,349.86
Miscellaneous Account	Key Bank	249.85
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	629.36
Employee Benefit Fund	Bank of America, N.A.	8,751.72
Inmate Funds	Key Bank	76,983.12
Inmate Interest Bearing Account	Key Bank	15,005.67
Misc Receipts	Key Bank	80.00
Occupational Therapy	Key Bank	28,591.27
10890 - CORRECTIONS AND COMMUNITY SUPERVISION		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	No report received
Parole Supervision Fee	Wells Fargo Bank	No report received
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	3,985.00
Div of Ind Revenue Acct	Key Bank	105,890.07
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	297,158.36
Operating	Key Bank	2,893,922.78
Retail Lockbox	US Bank	156,688.94
TAP	Key Bank	1,918.63
Wholesale Lockbox	US Bank	1,770,301.58
11260 - BATAVIA SCHOOL FOR THE BLIND		
Misc. Receipts	M&T Bank	1,575.57
Petty Cash	M&T Bank	2,818.22
Student Spending Account	Bank of America, N.A.	11,026.34
11270 - ROME SCHOOL FOR THE DEAF		
Miscellaneous Receipts	NBT Bank	4,396.35
Petty Cash	NBT Bank	2,070.00
Student Activity Fund	NBT Bank	15,277.74
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	4,959,985.21
Endowment - Special Account	Janney Montgomery Scott LLC	No report received
Trust's Board Project Account	Key Bank	154,569.72
12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION		
Conf Narcotic Investigation	M&T Bank	4,794.01
Consolidated Advance Acct	M&T Bank	11,217.08
CSA Rebate Account	Bank of America, N.A.	5,192,760.51
DOH EPIC Lockbox Acct	Wells Fargo Bank	87,163.57
Early Intervention - Municipal Deposits for Provider Pymts	Key Bank	0.00
Early Intervention - Provider Payments Escrow	Key Bank	10,694.27
Early Intervention - State Funds	Key Bank	15,648.65
EPIC Co Pay Account	Bank of America, N.A.	0.00
Epic Drug Manufacturer Rebate Account	Bank of America, N.A.	1,352.47
EPIC EFT Acct	Bank of America, N.A.	0.00
EPIC Master Funding Acct	Bank of America, N.A.	601,515.47
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	3,647.72
General Account	M&T Bank	448,884.78
ICR Audit Fees Account	Bank of America, N.A.	10,666.20
Indian Health Disbursement Account	Bank of America, N.A.	0.00
Indian Health-Master Acct	Bank of America, N.A.	7,252.91
Medicaid	Key Bank	32,681,135.29
Medicaid Audit Recoveries Acct	Key Bank	0.00
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	295,709.37
Nurses Aide Fees (Prometric)	Bank of America, N.A.	76,689.96
Nursing Home Fees Account	Bank of America, N.A.	50,635.74

NYS DOH CLEP Revenue	Key Bank	1,735.00
NYS WIC Adjustment Account	Key Bank	3,856.43
OBRA Drug Rebate Program Acct	Bank of America, N.A.	6,321,467.45
SPARCS	Key Bank	28,082.42
WIC Program	Key Bank	1,075.04
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	7,176,803.35
12030 - HELEN HAYES HOSPITAL		
Misc. Receipts	JPMorgan Chase Bank, N.A.	635,197.75
Petty Cash Account	JPMorgan Chase Bank, N.A.	11,529.20
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	5,730.73
12120 - NYS VETERANS HOME-OXFORD		
Agency Advance	NBT Bank	3,855.97
Exchange Account	NBT Bank	32,686.77
Maintenance Fund	NBT Bank	562,612.90
NYS Veterans Home-Oxford (Resident Account, Custodial Account)	NBT Bank	249,370.57
Resident Custodial Account	NBT Bank	2,156.84
Resident Custodial Account	NBT Bank	2,891.99
Resident Custodial Account	NBT Bank	8,393.48
Resident Custodial Account	NBT Bank	119.78
Resident Custodial Account	NBT Bank	5,948.47
Resident Custodial Account	NBT Bank	2,862.51
Resident Custodial Account	NBT Bank	1,505.17
Resident Custodial Account	NBT Bank	10,066.66
Resident Custodial Account	NBT Bank	6,380.98
Resident Custodial Account	NBT Bank	282.84
Resident Custodial Account	NBT Bank	5,070.99
12150 - NYS VETERANS HOME-ST ALBANS		
NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	31,214.30
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	808,257.42
St Albans Vet Home Maintenance Acct	NBT Bank	797,183.67
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	3,914.06
Exchange Account	Bank of America, N.A.	69,911.24
Maintenance Account	NBT Bank	375,007.89
Resident Funds	Bank of America, N.A.	63,959.65
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	11,939.83
Maintenance Acct	NBT Bank	437,838.44
Residence Account	Bank of America, N.A.	710,943.31
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	254.59
Albany Petty Cash Account	Key Bank	500.00
NYC Confidential Account	JPMorgan Chase Bank, N.A.	166.00
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	27,985.00
Exchange Account	Bank of America, N.A.	117,036.07
Fee And Permit Account	Key Bank	474,491.47
Min Wage & Claim Funding Acct	Key Bank	829,649.58
Minimum Wage & Wage Claim Acct	Key Bank	1,625,085.74
Misc Receipts	Bank of America, N.A.	274,865.02
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	3,677,341.82
UI Fund ACH Transactions	Wells Fargo Bank	100,000.00
14010 - WORKERS COMPENSATION BOARD		
DTF/WCB MAC 14	JPMorgan Chase Bank, N.A.	85,363,735.37
16000 - PUBLIC SERVICE COMMISSION		
Cable Account	Key Bank	5,707.28
Petty Cash Account	Key Bank	3,304.00
Special Fee Account	Key Bank	10,294.49
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	236,580.24
Driver Improvement Program (DIP)	Key Bank	41,974.21
Main Office Advance For Travel	Key Bank	52,901.30
PARTNERS DOT -HOOS	Key Bank	4,547,523.89
Revenue Unit	Key Bank	309,106.68
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	65,502.46
19000 - DEPARTMENT OF STATE		
Atheltic	M&T Bank	41,350.00
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	518,649.62
Main	M&T Bank	112,184.23
Petty Cash Account	Key Bank	17,175.00
Summons	M&T Bank	1,706,900.75
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.	418.00
JCOPE Revenue Account	Bank of America, N.A.	25,425.07
20000 - DEPARTMENT OF TAXATION & FINANCE		
IFTA Funding	JPMorgan Chase Bank, N.A.	4,442.54
Misc Tax Account - Exchange	Bank of America, N.A.	1,435,437.48
Petty Cash	Bank of America, N.A.	15,057.86
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	152,900.00
Waste Tire Fee (EFT)	Wells Fargo Bank	2,850,208.63
Waste Tire Tax	JPMorgan Chase Bank, N.A.	95,456.53
20020 - DEPARTMENT OF TAXATION & FINANCE		
Commercial Gaming Revenue Account	Key Bank	No report received
Commercial Gaming Revenue Account	Key Bank	No report received
20050 - NEW YORK STATE GAMING COMMISSION		
Charitable Gaming Account	Key Bank	260,075.08
Commercial Gaming Revenue Account	Key Bank	0.00
Custody Account	US Bank	12,636.52
Fingerprint Concentration Account	Key Bank	15,048.06
License Revenue Account	Bank of America, N.A.	33,750.81
Lottery Concentration Account	Key Bank	265,702.00
Lottery Prize Payment Account	Key Bank	0.00
Lottery Subscriptions Account	Key Bank	814,104.90
Petty Cash Account	Key Bank	802.51
Racing Refund Account	Key Bank	1,058,856.84
Video Gaming Revenue Account	Key Bank	30,091,087.84
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	36,560.30
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	190,099.76
Money Market	Bank of America, N.A.	2.82
Petty Cash Fund	Bank of America, N.A.	6,500.00
21700 - OFFICE OF THE STATE INSPECTOR GENERAL		
Office Of The State Inspector General Pass Thru Account	Key Bank	56,204.23
OSIG Petty Cash Account	Key Bank	669.50
Albany		
Office of the Inspector General Confidential	Bank of America, N.A.	27,700.00
21820 - STATE COMMISSION ON JUDICIAL CONDUCT		
Petty Cash Account	JPMorgan Chase Bank, N.A.	459.99
Petty Cash Account	Key Bank	610.57
Petty Cash Fund	JPMorgan Chase Bank, N.A.	19.00
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
23000 - DEPARTMENT OF MOTOR VEHICLES		
Albany Central Main Acct		
Albany Central Main Acct	Wells Fargo Bank	257,615.77
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	32,829.12
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	39,929.61
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	88,628.18
Administrative Adj	M&T Bank	No report received
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	1,500.00
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	No report received
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	73,937.75
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	1,500.00
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	96,643.77
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	97,755.62

Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	45,257.65
Chautauqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	52,179.87
Chautauqua County		
Holding Acct-Chautauqua County	Community Bank	140,738.12
Holding Acct-Chautauqua County	Key Bank	86,087.06
Holding Acct-Chautauqua County	M&T Bank	321,873.96
Concentration (CTY)(OSC)		
Concentration (CTY)(OSC)	Key Bank	117,000.00
Concentration (DO)(OSC)		
Concentration (DO)(OSC)	Key Bank	1,600,028.25
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	5,464.72
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	914,697.80
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	6,549.99
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	4,244,231.18
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Downstate		
Revenue Account - Downstate	Wells Fargo Bank	909,474.95
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	1,208.00
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	43,822.31
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	33,157.75
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.	54,067.56
IRP (Albany Central Office)		
International Registration	M&T Bank	722,264.66
International Registration	Wells Fargo Bank	173,551.23
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	224,408.71
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	412,996.23
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	683,389.29
Long Island/Staten Island JP		
Long Island/Staten Island (Mass/Med)	JPMorgan Chase Bank, N.A.	122,941.32
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	32,547.06
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	112,364.24
Oneida County Fee Account	NBT Bank	75,318.11
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	24,169.76
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	4,130.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	121,377.72
Search Exchange (Albany Central Office)		
MV Search	Key Bank	62,266.61
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	39,141.98
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	1,500.00
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	83,988.71
TLC/DOCCS		
TLC/DOCCS	JPMorgan Chase Bank, N.A.	631,930.78
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	378.77
TVB Acct		
TVB Acct	Wells Fargo Bank	212,719.07

TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	842,188.04
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	119,013.34
Utica D.O.		
Exchange Account	Bank of Utica	0.00
Revenue Utica	Bank of Utica	No report received
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	No report received
25000 - OFFICE OF CHILDREN & FAMILY SERVICES		
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	950.00
Brentwood Residents' Account	JPMorgan Chase Bank, N.A.	345.95
Brooklyn Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	500.00
Brookwood Cash Advance	Key Bank	2,081.71
Brookwood Resid Residential Cash	Key Bank	11,729.82
Check Exchange	Bank of America, N.A.	643.39
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	1,915.04
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	3,539.79
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	3,300.00
Goshen Cash Advance	Bank of America, N.A.	2,540.00
Goshen Residents Account	Bank of America, N.A.	8,612.40
Harriet Tubman Advance Account	Key Bank	500.00
Harriet Tubman Residents' Account	Key Bank	668.93
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	2,264.86
Highland Res Ctr Residents Acct	Bank of America, N.A.	4,203.95
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,329.00
Industry Res Account	JPMorgan Chase Bank, N.A.	4,075.11
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	270.00
MacCormick Cash Advance	Tompkins County Trust	1,901.00
MacCormick Residents' Account	Tompkins County Trust	4,190.82
Medicaid Reimbursement Exchange	Bank of America, N.A.	35,397.70
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.	15,121.83
Queens CMSO Cash Advance	Bank of America, N.A.	400.00
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	500.00
Red Hook Res Ctr Resident Cash	Key Bank	479.03
Red Hook Resid Ctr Cash Advance	Key Bank	96.17
SCR Credit Card Revenue Account	Bank of America, N.A.	31,925.00
State Central Register	Bank of America, N.A.	76,219.60
Taberg Cash Advance	NBT Bank	758.85
Taberg Residents Account	NBT Bank	729.96
Youth Leadership Academy	NBT Bank	1,619.70
Youth Leadership Cash Advance	NBT Bank	750.00
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	No report received
Title IV D Of Social Security	Key Bank	No report received
Travel Advance	Key Bank	No report received
28010 - SUNY ALBANY		
Fee Account	Key Bank	755,070.06
Loan Services Center Account	Key Bank	103,693.55
Petty Cash/Travel Advance	Key Bank	0.00
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	444,533.71
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	2,669,133.83
Imprest Account	Key Bank	0.00
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	656,855.62
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	4,465,203.70
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	309,211.85
LISVH Fees Depository	Sterling Bank	836,122.58
LISVH Residence Fund	Sterling Bank	352,961.05
Payroll Advance	JPMorgan Chase Bank, N.A.	6,582.63
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	0.00
SUNY Eastern Long Island Hospital Depository	JPMorgan Chase Bank, N.A.	4,012,102.42

SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	1,677,679.61
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	7,344,176.95
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,770.60
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	574,245.12
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.	796,319.60
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	69,017.64
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	503,681.54
Controlled Disbursement	Key Bank	0.00
Hospital Revenue	Key Bank	2,107,857.43
Parking	Key Bank	2,000.92
28150 - SUNY BROCKPORT		
Brockport-REOC Account	Key Bank	9,398.91
Concentration Acct	M&T Bank	226,452.44
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	3,423.14
Students Acct Office	M&T Bank	113,732.33
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	300,056.00
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	375,713.79
28190 - SUNY GENESEO		
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	980,570.24
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	296,335.54
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
State Revenue	Key Bank	168,199.01
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	3,179,170.07
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	835,160.78
Imprest Account	Key Bank	0.00
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	5,497,182.67
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	90,486.20
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	398,141.12
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.	198,139.72
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	279,503.91
Distribution Center Account	Key Bank	85,766.05
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	2,692,045.39
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	213,796.32
Dental Hygiene	NBT Bank	0.00
Income Fund	Key Bank	188,970.71
International Program Account	Key Bank	37,521.36
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	56,645.08
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	150,948.05
Petty Cash Fund	Delaware National Bank	0.00
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		

Income Fund	Citibank	1,750,089.29
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	807,802.03
Revenue Account	NBT Bank	11,007.67
28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY		
Agency Advance	Key Bank	0.00
Controlled Disb	Key Bank	0.00
ESF/GSA	Key Bank	0.00
Forestry	Community Bank	258.72
Regular Account	Key Bank	26,864.69
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.	136,481.10
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	944,357.91
Revenue EFT Account	JPMorgan Chase Bank, N.A.	34,628.01
28580 - SUNY COLLEGE OF OPTOMETRY		
General Revenue	JPMorgan Chase Bank, N.A.	217,278.49
Medical Transportation	JPMorgan Chase Bank, N.A.	738.88
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	3,000,000.00
Revenue	Key Bank	153,274.67
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,766.38
Confidential Investigations	JPMorgan Chase Bank, N.A.	11,891.66
Fire Tax Account (Main)	Key Bank	28,049.69
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	203,059.77
General Fund	Key Bank	757,896.76
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	5,501,555.83
Miscellaneous Account	JPMorgan Chase Bank, N.A.	160,521.21
Paid Family Leave	JPMorgan Chase Bank, N.A.	0.00
Petty Cash	Key Bank	6,000.00
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	214,844.02
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Revenue (SA)	Glens Falls National	45,490.91
SARATOGA REGION CONTRACTORS BID ACCOUNT	Key Bank	86,908.68
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	65,151.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	290,209.25
Revenue (LI)	People's United Bank	30,591.73
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	54,538.73
Revenue (GE)	Bank of Castile	348,259.77
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	6,262.93
Revenue (NIA)	Evans National Bank	27,128.10
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	4,389.60
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	193,650.00
Main Office Account (ALB)	Key Bank	1,500.00
OPRHP Concentration Account	Key Bank	358,426.63
Petty Cash (ALB)	Key Bank	29,913.20
Revenue (NI, GE, AL, CE, TA)	M&T Bank	46,473.34
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	90,170.18
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	6,925.23
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	6,470.61
Revenue (various)	Wells Fargo Bank	99,002.88
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	1,130.36
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	426,463.39
Statewide Housing Security Deposits	Key Bank	133,829.75
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	20,014.78
Revenue (FL)	Savannah Bank	39,373.12
Revenue (FL-Multi)	Community Bank	223.41
Revenue (FL-Multi-Facilities)	Tompkins County Trust	165,609.82
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	868.00
Regional Account (AL)	Five Star Bank	113,254.66
Revenue (AL)	Five Star Bank	96,172.01
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		

Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	20,721.27
Revenue (CE, SA, TI)	NBT Bank	37,639.04
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	1,442.58
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI)	Citizens Bank	48,764.56
Revenue (TI-Multi)	Community Bank	672.87
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	15,689.48
Iterim Assistance Agreement	Bank of America, N.A.	No report received
OMH Medication Grant Program Acct	Bank of America, N.A.	8,494.81
Reimbursement Account	Bank of America, N.A.	No report received
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	3,615.96
Facility Holding Account	JPMorgan Chase Bank, N.A.	25,669.31
Patient Cash Funds	JPMorgan Chase Bank, N.A.	450,398.90
Patients Cash Account	JPMorgan Chase Bank, N.A.	235,194.91
Security Deposit	JPMorgan Chase Bank, N.A.	2,259.97
50020 - KINGSBORO PSYCHIATRIC CENTER		
Advance Account	Banco Popular	18,538.15
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	210,451.01
Medicaid Outpatient Travel	Banco Popular	18.77
Patient Cash Acct (MM)	Banco Popular	186,517.42
Patient Checking Account	Citibank	35,622.73
Patient Savings Account	Banco Popular	334,515.47
Security Deposit	Banco Popular	2,489.03
Urban Oasis/EBT	Banco Popular	51,839.32
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	Key Bank	50,600.45
Facility Holding	Key Bank	13,784.38
Patient Cash Checking	Key Bank	87,319.81
50060 - HUDSON RIVER PSYCHIATRIC CENTER		
Patients Cash	JPMorgan Chase Bank, N.A.	0.00
50080 - MANHATTAN PSYCHIATRIC CENTER		
Advance Account	Sterling Bank	18,636.40
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	7,327.39
Patient Cash Checking	Hudson Valley National Bank	759,741.82
Patients Money Market	Hudson Valley National Bank	72,841.95
Social Service Tokens	Hudson Valley National Bank	33,939.22
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	10,306.08
Facility Holding	Key Bank	51,362.87
Patients Cash Account	Key Bank	135,463.25
Patients Fund Savings	Key Bank	207,534.11
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	16,305.46
Facility Holding Account	Community Bank	82,941.82
Patients Cash Account	Community Bank	10,441.12
Patients Cash Savings	Community Bank	223,928.66
50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	40,910.89
Certificate Of Deposit	HSBC	150,000.00
Certificate Of Deposit	HSBC	250,000.00
Holding Account	HSBC	15,290.89
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	616,179.53
Patient Cash Account	HSBC	69,311.19
Rent Holding Account	HSBC	7,436.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	48,147.56
Exchange	JPMorgan Chase Bank, N.A.	121,189.77
Holding Account	JPMorgan Chase Bank, N.A.	28,879.86
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.	57,432.86
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	1,141,211.03
50180 - NYS PSYCHIATRIC INSTITUTE		

Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	4,559.21
General	JPMorgan Chase Bank, N.A.	80,734.71
Petty Cash	JPMorgan Chase Bank, N.A.	1,654.57
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	9,847.07
Clients Count	Key Bank	116,252.06
Holding Account	Key Bank	17,430.80
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	16,528.78
Facility Holding Acct	JPMorgan Chase Bank, N.A.	161,338.94
Patient Cash	JPMorgan Chase Bank, N.A.	743,535.87
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	12,777.23
Facility Holding	Key Bank	739.68
Patient Cash Checking	Key Bank	17,233.41
Patient Cash Savings	Key Bank	28,916.90
Security Deposit	Key Bank	8,519.06
50310 - BRONX PSYCHIATRIC CENTER		
CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	10,149.38
Misc. Receipts	JPMorgan Chase Bank, N.A.	27,029.74
Patients Cash MM	JPMorgan Chase Bank, N.A.	87,685.34
Patients Checking Acct	JPMorgan Chase Bank, N.A.	567,183.26
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	6,700.33
Holding Account	Hudson Valley National Bank	34,608.20
Patient Cash Account	Hudson Valley National Bank	104,085.90
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	9,531.47
General Fund	Key Bank	6,234.53
Patient Checking	Key Bank	133,265.14
Patient Savings	Key Bank	201,405.31
Security Deposit	Key Bank	3,818.95
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	15,691.07
Facility Holding Account	Key Bank	810.50
Patients Account	Key Bank	169,598.04
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	4,965.00
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	14,333.07
Facility Holding Checking	JPMorgan Chase Bank, N.A.	6,365.72
Family Care Checking	JPMorgan Chase Bank, N.A.	0.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	464,335.36
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	14,148.95
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	Key Bank	2,375.00
Exchange Account	Key Bank	0.00
Patient Cash	Key Bank	380.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	49,479.23
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	4,484.39
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	18,520.86
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	4,344.89
Queens Adv Acct	HSBC	10,671.89
Queens Childrens Account	HSBC	6,572.69
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	8,575.45
General Fund Account	Chemung Canal Trust	4,001.05
IMMA	Chemung Canal Trust	46,014.64
Patients Fund Account	Chemung Canal Trust	247,679.19
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	16,423.19
Facility Holding Account	Key Bank	108,558.31
Parking Garage Account	Key Bank	197,745.35
Patients Cash Checking Account	Key Bank	159,971.41

Patients Cash Savings Account	Key Bank	397,018.43
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.	1,565,908.37
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	34,738.53
Clients Account	Key Bank	223,432.50
Consumer Cash - Savings	Adirondack Bank	644,576.73
Consumer Cash - Savings	Key Bank	3,415,008.90
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	63,547.12
General Fund	M&T Bank	2,944.84
Patients Cash Checking	M&T Bank	1,919,898.17
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	815,338.76
51270 - STATEN ISLAND DDSO		
Clients Cash Account	JPMorgan Chase Bank, N.A.	No report received
General Fund Account	JPMorgan Chase Bank, N.A.	No report received
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
51290 - CAPITAL DISTRICT DDSO		
Agency Advance Account	Key Bank	No report received
Agency Advance Account	The Adirondack Trust Company	No report received
Consumer EBT Fund / Fiduciary Account	Key Bank	No report received
Consumers Fund / Fiduciary Account	Key Bank	No report received
Patients Account Direct Deposit / Fiduciary Acct	The Adirondack Trust Company	No report received
Patients Fund Operating Acct / Fiduciary Acct	The Adirondack Trust Company	No report received
Summer Camp - Fiduciary Acct	The Adirondack Trust Company	No report received
51330 - WESTERN NY DDSO		
Agency Advance Account	M&T Bank	No report received
CD-Patient Property Funds	Key Bank	No report received
Exchange Account	M&T Bank	No report received
General Account	Community Bank	No report received
Patient Property Funds	Adirondack Bank	No report received
Patient Property Funds	M&T Bank	No report received
51350 - LONG ISLAND DDSO		
Consolidated Advance	JPMorgan Chase Bank, N.A.	No report received
EBT Checking Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Patient Cash	JPMorgan Chase Bank, N.A.	No report received
51380 - BROOKLYN DDSO		
CD	Banco Popular	No report received
Consumers Fund	JPMorgan Chase Bank, N.A.	406,025.87
Consumers Money Management	JPMorgan Chase Bank, N.A.	686,451.18
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	218,885.87
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	22,307.11
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	5,673.42
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.	21,358.57
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	26,776.46
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	0.00
Metro NY DDSO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	448,197.90
Patients Cash Account	JPMorgan Chase Bank, N.A.	18,798.32
Patients Money Market Account	JPMorgan Chase Bank, N.A.	0.10
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
51470 - BERNARD M FINESON DDSO		
Bernard Fineson DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	0.00
Money Market Account	JPMorgan Chase Bank, N.A.	306,725.08

Patient Fund Account	JPMorgan Chase Bank, N.A.	350,278.74
Petty Cash Fund	JPMorgan Chase Bank, N.A.	12,092.44
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.	576.90
70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION		
CUNY Admin Imprest Cash Account	Citibank	9,711.78
70030 - CUNY HUNTER COLLEGE		
Travel Petty Cash Account	Citibank	44,726.68
70060 - CUNY JOHN JAY COLLEGE		
CUNY JOHN JAY COLLEGE IMPREST FUND	Citibank	16,500.00
70070 - CUNY LEHMAN COLLEGE		
Lehman College	Citibank	4,345.50
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	4,909.95
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	27,731.17

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 12/31/2019**

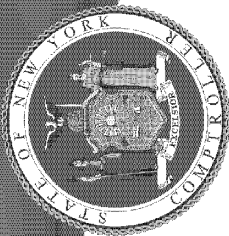
ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 12/31/2019
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND		
0231 Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232 Upstate Community Colleges, Series 2005B	Key Bank	510,220.87
DORMITORY AUTHORITY OF THE STATE OF NEW YORK		
0039 Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	8,937,176.13
0070 Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104 Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	19,267.06
0105 Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	305,835.88
0149 State Advances Repayment Account	Bank of America, N.A.	0.00
1202 DA DFRF MAC #1202 Binghamton	Key Bank	212.00
1203 DA DFRF MAC #1203 Oneonta	Key Bank	972.24
1205 DA DFRF MAC #1205 Delhi	Key Bank	987.39
1206 DA DFRF MAC #1206 Buffalo Univ	Key Bank	558.89
1207 DA DFRF MAC #1207 Buffalo College	Key Bank	171.01
1208 DA DFRF MAC #1208 Alfred	Key Bank	684.53
1209 DA DFRF Mac #1209 Fredonia	Key Bank	74.59
1211 DA DFRF Mac #1211 Upstate Medical	Key Bank	1,000.61
1212 DA DFRF Mac #1212 Oswego	Key Bank	970.21
1214 DA DFRF Mac #1214 Cortland	Key Bank	116,057.65
1215 DA DFRF MAC #1215 Stony Brook	Key Bank	697.56
1216 DA DFRF MAC #1216 Old Westbury	Key Bank	803.37
1217 DA DFRF MAC #1217 Farmingdale	Key Bank	139.68
1218 DA DFRF MAC #1218 Downstate Med	Key Bank	285.00
1219 DA DFRF MAC #1219 Maritime	Key Bank	451.79
1221 DA DFRF MAC #1221 Brockport	Key Bank	370.88
1222 DA DFRF MAC #1222 Geneseo	Key Bank	468.35
1223 DA DFRF MAC #1223 Purchase	Key Bank	365.38
1224 DA DFRF MAC #1224 New Paltz	Key Bank	1,000.90
1225 DA DFRF MAC #1225 Canton	Key Bank	869.93
1226 DA DFRF MAC #1226 Plattsburgh	Key Bank	1,000.47
1227 DA DFRF MAC #1227 Potsdam	Key Bank	100.34
1228 DA DFRF MAC #1228 Morrisville	Key Bank	442.39
1229 DA DFRF MAC #1229 SUNYIT	Key Bank	203,613.38
1230 DA DFRF MAC #1230 Cobleskill	Key Bank	44.96
1239 DA DFRF MAC #1239 Albany	Key Bank	77.81
1240 Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202 DA OMR MAC #2202 Binghamton	Key Bank	1,173.78
2203 DA OMR MAC #2203 Oneonta	Key Bank	1,173.20
2205 DA OMR MAC #2205 Delhi	Key Bank	1,016.58
2206 DA OMR MAC #2206 Buffalo Univ	Key Bank	1,054.47
2207 DA OMR MAC #2207 Buffalo College	Key Bank	198.00
2208 DA OMR MAC #2208 Alfred	Key Bank	303.37
2209 DA OMR MAC #2209 Fredonia	Key Bank	1,128.09
2211 DA OMR MAC #2211 Upstate Medical	Key Bank	1,028.21
2212 DA OMR MAC #2212 Oswego	Key Bank	705.46
2214 DA OMR MAC #2214 Cortland	Key Bank	1,591.22
2215 DA OMR MAC #2215 Stony Brook	Key Bank	341.38
2216 DA OMR MAC #2216 Old Westbury	Key Bank	1,234.78
2217 DA OMR MAC #2217 Farmingdale	Key Bank	1,018.70
2218 DA OMR MAC #2218 Downstate Med	Key Bank	1,025.02
2219 DA OMR MAC #2219 Maritime	Key Bank	1,218.77
2221 DA OMR MAC #2221 Brockport	Key Bank	130.77
2222 DA OMR MAC #2222 Geneseo	Key Bank	1,143.71
2223 DA OMR MAC #2223 Purchase	Key Bank	169.30
2224 DA OMR MAC #2224 New Paltz	Key Bank	269.53
2225 DA OMR MAC #2225 Canton	Key Bank	68.27
2226 DA OMR MAC #2226 Plattsburgh	Key Bank	1,008.15
2227 DA OMR MAC #2227 Potsdam	Key Bank	1,213.68
2228 DA OMR MAC #2228 Morrisville	Key Bank	73.20
2229 DA OMR MAC #2229 SUNYIT	Key Bank	93.10
2230 DA OMR MAC #2230 Cobleskill	Key Bank	1,197.59
2239 DA OMR MAC #2239 Albany	Key Bank	1,066.40
2240 DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	1,013.17
HOMELESS HOUSING ASSISTANCE CORPORATION		
0320 Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	6,323,528.24
NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION		

0315	The Egg	Key Bank	233,032.07
NEW YORK CONVENTION CENTER			
0300	Operating Fund	JPMorgan Chase Bank, N.A.	7,115,344.58
NEW YORK JOB DEVELOPMENT AUTHORITY			
0036	Special Purpose Fund	Bank of America, N.A.	560,690.00
0371	Series H Commercial Paper	Bank of America, N.A.	1,334,122.97
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	333,129.10
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	12,861.12
NYS AFFORDABLE HOUSING CORPORATION			
0491	Disbursement Account	JPMorgan Chase Bank, N.A.	141,461.65
0520	Development Account	Key Bank	11,689,910.99
0521	Development Account II	Key Bank	0.00
0522	Repayment Account	Key Bank	236,886.73
0523	Recapture Account	Key Bank	26,836.46
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.	84,752.08
0625	Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	29,634.93
0626	Criminal Investigation Division	Key Bank	345,401.25
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	1,242,800.98
0827	Stock Transfer Incentive Fund	Key Bank	1,120,142.84
0847	Pari-Mutuel Revenue Transfer Account	Key Bank	603,122.38
0848	Off-Track Bet Tax Revenue Transfer Account	Key Bank	340,096.51
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.	(41,255,691.06)
NYS HOUSING FINANCE AGENCY			
0032	Operating Fund	Key Bank	0.00
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	203,111.75
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	7,899,969.99
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.	784,783.71
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	0.00
0283	Small Owner's Assistance Program Account	Key Bank	74,031.52
0285	Public Purpose Account	Key Bank	9,622,689.35
0286	Disbursement Account	Key Bank	3,648,154.78
0287	Infrastructure Development Fund	Key Bank	197,817.52
0288	Mobile Home Cooperative Fund	Key Bank	23,302.18
0290	Low Rent Lease Account	Key Bank	0.00
0292	Homeless Housing Initiatives	Key Bank	198,761.96
0294	Housing Plan Fund	Key Bank	925,872.73
0301	HFA - Subsidy Repayment Account	Key Bank	148,065.03
0305	HPD Disbursement Fund	Key Bank	817,514.41
0879	Payroll Account	JPMorgan Chase Bank, N.A.	125,999.24
NYS HOUSING TRUST FUND CORPORATION			
0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	805,749.60
0460	Escrow Account	M&T Bank	2,381,565.01
0461	Housing Modernization Account	M&T Bank	1,420,461.14
0462	General Custodial Account	M&T Bank	42,816,873.61
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	8,284,048.80
0466	Homes for Working Families Account	M&T Bank	4,333,371.00
0467	Section 8 Administrative Account	M&T Bank	12,227,124.46
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	9,370,654.51
0470	HCV Main Account	Bank of America, N.A.	14,065,362.98
0471	Empire State Relief Fund	M&T Bank	569,251.14
0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	3,943,084.68
0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00

0475	Reserve Account	Bank of America, N.A.	1,023,757.86
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.	8,725,324.55
0891	Small Cities Community Development Block Grant Program	M&T Bank	1,411,604.07
0892	Disaster Recovery Initiative Account	M&T Bank	39,382.62
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	2,370,109.46
0899	HTFC Storm Recovery Lockbox	US Bank	44,643.86
NYS INSURANCE DEPARTMENT			
0001	Property/Casualty Insurance Security Fund	Key Bank	710,566.29
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	458,942.31
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	572,747.56
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	(182,420.24)
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	6,907,753.56
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	3,361,751.00
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.	45,402,916.02
0054	State Insurance Fund	Bank of America, N.A.	1,867,556.28
0055	State Insurance Fund	Bank of America, N.A.	1,857,347.90
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	25,151.18
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	970,371.04
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	31,720.29
0870	Deductions Account	Key Bank	226,120.18
0871	Bio-Tech Incubator at Farmingdale	Key Bank	0.00
WORKERS COMPENSATION BOARD			
0006	Fund for Reopened Cases	Bank of America, N.A.	0.00
0012	WCB Asset Transfer Account	Bank of America, N.A.	0.00
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	0.00
008K	Special Fund for Disability Benefits	Key Bank	42,429.43

The above balances represent funds deposited in various banking institutions per the records of the Department of Taxation and Finance, Division of Treasury, and published in accordance with Section 107 of the State Finance Law.

Division of the Treasury, Department of Taxation and Finance
Christopher Curtis *Deputy Commissioner and State Treasurer*



Office of the NEW YORK STATE
COMPTROLLER

Comptroller's Monthly Report on State Funds Cash Basis of Accounting

DECEMBER 2019

NYS Comptroller
THOMAS P. DINAPOLI

Office of Operations
Division of Payroll, Accounting and Revenue Services
Bureau of Financial Reporting and Oil Spill Remediation



STATE OF NEW YORK
OFFICE OF OPERATIONS
DIVISION OF PAYROLL, ACCOUNTING AND REVENUE SERVICES
BUREAU OF FINANCIAL REPORTING AND OIL SPILL REMEDIATION

THOMAS P. DINAPOLI
STATE COMPTROLLER

COMPTROLLER'S MONTHLY REPORT TO THE LEGISLATURE ON STATE FUNDS - CASH BASIS OF ACCOUNTING

December 31, 2019

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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 DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	\$ Increase/ (Decrease)	% Increase/ Decrease	
RECEIPTS:																		
Personal Income Tax	(7)	\$ 2,105.5	\$ 18,616.9	\$ 38.5	\$ 41.7	\$ 2,144.0	\$ 18,656.6	\$ -	\$ -	\$ -	\$ -	\$ 37,317.2	\$ 4,105.1	\$ 32,530.0	\$ 4,787.2	\$ 4,787.2	14.7%	
Consumption/Use Taxes	(4)	789.8	6,111.0	188.5	1,505.5	741.8	5,658.8	65.8	492.1	1,783.9	13,767.4	1,748.1	1,748.1	13,266.3	501.1	501.1	3.8%	
Business Taxes		1,351.8	4,410.4	306.9	1,418.5	-	-	54.2	514.8	1,712.9	6,343.7	1,493.7	1,493.7	5,505.9	837.8	837.8	15.2%	
Other Taxes	(3)	144.9	828.4	-	-	74.4	774.5	11.9	83.4	231.2	1,686.3	236.7	236.7	1,741.3	(56.0)	(56.0)	-3.2%	
Miscellaneous Receipts	(4)	227.2	2,516.8	1,462.6	13,761.2	51.5	373.9	404.1	3,892.5	2,145.4	20,544.4	2,688.2	2,688.2	21,561.5	(1,017.1)	(1,017.1)	-4.7%	
Federal Receipts		-	0.5	6,447.1	48,192.0	-	36.8	158.7	1,506.1	6,605.8	49,735.4	6,031.9	6,031.9	48,645.5	3,089.9	3,089.9	6.6%	
Total Receipts		4,619.2	32,484.0	8,441.6	64,918.9	3,011.7	25,502.6	694.7	6,488.9	16,767.2	129,394.4	16,383.7	16,383.7	121,250.5	8,143.9	8,143.9	6.7%	
DISBURSEMENTS:																		
Local Assistance Grants:	(3,4)																	
Education		2,250.1	16,793.9	509.8	6,003.9	-	-	24.9	145.3	2,784.8	22,943.1	3,176.8	3,176.8	22,474.8	468.3	468.3	2.1%	
Environment and Recreation		0.2	2.3	0.7	2.4	-	-	13.3	147.3	14.2	152.0	36.9	36.9	153.2	(1.2)	(1.2)	-0.8%	
General Government		205.3	943.6	38.9	208.4	-	-	140.6	705.9	384.8	1,857.9	306.6	306.6	1,856.0	1.9	1.9	0.1%	
Public Health:																		
Medicaid		1,300.1	14,864.9	3,696.2	34,652.6	-	-	-	-	4,996.3	49,517.5	4,897.4	4,897.4	46,690.5	2,827.0	2,827.0	6.1%	
Other Public Health		282.6	1,754.0	721.8	5,438.7	-	-	44.6	358.3	1,049.0	7,551.0	919.7	919.7	7,732.1	(181.1)	(181.1)	-2.3%	
Public Safety		21.8	136.9	109.5	1,040.3	-	-	1.8	39.4	133.1	1,216.6	79.2	79.2	1,259.8	(43.2)	(43.2)	-3.4%	
Public Welfare		119.6	1,935.8	114.3	3,232.6	-	-	103.6	254.5	247.2	5,322.9	962.4	962.4	5,881.2	(558.3)	(558.3)	-9.5%	
Support and Regulate Business		13.0	110.8	6.0	52.0	-	-	102.6	699.7	121.6	862.5	49.7	49.7	728.7	135.8	135.8	18.7%	
Transportation		11.4	97.5	734.6	3,226.2	-	-	281.2	1,357.2	1,027.2	4,680.9	1,070.8	1,070.8	4,877.1	(196.2)	(196.2)	-4.0%	
Total Local Assistance Grants		4,204.1	36,539.7	5,931.8	53,857.1	-	-	622.3	3,707.6	10,758.2	94,104.4	11,499.5	11,499.5	91,651.4	2,453.0	2,453.0	2.7%	
Departmental Operations:																		
Personal Service		684.2	6,840.1	460.9	4,419.5	-	-	-	-	1,145.1	11,259.6	1,160.3	1,160.3	10,911.3	348.3	348.3	3.2%	
Non-Personal Service		178.8	1,811.1	344.4	3,105.6	1.5	26.8	-	-	524.7	4,943.5	452.3	452.3	4,830.7	112.8	112.8	2.3%	
General State Charges		408.7	6,116.7	130.6	995.7	-	-	-	-	539.3	7,114.4	479.3	479.3	7,000.5	113.9	113.9	1.6%	
Debt Service, Including Payments on Financing Agreements	(1)	-	-	-	-	412.2	1,512.2	-	-	412.2	1,512.2	348.3	348.3	1,752.5	(240.3)	(240.3)	-13.7%	
Capital Projects		-	-	-	-	-	-	577.0	5,425.0	577.0	5,425.0	529.9	529.9	5,410.5	14.5	14.5	0.3%	
Total Disbursements		5,475.8	51,309.6	6,867.7	62,377.9	413.7	1,538.0	1,199.3	9,132.6	13,956.5	124,358.1	14,472.6	14,472.6	121,556.9	2,802.2	2,802.2	2.3%	
Excess (Deficiency) of Receipts over Disbursements		(856.6)	(18,825.6)	1,573.9	2,541.0	2,598.0	23,963.6	(504.6)	(2,643.7)	2,810.7	5,035.3	1,911.1	1,911.1	(306.4)	5,341.7	5,341.7	1,743.4%	
OTHER FINANCING SOURCES (USES):																		
Bond Proceeds (net)		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Transfers from Other Funds	(2)	3,025.7	25,278.6	97.6	1,993.1	376.8	2,039.8	508.4	3,348.9	4,008.5	32,660.4	3,089.9	3,089.9	28,446.2	4,214.2	4,214.2	14.8%	
Transfers to Other Funds	(2)	(560.8)	(5,479.0)	(408.2)	(1,513.7)	(2,952.0)	(25,083.1)	(88.8)	(694.6)	(4,009.8)	(32,770.4)	(3,093.3)	(3,093.3)	(28,465.4)	4,305.0	4,305.0	15.1%	
Total Other Financing Sources (Uses)		2,464.9	19,799.6	(310.6)	479.4	(2,575.2)	(23,043.3)	419.6	2,654.3	(1.3)	(110.0)	(3.4)	(3.4)	(19.2)	(90.8)	(90.8)	-472.9%	
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		1,608.3	974.0	1,263.3	3,020.4	22.8	920.3	(85.0)	10.6	2,809.4	4,925.3	1,907.7	1,907.7	(325.6)	5,250.9	5,250.9	1,612.7%	
Beginning Fund Balances (Deficits)		6,571.4	7,205.7	5,595.5	3,842.4	962.3	64.8	(1,042.3)	(1,137.9)	12,090.9	9,975.0	10,515.7	10,515.7	12,749.0	(2,774.0)	(2,774.0)	-21.8%	
Ending Fund Balances (Deficits)		\$ 8,179.7	\$ 8,179.7	\$ 6,862.8	\$ 6,862.8	\$ 985.1	\$ 985.1	\$ (1,127.3)	\$ (1,127.3)	\$ 14,900.3	\$ 14,900.3	\$ 12,423.4	\$ 12,423.4	\$ 12,423.4	\$ 2,476.9	\$ 2,476.9	19.9%	

EXHIBIT A
SUPPLEMENTALSTATE OF NEW YORK
GOVERNMENTAL FUNDS-STATE OPERATING (*)
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(amounts in millions)

	GENERAL		STATE SPECIAL REVENUE (**)		DEBT SERVICE		TOTAL STATE OPERATING FUNDS			
	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2018	9 MOS. ENDED DEC. 31, 2018
RECEIPTS:										
Personal Income Tax	(7)	\$ 2,105.5	\$ 18,616.9	\$ 38.5	\$ 41.7	\$ 2,144.0	\$ 4,288.0	\$ 37,317.2	\$ 4,105.1	\$ 32,530.0
Consumption/Use Taxes	(4)	789.8	6,111.0	186.5	1,505.5	741.8	1,718.1	13,275.3	1,677.4	12,762.7
Business Taxes		1,351.8	4,410.4	306.9	1,418.5	-	1,658.7	5,828.9	1,439.6	5,006.6
Other Taxes	(3)	144.9	828.4	-	-	74.4	219.3	1,602.9	224.8	1,657.9
Miscellaneous Receipts	(4)	227.2	2,516.8	1,488.9	13,589.5	51.5	1,727.6	16,480.2	1,484.9	17,537.2
Federal Receipts		-	0.5	-	17.7	-	-	55.0	-	34.4
Total Receipts		4,619.2	32,484.0	1,980.8	16,572.9	3,011.7	9,611.7	74,569.5	8,931.8	69,528.8
DISBURSEMENTS:										
Local Assistance Grants:										
Education	(3,4)	2,250.1	16,793.9	183.8	3,344.2	-	2,433.9	20,138.1	2,914.8	19,591.1
Environment and Recreation		0.2	2.3	0.5	1.5	-	0.7	3.8	2.4	4.7
General Government		205.3	943.6	27.1	162.9	-	232.4	1,106.5	187.7	1,032.8
Public Health:										
Medicaid		1,300.1	14,864.9	434.3	4,434.7	-	1,734.4	19,299.6	1,727.2	17,558.8
Other Public Health		282.6	1,754.0	100.3	658.5	-	382.9	2,412.5	347.9	2,531.9
Public Safety		21.8	136.9	12.4	138.2	-	34.2	275.1	30.4	254.6
Public Welfare		119.6	1,835.8	(0.4)	4.1	-	119.2	1,839.9	311.1	1,842.3
Support and Regulate Business		13.0	110.8	6.0	44.1	-	19.0	154.9	17.4	155.0
Transportation		11.4	97.5	728.1	3,184.8	-	739.5	3,282.3	778.4	3,581.9
Total Local Assistance Grants		4,204.1	36,538.7	1,492.1	11,973.0	-	5,686.2	48,512.7	6,317.3	48,553.1
Departmental Operations:										
Personal Service		684.2	6,840.1	408.0	3,931.0	-	1,092.2	10,771.1	1,110.8	10,417.3
Non-Personal Service		178.8	1,811.1	218.9	2,147.9	1.5	399.2	3,985.8	373.0	3,924.6
General State Charges		408.7	6,115.7	105.1	753.9	-	513.8	6,872.6	451.3	6,689.7
Debt Service, Including Payments on Financing Agreements		-	-	-	-	-	412.2	1,512.2	348.3	1,752.5
Capital Projects		-	-	-	-	-	-	-	-	-
Total Disbursements		5,475.8	51,308.6	2,224.1	18,805.8	413.7	8,113.6	71,654.4	8,600.7	68,317.2
Excess (Deficiency) of Receipts over Disbursements		(856.6)	(18,825.6)	(243.3)	(2,232.9)	2,598.0	1,498.1	2,905.1	331.1	211.6
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	(2)	3,025.7	25,278.6	111.9	2,421.4	376.8	3,514.4	29,739.8	3,111.7	26,173.5
Transfers to Other Funds	(2)	(560.8)	(5,479.0)	(71.5)	(420.9)	(2,952.0)	(3,584.3)	(30,983.0)	(2,983.1)	(27,089.3)
Total Other Financing Sources (Uses)		2,464.9	19,799.6	40.4	2,000.5	(2,575.2)	(89.9)	(1,243.2)	118.6	(925.8)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		1,608.3	974.0	(202.9)	(232.4)	22.8	1,428.2	1,661.9	448.7	(714.2)
Beginning Fund Balances (Deficits)		6,571.4	7,205.7	5,061.3	5,090.8	982.3	12,595.0	12,361.3	12,442.7	13,606.6
Ending Fund Balances (Deficits)		\$ 8,179.7	\$ 8,179.7	\$ 4,858.4	\$ 4,858.4	\$ 985.1	\$ 14,023.2	\$ 14,023.2	\$ 12,892.4	\$ 12,892.4

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.

(**) Eliminations between Special Revenue - State and Federal Funds are not included.

GOVERNMENTAL FUNDS FOOTNOTES

1. Certain disbursements from Capital Projects funds are financed by operating transfers from other funds, proceeds of State bonds and notes, and reimbursements received from Public Authorities and the Federal Government. The amounts shown below represent disbursements to be reimbursed in future months from the sources indicated:

Urban Development Corporation (Correctional Facilities)	\$304.1 million
Urban Development Corporation (Youth Facilities)	16.6
Housing Finance Agency (HFA)	97.0
Housing Assistance Fund	12.9
Dormitory Authority (Mental Hygiene)	389.0
Dormitory Authority and State University Income Fund	657.4
Federal Capital Projects	547.5
State bond and note proceeds	121.3

2. Operating Transfers constitute legally authorized transfers from a fund receiving revenues to a fund through which disbursements will ultimately be made. The more significant transfers include:

General Fund "Transfers to Other Funds" are as follows:

State Capital Projects Fund	\$2,108.5 million
General Debt Service Fund	340.6
Banking Services Account	27.9
Building Administration Account	8.0
Business Service Center Account	8.1
Centralized Tech Services Account	11.5
Court Facilities Incentive Aid Fund	95.3
Dedicated Highway & Bridge Trust Fund	49.5
Dedicated Infrastructure Investment Fund	1,010.0
Dedicated Mass Transportation - Railroad Account	6.6
Dedicated Mass Transportation - Transit Authority Account	36.7
Dedicated Mass Transportation - (Non-MTA)	3.8
Environmental Protection Fund	26.0
Housing Debt Service Fund	2.7
MTA Financial Assistance Fund	244.3
MTA Operating Assistance Fund	36.7
NY Central Business District Trust	75.0
NYC County Courts Operating Account	3.2
Recruitment Incentive Fund	2.1
SUNY - Income Fund	1,114.1

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 (\$6.8m), and the State University Income Fund (\$259.3m).

§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 December 31, 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 (\$1,047.8m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities, the General Debt Services Fund (\$6.9m), Medicaid Management Information System Escrow Fund (\$57.3m), SUNY Capital Projects Fund (\$98.4m), State Capital Projects Fund (\$1.1m) and All Other Capital Projects (\$83.0m).

EXHIBIT A NOTES
December 2019

Also included in Special Revenue funds are transfers to the General Fund from the following:

Business & Licensing Services Account	\$3.8 million
Chemical Dependence Service Fund	101.3
Encon Special Revenue	6.4
Federal Dept. of Health & Human Services Fund	15.5
Federal Education Fund	1.5
Federal Employment & Training Grants	1.2
Federal Operating Grants Fund	3.5
Federal Special Revenue Funds USDA/Food and Nutrition	2.2
HESC Insurance Premium Account	5.9
MTA Operating Assistance	1.0
NYC Assessment Account	22.9
Patron Services Account	1.5
Public Service Account	2.7
State Lottery Fund	5.2
SUNY Income Fund	34.3
System and Technology Account	2.5
Training and Education Program on OSHA	1.4
Unemployment Insurance Administration Fund	19.5
Unemployment Insurance, Interest & Penalty	11.6
Workers Comp Account	6.2

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	\$18,553.3 million
Local Government Assistance Tax Fund	2,806.8
Sales Tax Revenue Bond Tax Fund	2,165.2
Clean Water/Clean Air Fund	732.1
Mental Health Services Fund	710.3

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 (\$115.4m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund (\$60.0m), the General Debt Service Fund - Lease Purchase (\$421.2m), and the Revenue Bond Tax Fund (\$213.4m).

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 now reported in Schedule 4 as part of the MTA State Assistance fund group.

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 1168-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 as part of the MTA State Assistance fund group.

GOVERNMENTAL FUNDS FOOTNOTES

- 5. Part NNN of Chapter 59 of the Laws of 2018 added Tax Law, Article 29-C, 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 MTA are recorded in State Funds. The for-hire congestion surcharge activity is reported in Schedule 4 as part of the MTA State Assistance fund group.
- 6. Part OOO of Chapter 59 of the Laws of 2019 added to and amended Tax Law Article 31. Section 1402.b added an additional real estate transfer tax to residential property over \$2 million, in cities with a population of over 1 million. Section 1421(b) of the tax law was amended directing these taxes be remitted to the MTA pursuant to statute but without appropriation. The result is that neither the tax nor the related disbursements to the MTA are recorded in State Funds. This activity is reported in Schedule 4 as part of the MTA State Assistance fund group.
- 7. A portion of Personal Income Tax receipts is transferred to the State Special Revenue School Tax Relief (STAR) Fund to be used to reimburse school districts for the STAR property tax exemptions for homeowners and payments to homeowners for the STAR Property Rebate Program. School Tax Relief payments were (\$41.7m) as of December 31, 2019.

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 DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2018	9 MOS. ENDED DEC. 31, 2018	\$ Increase/ (Decrease)	% Increase/ Decrease	
RECEIPTS:											
Miscellaneous Receipts	\$ 4.6	\$ 65.6	\$ 41.9	\$ 406.5	\$ 46.5	\$ 472.1	\$ 39.4	\$ 407.2	\$ 64.9	15.9%	
Federal Receipts	5.9	13.7	-	-	5.9	13.7	1.0	9.2	4.5	48.9%	
Unemployment Taxes	220.3	1,477.0	-	-	220.3	1,477.0	186.3	1,425.9	51.1	3.6%	
Total Receipts	230.8	1,556.3	41.9	406.5	272.7	1,962.8	226.7	1,842.3	120.5	6.5%	
DISBURSEMENTS:											
Departmental Operations:											
Personal Service	1.3	14.3	9.5	95.6	10.8	109.9	4.0	80.3	29.6	36.9%	
Non-Personal Service	4.6	46.3	29.7	311.4	34.3	357.7	44.9	367.6	(9.9)	-2.7%	
General State Charges	0.2	1.3	4.5	40.8	4.7	42.1	2.5	58.5	(16.4)	-28.0%	
Unemployment Benefits	226.9	1,492.1	-	-	226.9	1,492.1	187.1	1,434.8	57.3	4.0%	
Total Disbursements	233.0	1,554.0	43.7	447.8	276.7	2,001.8	238.5	1,941.2	60.6	3.1%	
Excess (Deficiency) of Receipts Over Disbursements	(2.2)	2.3	(1.8)	(41.3)	(4.0)	(39.0)	(11.8)	(98.9)	59.9	60.6%	
OTHER FINANCING SOURCES (USES):											
Transfers from Other Funds	-	-	4.4	57.0	4.4	57.0	3.4	50.1	6.9	13.8%	
Transfers to Other Funds	-	-	(3.2)	(4.3)	(3.2)	(4.3)	-	(7.2)	(2.9)	-40.3%	
Total Other Financing Sources (Uses)	-	-	1.2	52.7	1.2	52.7	3.4	42.9	9.8	22.8%	
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(2.2)	2.3	(0.6)	11.4	(2.8)	13.7	(8.4)	(56.0)	69.7	124.5%	
Beginning Fund Balances (Deficits)	31.1	26.6	(290.7)	(302.7)	(259.6)	(276.1)	(292.2)	(244.6)	(31.5)	-12.9%	
Ending Fund Balances (Deficits)	\$ 28.9	\$ 28.9	\$ (291.3)	\$ (291.3)	\$ (262.4)	\$ (262.4)	\$ (300.6)	\$ (300.6)	\$ 38.2	12.7%	

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 DEC. 2019	9 MOS. ENDED DEC. 31, 2019		MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019		MONTH OF DEC. 2019	9 MOS. ENDED DEC. 31, 2019	MONTH OF DEC. 2018	9 MOS. ENDED DEC. 31, 2018	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:												
Miscellaneous Receipts	\$ 36.3	\$ 112.8		\$ 0.2	\$ 1.2		\$ 36.5	\$ 114.0	\$ 10.1	\$ 90.4	\$ 23.6	26.1%
Total Receipts	36.3	112.8		0.2	1.2		36.5	114.0	10.1	90.4	23.6	26.1%
DISBURSEMENTS:												
Departmental Operations:												
Personal Service	5.3	52.1		0.1	0.2		5.4	52.3	5.1	51.8	0.5	1.0%
Non-Personal Service	19.5	29.3		-	-		19.5	29.3	2.6	11.7	17.6	150.4%
General State Charges	3.4	28.3		-	0.1		3.4	28.4	0.3	35.9	(7.5)	-20.9%
Total Disbursements	28.2	109.7		0.1	0.3		28.3	110.0	8.0	99.4	10.6	10.7%
Excess (Deficiency) of Receipts Over Disbursements	8.1	3.1		0.1	0.9		8.2	4.0	2.1	(9.0)	13.0	144.4%
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	8.1	3.1		0.1	0.9		8.2	4.0	2.1	(9.0)	13.0	144.4%
Beginning Fund Balances (Deficits)	(8.0)	(3.0)		14.0	13.2		6.0	10.2	(1.2)	9.9	0.3	3.0%
Ending Fund Balances (Deficits)	0.1	0.1		14.1	14.1		14.2	14.2	0.9	0.9	13.3	-1,477.8%

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR NINE MONTHS ENDED DECEMBER 31, 2019
(amounts in millions)

EXHIBIT D

	ALL GOVERNMENTAL FUNDS			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 36,015.0	\$ 36,312.0	\$ 37,317.2	\$ 1,302.2
Consumption/Use	13,966.0	13,824.0	13,767.4	(198.6)
Business	5,941.0	5,994.0	6,343.7	402.7
Other	1,721.0	1,676.0	1,686.3	(34.7)
Miscellaneous Receipts	21,394.0	21,526.0	20,544.4	(849.6)
Federal Receipts	48,933.0	48,477.0	49,735.4	802.4
Total Receipts	127,970.0	127,809.0	129,394.4	1,424.4
				1,585.4
DISBURSEMENTS:				
Local Assistance Grants	94,181.0	95,348.0	94,104.4	(76.6)
Departmental Operations	16,416.0	16,392.0	16,203.1	(212.9)
General State Charges	7,266.0	7,176.0	7,114.4	(151.6)
Debt Service	1,518.0	1,523.0	1,512.2	(5.8)
Capital Projects	6,666.0	5,762.0	5,425.0	(1,241.0)
Total Disbursements	126,047.0	126,201.0	124,359.1	(1,687.9)
				(1,841.9)
Excess (Deficiency) of Receipts over Disbursements	1,923.0	1,608.0	5,035.3	3,112.3
				3,427.3
OTHER FINANCING SOURCES (USES):				
Bond and Note Proceeds, net	-	-	-	-
Transfers from Other Funds	31,931.0	32,098.0	32,660.4	729.4
Transfers to Other Funds	(31,993.0)	(32,216.0)	(32,770.4)	777.4
Total Other Financing Sources (Uses)	(62.0)	(118.0)	(110.0)	(48.0)
				8.0
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,861.0	1,490.0	4,925.3	3,064.3
				3,435.3
Fund Balances (Deficits) at April 1	9,975.0	9,975.0	9,975.0	-
Fund Balances (Deficits) at December 31, 2019	11,836.0	11,465.0	14,900.3	3,064.3
				\$ 3,435.3

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2019-20 Mid-Year Update dated November 22, 2019.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR NINE MONTHS ENDED DECEMBER 31, 2019
(amounts in millions)

	STATE OPERATING FUNDS (***)			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 36,015.0	\$ 36,312.0	\$ 37,317.2	\$ 1,302.2
Consumption/Use	13,473.0	13,325.0	13,275.3	(197.7)
Business	5,437.0	5,486.0	5,828.9	391.9
Other	1,637.0	1,593.0	1,602.9	(34.1)
Miscellaneous Receipts	16,041.0	16,262.0	16,480.2	439.2
Federal Receipts	37.0	54.0	55.0	18.0
Total Receipts	72,640.0	73,032.0	74,559.5	1,919.5
				1,527.5
DISBURSEMENTS:				
Local Assistance Grants	47,591.0	49,156.0	48,512.7	921.7
Departmental Operations	14,902.0	14,937.0	14,756.9	(145.1)
General State Charges	7,022.0	6,936.0	6,872.6	(149.4)
Debt Service	1,518.0	1,523.0	1,512.2	(5.8)
Capital Projects	-	-	-	-
Total Disbursements	71,033.0	72,552.0	71,654.4	621.4
				(897.6)
Excess (Deficiency) of Receipts over Disbursements	1,607.0	480.0	2,905.1	1,298.1
				2,425.1
OTHER FINANCING SOURCES (USES):				
Transfers from Other Funds	28,997.0	29,458.0	29,739.8	742.8
Transfers to Other Funds	(30,017.0)	(30,064.0)	(30,983.0)	966.0
Total Other Financing Sources (Uses)	(1,020.0)	(606.0)	(1,243.2)	(223.2)
				(637.2)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	587.0	(126.0)	1,661.9	1,074.9
				1,787.9
Fund Balances (Deficits) at April 1	12,362.0	12,362.0	12,361.3	(0.7)
Fund Balances (Deficits) at December 31, 2019	\$ 12,949.0	\$ 12,236.0	\$ 14,023.2	\$ 1,074.2
				\$ 1,787.2

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2019-20 Mid-Year Update dated November 22, 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.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR NINE MONTHS ENDED DECEMBER 31, 2019
(amounts in millions)

	GENERAL FUND			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 17,939.0	\$ 18,073.0	\$ 18,616.9	\$ 677.9
Consumption/Use	6,244.0	6,141.0	6,111.0	(133.0)
Business	4,137.0	4,173.0	4,410.4	273.4
Other	836.0	805.0	828.4	(7.6)
Miscellaneous Receipts	2,233.0	2,340.0	2,516.8	283.8
Federal Receipts	-	-	0.5	0.5
Transfers From:				
PIT / ECET in excess of Revenue Bond Debt Service	17,916.0	18,046.0	18,553.3	637.3
Sales Tax in excess of LGAC / STRBF Debt Service	5,066.0	5,008.0	4,972.0	(94.0)
Real Estate Taxes in excess of CW/CA Debt Service	764.0	745.0	732.1	(31.9)
All Other	1,102.0	1,256.0	1,021.2	(80.8)
Total Receipts and Other Financing Sources	56,237.0	56,587.0	57,762.6	1,525.6
DISBURSEMENTS:				
Local Assistance Grants	36,017.0	37,157.0	36,539.7	522.7
Departmental Operations	8,878.0	8,830.0	8,651.2	(226.8)
General State Charges	6,198.0	6,151.0	6,118.7	(79.3)
Transfers To:				
Debt Service	347.0	348.0	340.6	(6.4)
Capital Projects	2,907.0	2,518.0	3,196.0	289.0
State Share Medicaid	-	-	266.1	266.1
SUNY Operations	1,124.0	1,100.0	1,114.1	(9.9)
Other Purposes	755.0	853.0	562.2	(192.8)
Total Disbursements and Other Financing Uses	56,226.0	56,957.0	56,788.6	562.6
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	11.0	(370.0)	974.0	963.0
Fund Balances (Deficits) at April 1	7,206.0	7,206.0	7,205.7	(0.3)
Fund Balances (Deficits) at December 31, 2019	\$ 7,217.0	\$ 6,836.0	\$ 8,179.7	\$ 1,343.7

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2019-20 Mid-Year Update dated November 22, 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.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR NINE MONTHS ENDED DECEMBER 31, 2019
(amounts in millions)

	SPECIAL REVENUE FUNDS					Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total		
RECEIPTS:							
Taxes:							
Personal Income	\$ 69.0	\$ 83.0	\$ 41.7	\$ -	\$ 41.7	\$ (27.3)	\$ (41.3)
Consumption/Use	1,475.0	1,489.0	1,505.5	-	1,505.5	30.5	16.5
Business	1,300.0	1,313.0	1,418.5	-	1,418.5	118.5	105.5
Miscellaneous Receipts	13,624.0	13,708.0	13,761.2	-	13,761.2	137.2	53.2
Federal Receipts	47,404.0	46,893.0	48,192.0	-	48,192.0	788.0	1,299.0
Transfers from Other Funds (***)	2,166.0	2,402.0	2,421.4	(428.3)	1,993.1	(172.9)	(408.9)
Total Receipts and Other Financing Sources	66,038.0	65,888.0	67,340.3	(428.3)	66,912.0	874.0	1,024.0
DISBURSEMENTS:							
Local Assistance Grants	54,381.0	54,071.0	53,857.1	-	53,857.1	(523.9)	(213.9)
Departmental Operations	7,510.0	7,535.0	7,525.1	-	7,525.1	15.1	(9.9)
General State Charges	1,068.0	1,025.0	995.7	-	995.7	(72.3)	(29.3)
Capital Projects	-	-	-	-	-	-	-
Transfers to Other Funds (***)	1,525.0	1,872.0	1,942.0	(428.3)	1,513.7	(11.3)	(358.3)
Total Disbursements and Other Financing Uses	64,484.0	64,503.0	64,319.9	(428.3)	63,891.6	(592.4)	(611.4)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,554.0	1,385.0	3,020.4	-	3,020.4	1,466.4	1,635.4
Fund Balances (Deficits) at April 1	3,842.0	3,842.0	3,842.4	-	3,842.4	0.4	0.4
Fund Balances (Deficits) at December 31, 2019	\$ 5,396.0	\$ 5,227.0	\$ 6,862.8	\$ -	\$ 6,862.8	\$ 1,466.8	\$ 1,635.8

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2019-20 Mid-Year Update dated November 22, 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 NINE MONTHS ENDED DECEMBER 31, 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	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan
RECEIPTS:								
Taxes:								
Personal Income	\$ 69.0	\$ 83.0	\$ 41.7	\$ (27.3)	\$ (41.3)	\$ -	\$ -	\$ -
Consumption/Use	1,475.0	1,489.0	1,505.5	30.5	16.5	-	-	-
Business	1,300.0	1,418.5	1,313.0	118.5	105.5	-	-	-
Miscellaneous Receipts	13,575.0	13,582.0	13,589.5	14.5	7.5	49.0	126.0	122.7
Federal Receipts	-	-	17.7	-	(0.3)	47,404.0	48,875.0	770.3
Transfers from Other Funds	2,166.0	2,402.0	2,421.4	255.4	19.4	-	-	-
Total Receipts and Other Financing Sources	18,585.0	18,887.0	18,984.3	409.3	107.3	47,453.0	47,001.0	893.0
DISBURSEMENTS:								
Local Assistance Grants	11,574.0	11,999.0	11,973.0	399.0	(26.0)	42,807.0	42,072.0	(922.9)
Departmental Operations	5,966.0	6,080.0	6,078.9	82.9	(1.1)	1,514.0	1,455.0	(67.8)
General State Charges	824.0	785.0	753.9	(70.1)	(31.1)	244.0	240.0	(2.2)
Capital Projects	-	-	-	-	-	-	-	-
Transfers to Other Funds	191.0	370.0	420.9	229.9	50.9	1,334.0	1,521.1	187.1
Total Disbursements and Other Financing Uses	18,565.0	19,234.0	19,226.7	641.7	(7.3)	45,899.0	45,269.0	(805.8)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	-	(347.0)	(232.4)	(232.4)	114.6	1,554.0	1,732.0	1,698.8
Fund Balances (Deficits) at April 1	5,091.0	5,091.0	5,090.8	(0.2)	(0.2)	(1,249.0)	(1,249.0)	0.6
Fund Balances (Deficits) at December 31, 2019	\$ 5,091.0	\$ 4,744.0	\$ 4,858.4	\$ (232.6)	\$ 114.4	\$ 305.0	\$ 483.0	\$ 1,699.4

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2019-20 Mid-Year Update dated November 22, 2019.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR NINE MONTHS ENDED DECEMBER 31, 2019
(amounts in millions)

	DEBT SERVICE FUNDS			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 18,007.0	\$ 18,156.0	\$ 18,658.6	\$ 651.6
Consumption/Use	5,754.0	5,695.0	5,658.8	(95.2)
Other	801.0	788.0	774.5	(26.5)
Miscellaneous Receipts	233.0	340.0	373.9	140.9
Federal Receipts	37.0	36.0	36.8	(0.2)
Transfers from Other Funds	1,983.0	2,001.0	2,039.8	56.8
Total Receipts and Other Financing Sources	26,815.0	27,016.0	27,542.4	727.4
DISBURSEMENTS:				
Departmental Operations	28.0	27.0	26.8	(1.2)
Debt Service	1,518.0	1,523.0	1,512.2	(5.8)
Transfers to Other Funds	24,693.0	24,875.0	25,083.1	390.1
Total Disbursements and Other Financing Uses	26,239.0	26,425.0	26,622.1	383.1
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	576.0	591.0	920.3	344.3
Fund Balances (Deficits) at April 1	65.0	65.0	64.8	(0.2)
Fund Balances (Deficits) at December 31, 2019	\$ 641.0	\$ 656.0	\$ 985.1	\$ 344.1
				\$ 329.1

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2019-20 Mid-Year Update dated November 22, 2019.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR NINE MONTHS ENDED DECEMBER 31, 2019
(amounts in millions)

EXHIBIT D

CAPITAL PROJECTS FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Consumption/Use	\$ 493.0	\$ 499.0	\$ 492.1	\$ -	\$ 492.1	\$ (0.9)
Business	504.0	508.0	514.8	-	514.8	10.8
Other	84.0	83.0	83.4	-	83.4	(0.6)
Miscellaneous Receipts	5,304.0	5,138.0	3,892.5	-	3,892.5	(1,411.5)
Federal Receipts	1,492.0	1,548.0	1,506.1	-	1,506.1	14.1
Bond and Note Proceeds, net	-	-	-	-	-	-
Transfers from Other Funds	2,934.0	2,640.0	3,524.8	(175.9)	3,348.9	414.9
Total Receipts and Other Financing Sources	10,811.0	10,416.0	10,013.7	(175.9)	9,837.8	(973.2)
DISBURSEMENTS:						
Local Assistance Grants	3,783.0	4,120.0	3,707.6	-	3,707.6	(75.4)
Capital Projects	6,666.0	5,762.0	5,425.0	-	5,425.0	(1,241.0)
Transfers to Other Funds	642.0	650.0	870.5	(175.9)	694.6	52.6
Total Disbursements and Other Financing Uses	11,091.0	10,532.0	10,003.1	(175.9)	9,827.2	(1,263.8)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(280.0)	(116.0)	10.6	-	10.6	126.6
Fund Balances (Deficits) at April 1	(1,138.0)	(1,138.0)	(1,137.9)	-	(1,137.9)	0.1
Fund Balances (Deficits) at December 31, 2019	\$ (1,418.0)	\$ (1,254.0)	\$ (1,127.3)	\$ -	\$ (1,127.3)	\$ 126.7

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2019-20 Mid-Year Update dated November 22, 2019.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2019-2020
FOR NINE MONTHS ENDED DECEMBER 31, 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	\$ 493.0	\$ 498.0	\$ 492.1	\$ (0.9)	\$ (6.9)	\$ -	\$ -	\$ -	\$ -	\$ -
Business	504.0	508.0	514.8	10.8	6.8	-	-	-	-	-
Other	84.0	83.0	83.4	(0.6)	0.4	-	-	-	-	-
Miscellaneous Receipts	5,304.0	5,138.0	3,891.9	(1,412.1)	(1,246.1)	-	-	0.6	0.6	0.6
Federal Receipts	-	2.0	2.3	2.3	0.3	1,492.0	1,546.0	1,503.8	11.8	(42.2)
Bond and Note Proceeds, net	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds	3,234.0	2,815.0	3,524.8	290.8	709.8	(300.0)	(175.0)	-	300.0	175.0
Total Receipts and Other Financing Sources	9,619.0	9,045.0	8,505.3	(1,109.7)	(635.7)	1,192.0	1,371.0	1,504.4	312.4	133.4
DISBURSEMENTS:										
Local Assistance Grants	3,208.0	3,557.0	3,264.0	56.0	(293.0)	575.0	593.0	443.6	(131.4)	(119.4)
Capital Projects	5,793.0	4,881.0	4,497.3	(1,295.7)	(363.7)	873.0	901.0	927.7	54.7	28.7
Transfers to Other Funds	642.0	650.0	694.5	52.5	44.5	-	-	176.0	176.0	176.0
Total Disbursements and Other Financing Uses	9,643.0	9,068.0	8,455.8	(1,187.2)	(612.2)	1,448.0	1,464.0	1,547.3	99.3	83.3
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(24.0)	(23.0)	53.5	77.5	76.5	(256.0)	(93.0)	(42.9)	213.1	50.1
Fund Balances (Deficits) at April 1	(633.0)	(633.0)	(633.2)	(0.2)	(0.2)	(505.0)	(505.0)	(504.7)	0.3	0.3
Fund Balances (Deficits) at December 31, 2019	(657.0)	(656.0)	(579.7)	77.3	76.3	(761.0)	(598.0)	(547.6)	213.4	50.4

(*) Source: 2019-20 Enacted Financial Plan dated May 13, 2019.

(**) Source: 2019-20 Mid-Year Update dated November 22, 2019.

**STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)**

	9 Months Ended December 31												% Increase/ Decrease
	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ 9,975.0	\$ 18,267.7	\$ 10,925.1	\$ 13,778.6	\$ 12,775.1	\$ 13,740.6	\$ 14,310.2	\$ 14,340.0	\$ 12,080.9				
RECEIPTS:													
Personal Income Tax:													
Income Tax	3,207.1	3,220.1	2,920.3	3,365.9	2,933.7	2,951.1	3,270.6	2,991.9	4,054.3	27,431.9	29,636.8	27,431.9	5.1%
Earnings	6,943.2	112.6	2,366.4	1,197.7	86.7	2,742.0	170.9	83.5	374.8	10,207.4	12,955.8	10,207.4	26.9%
Returns	2,298.9	75.1	54.1	40.8	45.1	65.5	664.2	42.5	24.6	2,415.5	3,188.8	2,415.5	32.4%
State City Offsets	(296.9)	(31.1)	(25.9)	(21.0)	(20.9)	(47.2)	(475.4)	(59.5)	(17.7)	(1,007.7)	(995.6)	(1,007.7)	-1.2%
Other (Assessments/LLC)	170.3	105.2	96.2	89.3	95.7	91.7	104.3	121.6	134.6	930.1	78.8	930.1	8.5%
Gross Receipts	12,240.6	3,481.9	5,443.1	3,553.6	3,152.3	5,703.1	3,834.6	3,179.9	4,575.6	39,077.2	5,027.5	39,077.2	12.6%
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(3,025.2)	(897.3)	(235.2)	(252.0)	(243.9)	(871.7)	(1,056.2)	(710.5)	(237.6)	(7,447.2)	(7,897.5)	(7,447.2)	0.0%
Refunds Issued	9,213.4	2,444.6	5,208.9	3,331.8	2,986.3	4,831.4	2,974.4	2,469.4	4,286.0	37,317.2	37,317.2	37,317.2	3.2%
Total Personal Income Tax	8,191.3	4,547.4	7,172.0	6,313.6	5,728.4	8,750.7	5,988.8	4,838.9	8,334.4	62,511.9	32,530.0	62,511.9	14.7%
Consumption Taxes:													
Sales and Use	1,201.6	1,178.8	1,599.5	1,238.2	1,243.6	1,628.2	1,288.3	1,250.6	1,598.8	11,523.2	12,155.6	11,523.2	5.5%
Auto Rental	3.5	0.3	19.5	0.1	0.1	41.0	(7.3)	0.1	28.2	108.4	83.5	108.4	-23.0%
Cigarette/Tobacco Products	89.2	85.2	83.8	106.8	92.2	87.7	93.8	84.1	95.4	875.4	875.4	875.4	-6.4%
Medical Marijuana	0.5	0.4	0.5	0.4	0.4	0.5	0.4	0.5	0.6	2.7	4.3	2.7	59.3%
Motor Fuel	48.0	44.2	48.1	39.2	47.9	43.2	47.3	41.5	38.9	404.3	395.3	404.3	-2.2%
Alcoholic Beverage	20.0	20.9	28.0	25.6	19.5	23.5	19.1	24.5	20.4	188.5	188.5	188.5	0.4%
Highway Use	14.2	10.7	9.9	14.5	10.7	11.1	14.3	11.0	13.8	114.5	114.5	114.5	-3.8%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-	39.1	(4.3)	39.1	-100.0%
Total Consumption Tax	1,373.0	1,340.3	1,773.3	1,424.9	1,414.4	1,833.2	1,408.9	1,412.3	1,782.9	13,280.3	13,280.3	13,280.3	3.8%
Business:													
Corporate Franchise	376.7	(89.0)	901.2	146.3	-	941.3	98.8	108.9	1,030.6	3,018.7	3,018.7	3,018.7	17.1%
Corporation and Utilities	43.0	1.2	109.5	0.4	(1.7)	141.0	2.9	(0.6)	119.4	416.1	416.1	416.1	-0.2%
Insurance	141.8	5.0	403.2	59.8	(1.5)	436.8	1.4	25.3	457.8	1,131.2	395.4	1,131.2	35.0%
Bank	145.3	(121.1)	(0.2)	(0.2)	(0.3)	(1.4)	(3.1)	(41.8)	13.8	61.3	(81.2)	61.3	-148.8%
Petroleum Business	100.4	99.7	103.8	99.8	107.0	100.7	107.4	93.0	91.3	878.6	18.5	878.6	2.1%
Total Business Taxes	807.2	(84.2)	1,408.6	297.1	103.5	1,618.4	207.4	184.8	1,712.9	5,050.9	837.8	5,050.9	15.2%
Other Taxes:													
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Real Estate Gift	70.7	57.3	62.2	124.7	41.9	53.9	163.2	67.2	144.6	841.3	(27.8)	841.3	-3.2%
Real Estate Transfer	0.9	1.1	1.6	2.2	2.2	2.1	1.0	1.1	1.0	12.6	(0.4)	12.6	-3.2%
Racing and Exhibitions	82.9	86.0	98.0	130.8	90.7	97.2	85.2	99.7	86.1	885.3	885.3	885.3	-2.1%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Employee Compensation Expense Tax	0.1	0.1	-	0.2	0.2	0.1	0.2	0.1	0.4	1.4	-	1.4	100.0%
Total Other Taxes	163.8	144.6	162.7	257.1	135.0	153.2	240.0	188.7	231.2	1,741.3	(55.0)	1,741.3	-3.2%
Total Taxes	11,561.4	3,895.5	8,644.5	5,307.7	4,561.4	8,438.2	4,441.7	4,255.2	8,016.0	53,043.5	6,071.1	53,043.5	11.4%
Miscellaneous Receipts:													
Abandoned Property	2.0	1.2	0.9	1.2	5.6	31.0	36.2	215.9	1.1	315.1	(20.0)	315.1	-6.3%
Bottle Bill	0.2	0.3	31.2	0.3	0.1	39.1	0.3	0.3	23.2	95.6	(0.6)	95.6	-0.6%
Assessments:													
Business	81.0	82.0	103.1	69.2	63.2	76.8	78.7	43.3	80.3	656.1	12.5	656.1	1.9%
Medical Care	625.7	523.9	509.0	571.3	519.5	544.1	531.2	472.5	528.4	4,597.9	237.7	4,597.9	5.2%
Public Utilities	5.1	-	0.7	-	0.9	44.2	(6.0)	(1.7)	0.8	38.7	5.3	38.7	13.7%
Other	-	0.2	0.1	-	0.2	-	-	0.1	0.1	(7.4)	8.1	(7.4)	108.5%
Fees, Licenses and Permits:													
Average Control Licensing	5.7	6.0	5.4	6.0	8.9	7.0	7.4	7.2	5.5	56.6	0.5	56.6	0.9%
Audit Fee	-	-	1.5	-	0.1	0.2	-	-	2.6	2.1	0.5	2.1	23.8%
Business/Professional:													
Civil	60.6	60.6	131.5	65.0	48.9	132.0	80.9	71.8	108.5	757.7	26.2	757.7	3.8%
Criminal	28.8	18.0	22.9	22.6	17.8	34.5	20.5	22.2	33.4	216.2	4.3	216.2	2.0%
Motor Vehicle	126.2	130.8	105.7	119.8	116.3	94.6	116.5	94.4	116.0	1,147.8	(2.2)	1,147.8	-26.2%
Recreational/Consumer	55.4	47.2	67.3	67.5	85.4	134.3	70.7	71.4	62.5	596.4	127.5	596.4	-11.1%
Fines, Penalties and Forfeitures	628.7	224.6	136.0	50.8	31.9	39.2	88.2	37.8	44.4	1,311.1	(29.5)	1,311.1	-2.3%
Gaming:													
Casino	31.4	18.8	19.7	39.7	15.3	20.0	38.9	13.3	17.6	189.4	20.2	189.4	10.6%
Video Lottery	218.4	282.3	203.3	224.7	170.2	178.3	220.1	190.0	130.3	1,300.3	(77.5)	1,300.3	-5.9%
Interest Earnings	78.6	88.5	69.2	89.5	78.5	77.5	94.6	72.7	70.8	689.6	10.1	689.6	1.4%
Receipts from Public Authorities:													
Bond Proceeds	200.8	2.8	146.4	155.3	79.2	489.1	1,688.2	23.6	328.3	3,092.7	(69.0)	3,092.7	-2.2%
Cost Recovery Assessments	-	-	-	-	5.1	28.1	13.5	6.0	5.7	43.1	9.6	43.1	22.3%
Insurance Fees	2.0	1.0	15.1	7.0	-	0.8	14.8	3.5	9.5	76.5	(22.8)	76.5	-28.8%
Non Bond Related	4.2	4.8	4.7	4.4	-	26.7	24.9	25.3	3.0	107.0	71.2	107.0	50.3%
Receipts from Municipalities	25.4	3.2	6.6	4.4	2.6	6.1	4.5	2.3	6.0	234.4	(172.2)	234.4	-73.5%

**STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)**

	9 Months Ended December 31												\$ Increase/ (Decrease)	% Increase/ Decrease	
	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2019	2018	
Revenues of State Departments:															
Administrative Recoveries	40.2	28.1	8.1	30.2	2.6	1.4	68.4	24.9	23.5				227.4	263.3	(35.9) -15.6%
Commissions	1.9	2.8	24.7	17.7	4.6	21.9	26.7	27.6	32.0				159.9	110.0	49.9 45.4%
Commissions - Asset Conversion	0.6	0.6	0.6	0.6	0.2	0.8	0.7	0.8	82.3				87.2	79.1	8.1 976.5%
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-				-	1,000.0	(1,000.0) -100.0%
Indirect Cost Recoveries	10.9	1.5	3.1	0.9	0.9	0.3	3.7	2.0	3.1				28.4	107.0	(80.6) -75.3%
Patient/Client Care Reimbursement	239.4	194.9	198.1	208.3	208.3	264.5	208.1	183.5	247.1				69.6	71.5	(10.9) -15.2%
Rebates	12.3	11.5	14.7	22.1	11.7	12.1	17.7	14.5	11.5				128.1	1,854.8	129.9 7.0%
Restitution and Settlements	7.8	1.1	1.4	1.1	6.1	0.6	3.0	3.9	12.2				37.8	184.6	(146.8) -78.6%
Student Loans	7.5	8.5	1.7	57.7	66.7	10.9	2.3	10.8	10.8				54.5	98.4	(13.9) -20.3%
All Other	52.0	41.1	41.1	57.8	44.2	82.5	60.8	44.2	45.7				167.7	134.7	33.0 24.5%
Sales	5.2	0.8	1.2	2.7	1.7	2.5	0.9	1.7	1.4				18.1	22.0	(3.9) -17.7%
Tuition	52.0	48.1	45.0	45.0	240.0	309.9	34.9	37.5	14.1				919.0	(121.6)	(1,017.1) -4.7%
Total Miscellaneous Receipts	2,659.7	1,871.3	1,971.5	1,968.8	1,834.4	2,761.9	3,944.3	1,737.3	2,143.4	-	-	-	20,544.4	21,561.5	(1,017.1) -4.7%
Federal Receipts	6,242.0	4,959.2	5,803.8	3,275.4	6,082.3	5,663.8	5,708.8	5,394.3	6,805.8	-	-	-	48,735.4	46,645.5	3,089.9 6.6%
Total Receipts	20,463.1	10,716.0	16,416.8	10,554.7	12,478.1	16,863.9	13,744.8	11,386.8	16,767.2	-	-	-	129,394.4	121,250.5	8,143.9 6.7%
DISBURSEMENTS:															
Local Assistance Grants:															
Education	1,263.9	4,574.0	2,811.5	1,910.2	925.1	5,094.1	1,451.3	2,139.2	2,784.8				22,943.1	22,474.8	468.3 2.1%
Environment and Recreation	25.4	33.7	14.9	14.9	14.4	18.9	15.6	12.2	14.2				152.0	153.2	(1.2) -0.8%
General Government	60.3	159.7	734.4	63.0	87.5	132.4	163.7	72.1	384.8				1,857.9	1,856.0	1.9 0.1%
Public Health:															
Medicaid	6,412.0	6,151.7	4,867.9	4,905.7	5,506.5	5,060.5	5,679.8	5,947.1	4,986.3				48,517.5	46,890.5	2,627.0 6.1%
Other Public Health	724.4	882.4	1,162.1	802.3	782.4	954.2	803.0	581.2	1,048.0				7,551.0	7,732.1	(181.1) -2.3%
Public Safety	156.9	178.2	170.6	87.9	99.6	103.7	168.4	217.2	133.1				1,216.6	1,259.8	(43.2) -3.4%
Public Welfare	240.1	215.8	537.8	452.8	374.1	706.5	1,491.0	1,057.6	247.2				5,322.9	5,881.2	(558.3) -9.5%
Support and Regulate Business	34.1	164.8	204.6	67.8	67.7	74.4	60.8	66.7	121.6				862.5	726.7	135.8 18.7%
Transportation	922.1	1,253.7	1,354.6	1,354.6	439.0	839.1	354.1	540.4	1,027.2				4,695.9	4,677.1	18.8 0.4%
Total Local Assistance Grants	9,222.1	12,537.4	10,736.2	8,640.0	8,295.3	12,973.8	10,186.7	10,642.7	10,758.2	-	-	-	94,104.4	91,651.4	2,453.0 2.7%
Departmental Operations:															
Personal Service	1,139.6	1,717.6	1,127.7	1,191.0	1,253.3	1,115.1	1,400.2	1,129.8	1,445.1				11,250.6	10,911.3	348.3 3.2%
Information Service	474.1	576.3	519.5	579.2	593.0	593.0	647.4	514.4	524.7				4,945.5	4,930.7	14.8 0.3%
General State Charges	813.6	2,460.6	464.8	498.0	543.0	572.7	666.9	565.7	539.3				7,114.4	7,000.5	113.9 1.6%
Debt Service, Including Payments on	72.4	121.1	230.3	45.1	74.5	433.2	48.5	74.9	412.2				1,752.5	(240.3)	(2,000.0) -13.7%
Financing Agreements	434.1	529.1	536.5	600.7	750.3	582.6	710.7	705.0	577.0				5,425.0	5,410.5	14.5 0.3%
Capital Projects															
Total Disbursements	12,166.1	18,041.1	13,601.2	11,495.3	11,494.6	16,270.4	13,711.4	13,632.5	13,965.5	-	-	-	124,356.1	121,556.9	2,802.2 2.3%
Excess (Deficiency) of Receipts over Disbursements	8,307.0	(7,325.1)	2,818.6	(940.6)	983.5	593.5	33.4	(2,245.7)	2,810.7	-	-	-	5,035.3	(306.4)	5,341.7 1,745.4%
OTHER FINANCING SOURCES (USES):															
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-				-	-	0.0%
Transfers from Other Funds	6,203.6	2,881.3	4,839.5	3,268.8	2,912.1	4,741.3	1,841.5	2,363.8	4,008.5				32,680.4	28,448.2	4,232.2 14.9%
Transfers to Other Funds	(6,217.9)	(2,698.9)	(4,854.6)	(3,281.7)	(2,930.1)	(4,785.2)	(1,845.1)	(2,367.2)	(4,008.9)				(32,770.4)	(28,485.4)	4,305.0 15.1%
Total Other Financing Sources (Uses)	(14.3)	(17.9)	(15.1)	(12.9)	(18.0)	(23.9)	(3.6)	(3.4)	(1.3)	-	-	-	(110.0)	(19.2)	(90.8) -472.9%
Excess (Deficiency) of Receipts over Disbursements and Other Financing Sources	8,292.7	(7,342.6)	2,803.5	(953.5)	965.5	569.6	29.8	(2,249.1)	2,809.4	-	-	-	4,925.3	(325.6)	5,250.9 1,612.7%
Disbursements and Other Financing Uses	\$ 18,267.7	\$ 10,925.1	\$ 13,728.6	\$ 12,775.1	\$ 13,740.6	\$ 14,310.2	\$ 14,340.0	\$ 12,890.9	\$ 14,900.3	\$ -	\$ -	\$ -	\$ 14,900.3	\$ 12,423.4	\$ 2,476.9 19.9%
Ending Fund Balance															

(*) Governmental Funds includes General, Special Revenue, Debt Service and Capital Projects Funds combined.

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STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2019-2020
(amounts in millions)

	2019	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020	JANUARY	FEBRUARY	MARCH	2019	2018	9 Months Ended December 31	% Increase (\$ Increase)	% Decrease
Cost Recovery Assessments	-	-	-	-	5.1	28.1	13.5	3.5	6.0	62.7	43.1	53.7	9.6	53.7	43.1	9.6	22.3%	22.3%
Insurance Fees	2.0	1.0	15.1	7.0	-	0.8	14.8	-	9.5	53.7	76.5	57.0	26.6	53.7	76.5	(22.8)	-29.8%	-29.8%
Non Bond Related	0.7	4.7	4.3	13.5	-	28.7	4.5	-	2.6	57.0	66.9	57.0	4.4	57.0	66.9	(9.9)	-14.8%	-14.8%
Receipts from Municipalities	26.1	3.2	6.3	2.3	2.3	5.9	4.4	-	5.9	60.4	233.5	60.4	23.1	60.4	233.5	(173.1)	-74.1%	-74.1%
Rentals	38.3	28.3	8.6	29.6	1.0	0.7	22.0	22.0	23.1	65.7	254.8	65.7	23.1	65.7	254.8	(189.1)	-13.5%	-13.5%
Revenues of State Departments:																		
Departmental Recoveries	1.9	2.8	24.7	17.7	4.8	21.9	26.7	27.6	32.0	159.9	110.0	159.9	49.9	159.9	110.0	49.9	45.4%	45.4%
Commissions	0.6	0.6	0.6	0.6	-	0.8	-	-	82.3	87.2	81	-	-	87.2	81	6.2	7.4%	7.4%
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Gifts, Grants and Donations	0.8	1.0	2.8	0.3	0.6	-	0.3	0.3	0.3	6.4	6.4	6.4	0.3	6.4	6.4	0.3	4.7%	4.7%
Indirect Cost Recoveries	6.5	5.2	8.7	8.3	7.2	6.8	7.0	6.2	6.6	61.5	105.7	61.5	7.1	61.5	105.7	(44.2)	-72.0%	-72.0%
Patient/Client Care Reimbursement	239.4	194.9	198.1	240.8	208.3	284.5	208.1	183.5	247.1	1,984.7	1,854.8	1,984.7	128.9	1,984.7	1,854.8	128.9	7.0%	7.0%
Patient/Client Care Reimbursement - Medicaid	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	4.6	0.0	0.0%	0.0%
Restitution and Settlements	7.8	1.2	1.0	5.9	1.0	0.6	0.6	3.6	5.7	27.0	176.9	27.0	5.7	27.0	176.9	(149.9)	-84.7%	-84.7%
Student Loans	7.5	3.1	8.5	7.5	1.7	10.9	2.3	2.2	10.8	54.5	68.4	54.5	13.9	54.5	68.4	(13.9)	-20.3%	-20.3%
All Other	49.0	55.2	45.8	43.3	44.3	77.6	56.3	38.8	40.0	451.3	384.0	451.3	67.3	451.3	384.0	67.3	17.5%	17.5%
Sales	1.0	0.8	1.2	2.7	2.0	30.9	0.8	1.5	1.3	13.5	19.4	13.5	5.9	13.5	19.4	(5.9)	-30.4%	-30.4%
Tuition	55.0	48.1	34.9	45.0	240.0	308.9	137.5	37.5	14.1	919.0	1,040.6	919.0	121.6	919.0	1,040.6	(121.6)	-11.7%	-11.7%
Total Miscellaneous Receipts	2,348.3	1,727.0	1,786.2	1,788.3	1,032.2	2,188.3	1,878.8	1,884.3	1,727.8	16,860.2	17,337.2	16,860.2	468.0	16,860.2	17,337.2	(477.0)	-2.8%	-2.8%
Federal Receipts	-	-	(0.9)	1.7	53.6	0.3	0.1	0.2	-	55.0	34.4	-	-	55.0	34.4	20.6	58.9%	58.9%
Total Receipts	13,788.5	5,511.1	10,211.7	6,912.4	6,126.7	10,456.7	6,204.0	5,736.7	9,611.7	74,559.5	69,528.8	74,559.5	-	74,559.5	69,528.8	5,030.7	7.2%	7.2%
DISBURSEMENTS:																		
Local Assistance Grants:																		
Education and Recreation	917.2	3,980.2	2,539.1	1,611.6	680.8	4,854.3	1,230.2	1,890.8	2,433.9	20,138.1	18,591.1	20,138.1	547.0	20,138.1	18,591.1	547.0	2.9%	2.9%
Environment and Recreation	0.2	0.1	0.6	(0.1)	0.3	0.3	0.7	0.3	0.7	3.8	4.7	3.8	(0.9)	3.8	4.7	(0.9)	-19.1%	-19.1%
General Government	27.1	34.4	576.7	22.4	68.0	71.2	33.2	51.1	232.4	1,106.5	1,032.8	1,106.5	73.7	1,106.5	1,032.8	73.7	7.1%	7.1%
Public Health:																		
Medicaid	3,295.5	2,470.5	1,789.2	1,903.0	1,759.5	1,916.8	2,120.2	2,341.5	1,734.4	19,299.6	17,559.8	19,299.6	1,740.8	19,299.6	17,559.8	1,740.8	9.9%	9.9%
Medicaid - Capital Projects	2.0	1.0	1.0	1.0	2.0	1.0	2.0	1.0	1.0	2.0	2.0	2.0	1.0	2.0	2.0	1.0	50.0%	50.0%
Medicaid - Health	30.7	27.8	28.6	28.6	28.6	28.6	28.6	28.6	28.6	28.6	28.6	28.6	28.6	28.6	28.6	0.0	0.0%	0.0%
Public Safety	88.7	85.7	181.0	128.9	180.7	170.0	424.8	460.9	119.2	1,839.9	1,842.3	1,839.9	(2.4)	1,839.9	1,842.3	(2.4)	-0.1%	-0.1%
Support and Regulate Business	7.1	14.4	21.0	27.8	24.5	11.7	22.4	15.4	19.0	3,282.3	1,550.0	3,282.3	(1.1)	3,282.3	1,550.0	1,732.3	-8.4%	-8.4%
Transportation	68.3	426.6	279.4	274.3	388.4	327.1	278.8	498.9	739.5	48,512.7	48,512.7	48,512.7	0.0	48,512.7	48,512.7	0.0	0.0%	0.0%
Total Local Assistance Grants	4,645.1	7,192.7	5,812.3	4,281.3	3,402.1	7,660.1	4,417.0	5,130.1	5,062.2	48,512.7	48,512.7	48,512.7	-	48,512.7	48,512.7	0.0	0.0%	0.0%
Departmental Operations:																		
Non-Personal Service	1,990.5	1,651.8	1,072.6	1,146.7	1,205.6	1,084.2	1,364.4	1,083.1	1,092.2	10,771.1	10,417.3	10,771.1	353.8	10,771.1	10,417.3	353.8	3.4%	3.4%
General State Charges	404.0	500.0	419.5	437.9	472.7	408.6	514.3	431.6	398.2	3,985.8	3,924.6	3,985.8	61.2	3,985.8	3,924.6	61.2	1.6%	1.6%
Debt Service, Including Payments on	792.2	2,336.5	420.6	463.4	518.5	548.2	639.9	539.5	513.8	6,872.6	6,669.7	6,872.6	202.9	6,872.6	6,669.7	202.9	3.0%	3.0%
Financing Agreements	72.4	121.1	230.3	45.1	74.5	433.2	48.5	74.9	412.2	1,512.2	1,752.5	1,512.2	(240.3)	1,512.2	1,752.5	(240.3)	-13.7%	-13.7%
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-	-	-	-	-	-	-	-	0.0%	0.0%
Total Disbursements	7,004.2	11,902.1	7,955.4	6,350.2	5,673.3	10,112.3	6,984.1	7,559.2	8,113.6	71,654.4	68,317.2	71,654.4	-	71,654.4	68,317.2	2,337.2	3.4%	3.4%
Excess (Deficiency) of Receipts over Disbursements	6,784.3	(6,391.0)	2,256.3	562.2	453.4	344.4	(780.1)	(1,822.5)	1,498.1	2,905.1	211.6	-	-	2,905.1	211.6	2,693.5	1,272.9%	1,272.9%
OTHER FINANCING SOURCES (USES):																		
Transfers from Other Funds (**)	5,706.6	2,417.0	4,298.6	3,019.8	2,505.3	4,021.1	2,373.2	1,893.8	3,514.4	28,739.8	26,173.5	28,739.8	3,566.3	28,739.8	26,173.5	3,566.3	13.6%	13.6%
Transfers to Other Funds (**)	(6,134.0)	(2,500.7)	(4,748.7)	(3,125.6)	(2,729.4)	(4,467.3)	(1,456.6)	(2,236.4)	(3,684.3)	(30,983.0)	(27,089.3)	(30,983.0)	(3,893.7)	(30,983.0)	(27,089.3)	3,893.7	14.3%	14.3%
Total Other Financing Sources (Uses)	(427.4)	(83.7)	(450.1)	(105.8)	(224.1)	(446.2)	(83.4)	(342.6)	(60.9)	(1,243.2)	(925.8)	(1,243.2)	(317.4)	(1,243.2)	(925.8)	(317.4)	-34.3%	-34.3%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	6,356.9	(6,474.7)	1,806.2	456.4	229.3	(101.8)	136.5	(2,175.1)	1,428.2	1,661.9	(714.2)	-	-	1,661.9	(714.2)	2,376.1	332.7%	332.7%
Ending Fund Balance	\$ 18,718.2	\$ 12,243.5	\$ 14,049.7	\$ 14,506.1	\$ 14,735.4	\$ 14,633.6	\$ 14,770.1	\$ 12,595.0	\$ 14,023.2	\$ -	\$ -	\$ -	\$ -	\$ 14,023.2	\$ 12,892.4	\$ 1,130.8	8.8%	8.8%

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal funds) and Debt Service Funds.
(**) Eliminations between State and Federal Special Revenue Funds are not included.

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT F

	2019												9 Months Ended December 31			% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2019	2018	\$ (Decrease)	
Beginning Fund Balance	\$ 7,205.7	\$ 11,988.7	\$ 5,221.6	\$ 6,593.0	\$ 6,614.3	\$ 6,886.4	\$ 9,049.8	\$ 8,815.2	\$ 6,571.4	-	-	-	\$ 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	3,365.8	2,933.7	2,851.1	3,270.6	2,981.8	4,054.3				28,836.8	27,431.9	1,404.9	5.1%
Estimated Payments	6,843.2	112.6	2,396.4	118.7	98.7	2,742.0	170.9	93.5	379.8				12,955.8	10,207.4	2,748.4	26.9%
Returns	2,286.9	75.1	45.1	40.8	45.1	65.5	584.2	42.5	24.6				3,198.8	2,415.5	783.3	32.4%
State/City Offsets	(286.9)	(31.1)	(25.9)	(21.0)	(20.9)	(47.2)	(475.4)	(59.5)	(17.7)				(1,005.6)	(1,007.7)	(12.1)	-1.2%
Other (Assessments/LC)	170.3	105.2	99.2	83.3	95.7	121.6	104.3	91.7	134.6				430.9	389.9	41.0	8.5%
Gross Receipts	12,200.6	3,481.8	5,443.1	3,593.3	3,193.3	5,783.1	3,830.6	3,113.8	4,379.8	-	-	-	43,077.2	38,977.2	4,100.0	12.6%
Transfers:																
Transfers to Revenue Bond Fund	(4,607.7)	(1,242.3)	(2,604.9)	(1,665.8)	(1,454.3)	(2,415.7)	(1,289.2)	(1,234.7)	(2,144.0)				(18,265.0)	(16,265.0)	2,000.0	14.7%
Refunds Issued	(3,025.2)	(897.3)	(233.2)	(262.0)	(243.8)	(871.7)	(1,056.2)	(210.5)	(287.8)				(7,687.5)	(7,447.2)	240.3	3.2%
Total Personal Income Tax	4,607.7	1,242.3	2,605.0	1,665.8	1,454.2	2,415.7	1,289.2	1,234.7	2,144.0	-	-	-	18,265.0	16,265.0	2,000.0	15.0%
Consumption/Use Taxes:																
Sales and Use	539.3	551.4	743.5	579.8	581.8	761.9	579.0	594.5	742.1				5,381.9	5,381.9	281.4	5.2%
Auto Rental	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Cigarette/Tobacco Products	28.0	25.8	26.5	31.4	28.3	28.3	28.3	26.3	27.3				248.2	259.4	(11.2)	-4.3%
Alcoholic Beverage	20.0	20.9	26.0	25.6	19.5	23.5	19.1	24.5	20.4				195.5	198.7	0.8	0.4%
Highway Use	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Total Consumption/Use Taxes	585.3	598.1	796.0	636.8	629.6	813.7	626.4	635.3	789.8	-	-	-	6,111.0	5,840.0	271.0	4.6%
Business Taxes:																
Corporation Franchise	274.4	(75.0)	726.6	109.4	(21.4)	791.3	71.5	69.7	855.7				2,891.1	2,395.2	495.9	16.8%
Real Estate Transfer	127.4	16.8	16.3	0.2	0.2	105.5	16.8	97.1	97.1				300.0	300.0	-	0.0%
Insurance	127.4	(3.6)	354.7	50.9	2.3	387.8	2.7	25.6	395.1				1,342.9	1,001.5	341.4	34.1%
Bank	125.4	(104.7)	(21.5)	(0.3)	(0.2)	(1.0)	(2.9)	(36.6)	13.9				(27.9)	58.6	(86.5)	-147.6%
Petroleum Business	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Total Business Taxes	543.2	(181.5)	1,143.1	160.2	(20.1)	1,283.6	73.3	56.8	1,351.8	-	-	-	4,410.4	3,755.3	655.0	17.4%
Other Taxes:																
Real Property Gains	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Capital Gains	79.7	57.3	62.2	124.7	41.8	53.9	163.2	87.2	143.6				813.5	841.3	(27.8)	-3.3%
Paid-Mulct	0.9	1.1	1.6	1.2	2.2	2.1	1.0	1.1	1.0				12.3	12.3	(0.4)	0.0%
Real Estate Transfer	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Racing and Exhibitions	0.2	0.1	0.3	0.2	0.1	-	0.4	0.6	0.1				2.0	2.1	(0.1)	-4.8%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Employer Compensation Expense Tax	0.1	-	-	-	-	-	-	-	-				-	-	-	0.0%
Total Other Taxes	80.9	58.5	64.1	126.2	44.2	55.9	164.7	88.0	144.9	-	-	-	828.4	856.0	(27.6)	-3.2%
Total Taxes	5,817.1	1,717.4	4,608.2	2,589.0	2,107.9	4,569.9	2,153.4	2,012.8	4,392.0	-	-	-	29,986.7	26,641.9	3,324.8	12.5%
Miscellaneous Receipts:																
Abandoned Property	0.9	0.1	-	0.3	4.8	30.2	35.0	215.0	-				289.3	307.0	(20.7)	-6.7%
Abandoned Property	0.2	0.3	8.2	0.3	0.1	38.1	0.3	0.3	23.2				72.0	-	(72.0)	-100.0%
Assessments:																
Business:	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Medical Care	-	4.2	4.3	3.8	2.6	1.9	2.5	3.4	7.0				29.7	34.7	(5.0)	-14.4%
Public Utilities	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Other	-	0.1	0.1	-	0.1	-	-	0.1	-				0.4	0.6	(0.2)	-33.3%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	5.7	6.0	5.4	6.0	6.9	7.0	7.4	7.2	5.5				57.1	56.6	0.5	0.8%
Business/Professional	11.1	18.1	28.8	15.0	3.4	35.1	30.3	16.2	30.8				189.8	182.1	7.7	4.2%
Civil	25.0	13.4	17.8	18.4	15.1	28.7	15.7	17.1	28.1				177.3	173.1	4.2	2.4%
Criminal	0.2	0.1	0.1	0.2	0.2	0.1	0.1	0.1	0.2				1.3	-	-	0.0%
Motor Vehicle	33.2	34.9	11.6	35.5	24.4	24.2	33.8	10.1	40.8				213.6	213.6	-	0.0%
Recreational/Consumer	1.2	1.5	1.9	1.6	1.4	2.1	1.3	1.5	1.8				14.3	13.4	0.9	6.7%
Fines, Penalties and Forfeitures	618.1	154.6	26.5	43.9	19.7	28.7	72.0	24.2	24.6				1,012.3	1,152.6	(140.3)	-12.2%
Receipts from Public Authorities:	16.8	19.6	13.1	13.1	13.9	12.8	14.0	12.6	11.0				135.8	88.9	46.9	52.6%
Cost Recovery Assessments	-	-	-	-	5.1	5.0	7.9	-	2.1				20.1	20.1	-	0.0%
Insurance Fees	-	-	-	7.0	-	0.8	14.8	3.5	9.5				46.5	69.3	(22.8)	-32.9%
Non Bond Related	0.1	-	-	-	-	25.0	0.1	-	-				25.2	23.0	2.2	9.6%
Receipts from Municipalities	16.7	-	-	-	-	-	0.1	-	-				16.8	150.1	(133.3)	-88.8%
Rents	0.3	0.1	0.2	0.3	0.1	0.2	0.2	(0.4)	0.7				1.7	5.0	(3.3)	-66.0%
Revenues of State Departments:																
Alcoholic Beverage Recoveries	0.1	0.2	20.1	0.1	0.3	18.2	0.5	0.3	18.1				57.1	54.4	2.7	5.0%
Commissions	-	-	-	-	-	-	-	-	-				0.4	-	-	100.0%
Grants and Donations	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Indirect Cost Recoveries	5.6	5.2	8.7	8.3	7.2	5.8	7.0	6.2	6.6				60.6	71.4	(10.8)	-15.1%
Patient/Client Care Reimbursement	(0.6)	1.7	(0.6)	(0.2)	2.5	-	-	2.7	(0.9)				(10.3)	21.0	(31.3)	-67.1%
Rebates	-	-	-	-	-	-	-	-	-				4.5	1.4	3.1	221.4%

EXHIBIT F

STATE OF NEW YORK
GENERAL FUND
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	9 Months Ended December 31			% Increase/ Decrease
													2019	2018	\$ Increase/ (Decrease)	
Restitution and Settlements	-	-	0.2	-	-	0.1	0.1	0.2	5.3	-	-	-	5.9	110.8	(104.9)	-84.7%
Student Loans	8.1	18.3	(11.6)	4.1	0.6	-	-	-	-	-	-	-	63.5	30.7	32.8	0.0%
All Other	-	-	(2.0)	-	-	10.1	19.5	7.5	6.9	-	-	-	30.7	30.7	-	0.0%
Sales	741.0	279.3	158.8	87.4	188.1	278.7	245.8	330.5	277.2	-	-	-	2,516.8	2,893.6	(376.8)	-13.0%
Total Miscellaneous Receipts	-	-	-	-	-	-	-	-	-	-	-	-	0.5	0.1	0.4	400.0%
Federal Receipts	6,588.1	1,996.7	4,767.0	2,676.4	2,276.1	4,847.8	2,399.3	2,343.4	4,619.2	-	-	-	32,884.0	29,445.9	3,038.1	10.3%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	917.0	3,979.7	2,189.8	1,611.4	679.3	2,342.9	1,082.3	1,741.4	2,250.1	-	-	-	16,793.9	16,682.5	101.4	0.6%
Environment and Recreation	0.1	0.1	-	-	0.2	0.8	0.1	0.1	0.2	-	-	-	2.3	2.3	-	0.0%
General Government	1.7	15.7	574.9	2.2	45.5	48.3	19.1	30.9	205.3	-	-	-	943.6	931.3	12.3	1.3%
Public Health:																
Medicaid	3,296.6	1,988.6	1,393.9	1,320.2	1,073.3	1,308.3	1,650.5	1,933.4	1,300.1	-	-	-	14,894.9	13,374.6	1,480.3	11.1%
Other Public Health	190.2	120.3	336.0	217.7	111.8	213.0	220.9	101.5	282.6	-	-	-	1,754.0	1,855.4	(101.4)	-5.9%
Public Safety	13.4	12.4	0.5	1.5	1.5	1.5	1.5	1.5	1.5	-	-	-	6.0	6.0	-	0.0%
Public Welfare	87.9	84.9	189.5	128.5	170.8	170.7	434.2	459.7	119.8	-	-	-	1,835.8	1,832.0	3.8	-0.1%
Support and Regulate Business	6.0	7.7	5.7	22.0	7.3	20.9	20.9	7.1	13.0	-	-	-	110.8	105.6	5.2	4.9%
Transportation	-	23.9	14.1	0.2	23.9	(0.1)	-	24.1	11.4	-	-	-	97.5	291.0	(193.5)	-66.5%
Total Local Assistance Grants	4,470.0	5,834.3	4,707.5	3,320.6	2,147.8	4,116.0	3,431.0	4,306.4	4,204.1	-	-	-	36,539.7	35,230.1	1,309.6	3.7%
Departmental Operations:																
Personal Service	688.8	1,071.8	679.0	687.3	853.2	676.0	805.2	694.6	684.2	-	-	-	6,840.1	6,587.9	242.2	3.7%
Non-Personal Service	159.0	248.2	216.9	200.9	211.3	189.9	255.5	147.6	178.9	-	-	-	1,811.1	1,888.6	(47.5)	-2.6%
General State Charges	730.2	2,249.3	358.9	384.6	422.8	471.0	573.4	408.8	468.1	-	-	-	5,161.7	5,062.5	99.2	1.9%
Total Disbursements	6,046.0	9,904.6	5,970.3	4,603.6	3,634.9	5,457.9	5,066.1	5,550.4	5,475.8	-	-	-	51,399.6	49,548.9	1,760.7	3.6%
Excess (Deficiency) of Receipts over Disbursements	512.1	(7,907.9)	(1,203.3)	(1,927.2)	(1,358.8)	(610.1)	(2,666.8)	(3,207.0)	(856.6)	-	-	-	(18,825.6)	(20,103.0)	1,277.4	6.4%
OTHER FINANCING SOURCES (USES):																
Transfers from Revenue Bond Tax Fund	4,607.3	1,126.2	2,066.0	1,658.3	1,476.3	2,682.8	1,288.8	960.3	2,147.3	-	-	-	18,553.3	15,893.5	2,659.8	16.7%
Transfers from LGAC / STREITF	452.0	302.7	835.6	501.5	490.2	747.8	483.9	494.1	654.2	-	-	-	4,972.0	4,641.3	330.7	7.1%
Transfers from CWICA Fund	70.3	185.4	185.4	185.4	185.4	185.4	185.4	185.4	185.4	-	-	-	896.6	896.6	-	0.0%
Transfers from Capital Projects	40.0	10.0	10.0	10.0	10.0	10.0	10.0	10.0	10.0	-	-	-	1,034.2	1,034.2	-	0.0%
Transfers to State Capital Projects	(248.8)	(406.3)	(393.8)	(201.8)	(402.8)	(586.6)	812.1	(394.2)	(286.0)	-	-	-	(2,108.5)	(1,617.7)	490.8	30.3%
Transfers to All Other Capital Projects	(250.0)	-	(216.5)	(50.0)	(70.0)	(116.5)	(100.0)	(68.0)	(186.5)	-	-	-	(1,087.5)	(1,049.5)	38.0	3.6%
Transfers to General Debt Service	(134.7)	(10.7)	(132.1)	(132.1)	16.6	28.2	(129.9)	20.2	(5.2)	-	-	-	(340.6)	(509.8)	(169.2)	-33.2%
Transfers to All Other State Funds	(284.5)	(447.3)	(467.6)	(190.1)	(71.9)	(132.9)	(65.5)	(169.4)	(63.1)	-	-	-	(1,942.4)	(1,690.1)	252.3	14.9%
Total Other Financing Sources (Uses)	4,250.9	760.8	2,574.7	1,948.5	1,630.9	2,773.5	2,432.2	963.2	2,464.9	-	-	-	19,799.6	17,308.3	2,491.3	14.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	4,763.0	(6,147.1)	1,371.4	21.3	272.1	2,463.4	(234.6)	(2,243.8)	1,608.3	-	-	-	974.0	(2,794.7)	3,768.7	134.9%
Ending Fund Balance	\$ 11,988.7	\$ 5,221.6	\$ 6,593.0	\$ 6,614.3	\$ 6,886.4	\$ 9,048.8	\$ 8,815.2	\$ 6,571.4	\$ 8,179.7	\$ -	\$ -	\$ -	\$ 8,179.7	\$ 6,690.3	\$ 1,589.4	23.0%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	9 Months Ended December 31												% Increase/ Decrease
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ 3,842.4	\$ 7,002.4	\$ 6,288.9	\$ 7,986.6	\$ 6,880.6	\$ 7,461.3	\$ 6,241.5	\$ 5,886.6	\$ 5,599.5				
Receipts:													
Personal Income Tax	-	-	-	-	-	-	0.2	3.0	38.5				
Consumption Use Taxes:													
Sales and Use	124.1	76.4	102.8	79.1	80.3	104.8	81.0	82.1	102.9				
Auto Rental	-	-	-	-	-	7.3	-	-	5.6				
Cigarette/Tobacco Products	63.2	59.4	57.3	75.4	63.9	58.4	65.5	57.8	68.9				
Medicines/Pharmaceuticals	9.5	9.4	9.5	8.8	10.1	8.5	10.4	8.5	8.0				
Alcoholic Beverage	-	0.1	0.1	-	-	-	-	0.1	-				
Highway Use	-	-	-	-	-	-	-	-	-				
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-				
Business:													
Corporation Franchise	102.8	6.0	175.4	36.9	21.4	150.0	27.3	39.2	174.9				
Corporation and Utilities	23.4	(0.5)	23.5	0.2	(0.9)	32.4	0.8	1.2	29.6				
Insurance	14.4	8.6	48.5	5.9	(3.9)	48.0	(1.3)	(0.3)	183.7				
Bank	14.9	(16.4)	16.4	41.3	47.1	13.9	47.7	39.1	39.1				
Petroleum Business	205.4	41.6	283.2	84.3	63.6	274.9	73.8	75.7	386.0				
Total Business Taxes	401.8	187.3	463.4	248.2	218.3	455.1	230.9	227.8	531.9				
Total Taxes	401.8	187.3	463.4	248.2	218.3	455.1	230.9	227.8	531.9				
Miscellaneous Receipts:													
Abandoned Property:													
Assessments:	1.1	1.1	0.9	0.9	0.8	0.8	1.2	0.9	1.1				
Business:													
Businesses:	70.9	79.7	84.4	52.0	54.6	69.5	70.4	35.3	79.7				
Public Utilities	629.7	510.7	504.7	589.3	515.9	542.2	592.4	489.1	522.4				
Other	5.1	0.1	0.7	-	0.1	-	(6.0)	0.8	0.1				
Fees, Licenses and Permits:													
Auto Fees	48.6	38.9	94.0	47.5	32.9	95.6	49.4	53.6	77.1				
Business/Professional	3.6	4.6	5.1	4.2	2.7	7.8	4.8	5.1	5.3				
Civil	0.3	0.4	1.1	-	0.4	1.2	0.4	0.3	0.8				
Criminal	26.0	26.6	28.7	23.5	28.3	10.0	25.3	25.8	22.9				
Motor Vehicle	54.0	45.6	105.4	65.9	94.0	128.2	56.8	71.1	60.7				
Recreational/Consumer	8.3	88.9	107.2	3.2	10.5	8.2	14.3	8.5	16.5				
Fine Penalties and Forfeitures	31.4	18.8	19.7	37.7	15.3	20.0	36.8	13.3	17.6				
Gaming	218.4	265.0	203.3	225.7	170.2	176.3	220.1	177.8	180.0				
Lottery	76.6	94.5	93.2	89.5	78.5	77.5	94.6	72.7	70.6				
Video Lottery	23.9	21.0	23.9	21.7	24.0	21.8	21.9	23.5	16.1				
Interest	-	-	-	-	-	-	-	-	-				
Receipts from Public Authorities:													
Band Proceeds	-	-	-	-	-	-	-	-	-				
Cost Recovery Assessments	-	-	-	-	-	23.1	5.6	-	3.9				
Insurance Fees	2.0	1.0	4.2	13.5	-	1.7	4.4	-	3.2				
Gifts, Grants and Donations	9.4	2.7	8.3	3.6	2.3	5.9	3.9	1.8	2.6				
Receipts from Municipalities	39.0	28.2	8.4	29.3	0.9	0.5	65.5	24.5	22.4				
Rentals	-	-	-	-	-	-	-	-	-				
Revenues of State Departments:													
Administrative Recoveries	1.4	1.8	4.6	17.6	4.3	3.7	26.2	27.3	15.9				
Commissions - Asset Conversion	0.5	0.4	0.3	0.4	0.4	0.6	0.7	0.7	0.3				
Gifts, Grants and Donations	0.8	1.0	2.8	0.3	0.6	-	0.3	0.3	0.3				
Indirect Cost Recoveries	0.9	-	-	-	-	-	-	-	-				
Patent/Cost Recoveries	204.3	156.2	154.9	222.3	106.2	243.2	193.9	155.9	197.7				
Retention and Settlements	7.5	1.2	1.2	2.3	5.9	0.4	0.4	3.4	0.4				
Student Loans	7.5	3.1	9.5	7.5	1.7	10.9	2.3	2.2	10.8				
All Other	41.2	36.9	57.8	39.2	43.8	67.5	36.8	33.5	35.9				
Sales	8.9	8.9	1.5	2.5	1.7	2.5	1.8	1.5	1.3				
Tuition	45.2	48.1	34.1	40.8	20.1	30.5	10.8	11.3	91.6				
Total Miscellaneous Receipts	1,371.9	1,462.6	1,521.3	1,545.8	1,444.1	1,853.7	1,614.4	1,523.8	1,462.6				
Federal Receipts	6,203.7	4,816.3	5,671.6	3,118.1	5,973.4	5,484.0	5,367.9	5,209.9	6,447.1				
Total Receipts	8,177.4	6,465.2	7,656.3	4,912.1	7,535.8	7,825.8	7,713.2	6,890.5	8,441.6				
Disbursements:													
Operating Expenses	8,177.4	6,465.2	7,656.3	4,912.1	7,535.8	7,825.8	7,713.2	6,890.5	8,441.6				
Capital Outlay	-	-	-	-	-	-	-	-	-				
Debt Service	-	-	-	-	-	-	-	-	-				
Other	-	-	-	-	-	-	-	-	-				
Total Disbursements	8,177.4	6,465.2	7,656.3	4,912.1	7,535.8	7,825.8	7,713.2	6,890.5	8,441.6				
Change in Fund Balance	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0				
Ending Fund Balance	\$ 3,842.4	\$ 7,002.4	\$ 6,288.9	\$ 7,986.6	\$ 6,880.6	\$ 7,461.3	\$ 6,241.5	\$ 5,886.6	\$ 5,599.5				
% Increase/Decrease	-	-	-	-	-	-	-	-	-				

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 (*)	2019	2018	\$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	337.7	591.1	611.4	288.1	233.8	2,698.8	354.6	378.6	509.8					6,003.9	5,657.1	346.8	6.1%
Environment and Recreation	0.2	0.1	0.5	(0.1)	0.2	0.5	0.1	0.2	0.7					2.4	4.3	(1.9)	-44.2%
General Government	27.4	22.2	10.5	21.4	24.2	25.0	21.4	22.6	38.9					208.4	156.1	52.3	33.5%
Public Health:																	
Medicaid	3,115.4	4,563.1	3,464.0	3,585.5	4,433.2	3,752.2	4,029.3	4,013.7	3,686.2					34,852.6	33,315.9	1,536.7	4.0%
Other Public Health	543.4	520.5	805.5	588.6	652.9	721.0	509.6	455.4	721.8					5,438.7	5,610.5	(171.8)	-3.1%
Public Safety	136.3	164.9	59.8	69.3	88.4	66.9	166.0	192.2	105.5					1,040.3	1,090.0	(49.7)	-3.7%
Public Welfare	152.3	120.0	271.2	318.4	185.2	483.0	1,063.4	514.8	114.3					3,222.6	3,784.5	(561.9)	-14.8%
Support and Regulate Business	1.4	7.9	1.5	6.6	5.7	5.2	1.9	15.8	6.0					3,226.2	3,333.8	(107.6)	-3.2%
Transportation	77.3	408.5	268.7	278.1	595.0	330.5	284.0	479.5	734.6					58,857.1	52,985.9	5,871.2	11.1%
Total Local Assistance Grants	4,386.4	6,395.3	5,453.1	5,073.9	5,993.6	8,093.1	6,415.1	6,072.8	5,931.8								
Departmental Operations:																	
Personal Service	451.0	645.8	448.7	493.7	400.1	439.1	635.0	445.2	460.9					4,419.5	4,313.4	106.1	2.5%
Non-Personal Service	314.4	324.8	294.4	310.0	360.1	402.6	390.3	364.6	344.4					3,105.6	2,944.9	160.7	5.5%
General State Charges	85.4	111.3	88.7	114.2	120.4	95.7	92.5	155.9	130.6					985.7	1,138.2	(142.5)	-12.5%
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-					-	-	-	0.0%
Total Disbursements	5,237.2	7,480.2	6,326.0	5,993.8	6,871.1	9,000.5	7,532.9	7,038.5	6,867.7					62,377.9	61,395.4	982.5	1.6%
Excess (Deficiency) of Receipts over Disbursements	2,940.2	(1,014.9)	1,339.3	(1,081.7)	654.7	(1,204.7)	(319.7)	(348.0)	1,573.9					2,541.0	1,022.8	1,518.2	148.4%
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	306.3	585.3	566.5	215.4	160.2	168.6	119.5	185.7	111.9				(428.3)	1,963.1	1,740.4	252.7	14.5%
Transfers to Other Funds	(88.5)	(304.8)	(179.1)	(239.7)	(344.2)	(183.7)	(174.7)	(104.8)	(422.5)				428.3	(1,513.7)	(1,047.9)	44.5%	
Total Other Financing Sources (Uses)	218.8	280.5	387.4	(24.3)	(84.0)	(15.1)	(55.2)	80.9	(310.6)				-	479.4	692.5	(213.1)	-30.8%
Excess (Deficiency) of Receipts and Disbursements over Other Financing Sources over Disbursements and Other Financing Uses	3,160.0	(735.9)	1,717.7	(1,106.0)	569.7	(1,219.8)	(374.9)	(267.1)	1,263.3				-	3,020.4	1,715.3	1,305.1	76.1%
Ending Fund Balance	\$ 7,002.4	\$ 6,268.9	\$ 7,986.6	\$ 6,880.6	\$ 7,461.3	\$ 6,241.5	\$ 5,866.6	\$ 5,599.5	\$ 6,862.8	\$ -	\$ -	\$ -	\$ -	\$ 7,982.8	\$ 6,017.4	\$ 845.4	14.0%

(1) Intra-Fund transfer eliminations represent transfers between Special Revenue-State and Federal Funds.

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT G

	9 Months Ended December 31												% Increase/ Decrease					
	2019	2018																
Beginning Fund Balance	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2019	2018	\$	\$	\$	\$
RECEIPTS:																		
Taxes:																		
Personal Income Tax	-	-	-	-	-	-	-	3.0	38.5	-	-	-	41.7	74.5	(32.8)	-	44.0%	
Consumption/Use Taxes:																		
Sales and Use	124.1	76.4	102.8	79.1	80.3	104.8	81.0	82.1	102.9	-	-	-	833.5	771.3	62.2	81%		
Auto Rental	-	-	-	-	-	-	-	-	-	-	-	-	12.9	62.2	(49.3)	-		
Cigarette/Tobacco Products	63.2	59.4	57.3	75.4	63.9	59.4	65.5	57.8	68.9	-	-	-	570.8	616.0	(45.2)	-7.3%		
Medical Marijuana	0.5	0.4	0.5	0.5	0.4	0.5	0.4	0.5	0.6	-	-	-	4.3	2.7	1.6	59.3%		
Motor Fuel	9.6	9.4	9.5	8.8	10.1	9.1	10.0	8.6	8.5	-	-	-	83.6	84.6	(1.0)	-1.4%		
Alcoholic Beverage	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Highway Use	-	0.1	0.1	-	-	0.1	-	0.1	-	-	-	-	0.4	(1.8)	2.2	122.2%		
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-	-	-	-	-	(39.1)	(47.2)	(8.1)	-100.0%		
Total Consumption/Use Taxes	197.4	145.7	170.2	163.8	154.7	181.2	156.9	148.1	188.5	-	-	-	1,505.5	1,532.7	(27.2)	-3.0%		
Business Taxes																		
Corporation Franchise	102.6	6.0	175.4	36.9	21.4	150.0	27.3	39.2	174.9	-	-	-	733.7	623.5	110.2	17.7%		
Corporation and Utilities	23.4	(0.5)	23.5	0.2	(0.9)	(0.9)	0.8	1.2	105.4	-	-	-	109.7	4.3	105.4	41.1%		
Insurance	18.4	4.5	18.5	18.4	18.4	18.4	18.4	18.4	18.4	-	-	-	18.4	18.4	(0.0)	0.0%		
Bank	19.9	(16.4)	0.1	0.1	(0.1)	(0.1)	(0.2)	(5.2)	(0.1)	-	-	-	(2.0)	2.7	4.7	174.1%		
Petroleum Business	44.1	43.9	45.4	41.3	47.0	43.9	47.2	40.8	39.8	-	-	-	393.4	389.9	3.5	0.9%		
Total Business Taxes	204.4	41.6	283.2	84.4	63.8	274.9	73.8	75.7	306.9	-	-	-	1,418.5	1,251.2	167.3	13.4%		
Total Taxes	401.8	187.3	453.4	248.2	218.3	456.1	230.9	223.8	531.9	-	-	-	2,965.7	2,878.4	87.3	3.0%		
Miscellaneous Receipts:																		
Abandoned Property	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Assessments:	1.1	1.1	0.9	0.9	0.8	0.8	1.2	0.9	1.1	-	-	-	8.8	8.1	0.7	8.6%		
Business:	68.4	33.6	84.2	49.2	43.9	68.3	68.1	28.8	72.6	-	-	-	525.1	517.2	7.9	1.5%		
Medical Care	625.7	519.7	504.7	567.5	515.9	542.2	528.7	468.1	522.4	-	-	-	4,795.9	4,553.2	242.7	5.3%		
Public Utilities	5.1	0.7	-	-	0.1	-	(6.0)	(1.7)	0.8	-	-	-	0.3	38.7	38.4	0.3%		
Other	-	0.1	-	-	0.1	-	-	(0.0)	0.1	-	-	-	-	(8.0)	8.1	103.8%		
Fees, Licenses and Permits:																		
Audit Fees	-	0.8	1.5	-	0.1	0.2	-	-	-	-	-	-	2.6	2.1	0.5	23.8%		
Business/Professional	48.6	36.9	98.0	47.5	32.8	95.6	49.4	53.6	77.1	-	-	-	539.5	519.5	20.0	3.8%		
Civil	3.6	4.6	5.1	4.2	2.7	7.8	4.8	5.1	5.3	-	-	-	43.2	43.1	0.1	0.2%		
Criminal	0.3	0.4	1.1	-	0.4	1.2	0.4	0.3	0.8	-	-	-	4.9	7.1	(2.2)	-31.0%		
Motor Vehicle	28.0	26.6	28.7	23.5	28.3	10.0	25.3	25.8	22.9	-	-	-	217.1	381.5	(164.4)	-43.1%		
Recreational/Consumer	54.0	45.6	68.4	65.9	94.0	129.2	65.4	71.1	80.7	-	-	-	642.5	580.8	61.7	14.6%		
Fines, Penalties and Forfeitures	7.6	67.2	106.7	4.8	9.8	7.8	13.9	8.1	18.1	-	-	-	244.0	134.2	109.8	81.8%		
Gaming:																		
Casino	31.4	18.8	19.7	37.7	15.3	20.0	36.8	13.3	17.6	-	-	-	210.6	180.4	30.2	16.8%		
Lottery	218.4	282.0	202.3	225.7	170.2	176.3	220.1	177.8	180.0	-	-	-	1,832.9	1,910.3	(77.5)	-4.1%		
Video Lottery	76.6	88.5	63.2	89.5	78.5	77.5	94.6	72.7	70.6	-	-	-	709.7	699.6	10.1	1.4%		
Interest Earnings	19.4	18.2	21.5	19.7	20.9	19.2	19.8	17.6	14.0	-	-	-	170.3	124.3	46.0	37.0%		
Receipts from Public Authorities:																		
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%		
Cost Recovery Assessments	-	-	-	-	-	23.1	5.6	-	3.9	-	-	-	32.6	23.0	9.6	41.7%		
Insurance Fees	2.0	1.0	4.2	-	-	-	-	-	-	-	-	-	7.2	43.2	(36.0)	-80.0%		
Non Bond Related	0.6	4.7	4.3	13.5	-	1.7	4.4	-	2.6	-	-	-	3.1	12.1	(9.0)	-73.7%		
Receipts from Municipalities	9.4	2.7	6.3	3.6	2.3	5.9	3.9	1.8	5.9	-	-	-	41.8	80.6	(38.8)	-46.1%		
Rentals	39.0	28.2	8.4	29.3	0.9	0.5	65.5	24.5	22.4	-	-	-	218.7	249.8	(31.1)	-12.4%		
Revenues of State Departments:																		
Administrative Recoveries	1.4	1.8	4.6	17.6	4.3	3.7	26.2	27.3	15.9	-	-	-	102.8	55.6	47.2	84.9%		
Commissions	0.5	0.4	0.6	0.4	0.4	0.8	0.7	0.7	82.3	-	-	-	86.8	8.1	78.7	971.6%		
Commissions - Asset Conversion	-	-	-	-	-	-	-	-	-	-	-	-	-	1,000.0	(1,000.0)	-100.0%		
Gifts, Grants and Donations	0.8	-	-	-	-	-	-	-	-	-	-	-	6.4	105.5	(99.1)	-93.9%		
Indirect Cost Recoveries	0.9	-	-	-	-	-	-	-	-	-	-	-	0.9	0.1	0.8	80.0%		
Indirect Client Care Reimbursement	204.3	156.2	154.9	223.3	108.2	243.2	193.8	155.9	187.7	-	-	-	1,624.9	1,618.9	6.0	0.4%		
Rentals	5.2	1.0	6.7	13.6	1.1	3.8	9.6	3.8	4.1	-	-	-	17.0	7.0	10.0	16.7%		
Restitution and Settlements	7.6	1.2	0.8	1.0	5.9	0.4	0.4	3.4	0.4	-	-	-	21.1	66.1	(45.0)	-68.1%		
Student Loans	7.5	3.1	8.5	7.5	1.7	10.9	2.3	2.2	10.8	-	-	-	38.7	351.1	(312.4)	-88.1%		
All Other	40.9	36.9	57.4	39.2	43.7	67.5	36.7	32.3	33.1	-	-	-	387.7	88.4	(299.3)	-76.3%		
Sales	0.9	0.8	1.5	2.5	1.7	2.5	1.5	1.5	1.3	-	-	-	13.5	19.1	(5.6)	-28.3%		
Tuition	52.0	48.1	34.9	45.0	24.0	30.9	13.5	37.5	14.1	-	-	-	919.0	1,040.6	(121.6)	-11.7%		
Total Miscellaneous Receipts	1,357.2	1,411.2	1,509.6	1,531.9	1,421.4	1,824.2	1,801.4	1,233.7	1,448.9	-	-	-	13,589.5	14,450.1	(860.6)	-6.0%		
Federal Receipts	-	-	(0.9)	0.1	18.3	0.1	-	0.1	-	-	-	-	17.7	20.1	(2.4)	-12.0%		
Total Receipts	1,950.0	1,588.5	1,972.1	1,780.2	1,658.0	2,330.4	1,832.3	1,461.6	1,980.8	-	-	-	16,572.2	17,326.1	(753.9)	-4.3%		

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	2019	2018	9 Months Ended December 31 Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	0.2	0.5	349.3	0.2	1.5	2,511.4	147.9	149.4	183.8				3,344.2	2,898.6	445.6	15.4%
Environment and Recreation	0.1	-	0.5	(0.1)	0.1	0.2	-	0.2	0.5				1.5	2.4	(0.9)	-37.5%
General Government	25.4	18.7	1.8	20.2	12.5	22.9	14.1	20.2	27.1				162.9	101.5	61.4	60.5%
Public Health:																
Medicaid	(1.1)	881.9	385.3	582.9	688.2	607.5	468.7	408.1	434.3				4,434.7	4,184.2	250.5	6.0%
Other Public Health	60.1	32.7	104.7	43.5	165.1	54.2	56.3	41.6	100.3				658.5	576.5	82.0	-2.7%
Public Safety	20.1	14.4	16.1	20.1	20.1	17.0	16.3	12.3	12.4				138.2	114.6	23.6	-2.6%
Police	1.0	16.1	16.1	8.5	8.5	17.0	16.3	12.3	12.4				138.2	114.6	23.6	-2.6%
Public Works	1.1	6.7	1.3	5.8	3.4	4.4	1.5	13.9	6.0				44.1	48.4	(4.3)	-8.9%
Support and Regulate Business	1.1	6.7	1.3	5.8	3.4	4.4	1.5	13.9	6.0				44.1	48.4	(4.3)	-8.9%
Transportation	68.3	402.7	295.3	274.1	364.5	327.2	278.8	474.8	728.1				3,290.9	3,290.9	-	-
Total Local Assistance Grants	175.1	1,338.1	1,104.3	938.5	1,254.3	3,544.1	883.0	1,121.7	1,492.1	-	-	-	11,870.8	11,323.0	547.8	4.8%
Departmental Operations:																
Personal Service	401.7	580.0	393.6	448.4	352.4	388.2	559.2	398.5	408.0				3,891.0	3,819.4	71.6	1.9%
Non-Personal Service	244.3	248.5	198.0	228.4	254.8	216.2	257.2	281.8	218.9				2,147.9	2,038.8	109.1	5.4%
General State Charges	64.0	87.2	55.7	78.6	95.9	71.2	66.5	129.7	105.1				753.9	807.4	(53.5)	-6.6%
Capital Projects	-	-	0.1	-	(0.1)	-	-	-	-				-	-	-	0.0%
Total Disbursements	885.1	2,274.1	1,752.2	1,692.9	1,957.1	4,219.7	1,885.9	1,931.7	2,224.1	-	-	-	18,805.8	17,988.6	817.2	4.5%
Excess (Deficiency) of Receipts over Disbursements	1,073.9	(675.6)	219.9	87.3	(298.1)	(1,889.3)	(96.6)	(470.1)	(243.3)	-	-	-	(2,232.9)	(662.5)	(1,570.4)	-237.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	308.3	585.3	586.5	215.4	180.2	188.6	119.5	185.7	111.9				2,421.4	2,184.9	236.5	10.3%
Transfers to Other Funds	(38.3)	(8.3)	(29.5)	(120.8)	(32.5)	(107.2)	(8.2)	(4.8)	(71.5)				(420.9)	(129.5)	(291.4)	-235.0%
Total Other Financing Sources (Uses)	270.0	577.0	557.0	94.6	147.7	81.4	111.3	180.9	40.4	-	-	-	2,000.5	2,055.4	(54.9)	-2.7%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,343.9	(96.6)	757.1	181.9	(172.4)	(1,827.9)	73.7	(289.2)	(202.9)	-	-	-	(232.4)	1,402.9	(1,635.3)	-116.8%
Ending Fund Balance	\$ 6,434.7	\$ 6,338.1	\$ 7,095.2	\$ 7,277.1	\$ 7,104.7	\$ 5,276.8	\$ 5,360.5	\$ 5,061.3	\$ 4,858.4	\$ -	\$ -	\$ -	\$ 4,858.4	\$ 5,411.4	\$ (553.0)	-10.2%

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	2019			2020								9 Months Ended December 31		% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018		\$ Increase/ (Decrease)		
										2019	2018			
Beginning Fund Balance	\$ (1,248.4)	\$ 567.7	\$ (69.2)	\$ 891.4	\$ (396.5)	\$ 356.6	\$ 964.7	\$ 516.1	\$ 538.2	\$ (1,248.4)	\$ 293.6	\$ (1,542.0)	-525.2%	
RECEIPTS:														
Miscellaneous Receipts:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Abandoned Property:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Assessments:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Business:	4.5	39.1	0.2	2.8	10.7	0.2	2.3	6.5	0.1	66.4	63.1	3.3	5.2%	
Medical Care	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Public Utilities	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Other	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Fees, Licenses and Permits:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
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	0.4	0.7	0.4	0.4	0.4	0.4	4.7	5.8	(1.1)	-19.0%	
Interest Earnings	1.5	2.8	2.3	2.0	3.1	2.6	2.1	2.9	2.1	21.4	13.1	8.3	63.4%	
Receipts from Public Authorities:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
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:	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Commissions	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Patient/Client Care Reimbursement	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Refunds	7.7	8.7	8.5	8.7	8.1	8.3	8.1	8.1	8.3	74.5	78.1	(3.6)	-4.6%	
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Student Loans	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
All Other	0.3	-	0.2	-	-	-	0.1	1.2	2.8	4.7	2.0	2.7	135.0%	
Sales	-	-	-	-	-	-	-	-	-	-	0.1	(0.1)	-100.0%	
Tuition	-	-	-	-	-	-	-	-	-	-	-	-	0.0%	
Total Miscellaneous Receipts	14.7	51.4	11.7	13.9	22.7	11.5	13.0	18.1	13.7	171.7	162.2	9.5	5.9%	
Federal Receipts	6,203.7	4,816.3	5,672.5	3,118.0	5,855.1	5,483.9	5,387.9	5,209.8	6,447.1	48,174.3	44,929.9	3,244.4	7.2%	
Total Receipts	6,218.4	4,867.7	5,684.2	3,131.9	5,877.8	5,495.4	5,380.9	5,228.9	6,460.8	48,346.0	45,092.1	3,253.9	7.2%	

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
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	9 Months Ended December 31			EXHIBIT G
													2019	2018	\$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	337.5	590.6	262.1	287.9	232.3	187.4	206.7	229.2	326.0				2,658.7	2,758.5	(98.8)	-3.6%
Environment and Recreation	0.1	0.1	-	-	0.1	0.3	0.1	-	0.2				0.9	1.9	(1.0)	-52.6%
General Government	2.0	3.5	8.7	1.2	11.7	2.1	2.1	2.4	11.8				45.5	54.6	(9.1)	-16.7%
Public Health:																
Medicaid	3,116.5	3,691.2	3,068.7	3,002.7	3,747.0	3,144.7	3,559.6	3,605.6	3,281.9				30,217.9	29,131.7	1,086.2	3.7%
Other Public Health	483.3	487.8	700.8	485.1	487.8	666.8	453.3	413.8	621.5				4,780.2	4,934.0	(153.8)	-3.1%
Public Safety	116.2	150.5	42.7	59.8	66.3	49.9	139.7	173.9	97.1				902.1	963.4	(61.3)	-6.4%
Public Welfare	151.4	119.2	277.0	31.9	16.3	48.9	106.0	51.9	114.7				3,226.5	3,179.3	(47.2)	-1.5%
Statewide Programs:																
Regulate Business	8.2	10.2	0.2	0.0	2.3	0.8	0.9	4.9	0.8				41.4	42.9	(1.5)	-3.5%
Transportation	4.0	5.8	4.4	4.0	4.5	3.3	4.2	4.7	6.5				41.8	42.9	(1.1)	-2.6%
Total Local Assistance Grants	4,211.3	5,039.9	4,388.3	4,139.4	4,736.3	4,549.0	5,429.1	4,951.1	4,439.7	-	-	-	41,884.1	41,575.9	308.2	0.5%
Departmental Operations:																
Personal Service	49.3	65.8	55.1	44.3	47.7	50.9	75.8	46.7	52.9				488.5	484.0	(4.5)	-1.1%
Non-Personal Service	70.1	76.3	96.4	81.6	105.5	186.4	133.1	82.8	125.5				957.7	906.1	51.6	5.7%
General State Charges	21.4	24.1	34.0	35.6	24.5	24.5	26.0	26.2	25.5				241.8	330.8	(89.0)	-26.9%
Capital Projects	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Total Disbursements	4,352.1	5,205.1	4,573.8	4,300.9	4,914.0	4,810.2	5,684.0	5,105.8	4,643.6	-	-	-	43,572.1	43,406.8	165.3	0.4%
Excess (Deficiency) of Receipts over Disbursements	1,866.3	(338.4)	1,110.4	(1,159.0)	963.8	684.6	(283.1)	122.1	1,817.2	-	-	-	4,775.9	1,885.3	3,088.6	183.3%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-	-	-				-	-	-	0.0%
Transfers to Other Funds	(50.2)	(298.5)	(148.9)	(118.9)	(210.7)	(76.5)	(165.5)	(100.0)	(351.0)				(1,521.1)	(1,372.9)	148.2	10.8%
Total Other Financing Sources (Uses)	(50.2)	(298.5)	(148.9)	(118.9)	(210.7)	(76.5)	(165.5)	(100.0)	(351.0)	-	-	-	(1,521.1)	(1,372.9)	148.2	10.8%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,816.1	(636.9)	960.6	(1,287.9)	753.1	608.1	(448.6)	22.1	1,466.2	-	-	-	3,252.8	312.4	2,940.4	941.2%
Ending Fund Balance	\$ 567.7	\$ (69.2)	\$ 891.4	\$ (396.5)	\$ 356.6	\$ 964.7	\$ 516.1	\$ 538.2	\$ 2,004.4	\$ -	\$ -	\$ -	\$ 2,004.4	\$ 606.0	\$ 1,398.4	230.8%

EXHIBIT H

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EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

Beginning Fund Balance	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	9 Months Ended December 31			% Increase/ Decrease
	\$ (1,137.9)	\$ (1,018.2)	\$ (1,248.2)	\$ (1,212.5)	\$ (1,334.5)	\$ (1,351.4)	\$ (1,288.1)	\$ (948.2)	\$ (1,042.3)					2019 \$ (1,137.9)	2018 \$ (1,151.2)	\$ (Decrease)	
RECEIPTS:																	
Taxes:																	
Consumption/Use Taxes:																	
Auto Rental	3.5	0.3	19.5	0.1	0.1	33.7	(7.9)	0.1	20.8				-	70.9	67.8	2.8	4.1%
Hotel/Motel	36.4	34.6	35.4	30.1	32.6	34.1	29.1	32.6	34.4				-	318.5	318.5	0.0	0.0%
Highway Use	14.2	10.6	9.8	14.5	10.7	11.0	14.3	10.9	13.8				-	109.8	118.3	(8.5)	-5.6%
Total Consumption/Use Taxes	54.1	45.7	65.9	45.0	43.6	78.8	44.3	43.9	65.8				-	492.1	503.6	(11.5)	-2.3%
Business Taxes:																	
Corporation Franchise	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Corporation and Utilities	3.3	(0.1)	1.9	-	-	3.1	0.1	0.1	2.7				-	11.1	10.6	0.5	4.7%
Petroleum Business	56.3	55.8	58.4	52.5	60.0	56.8	60.2	52.2	51.5				-	503.7	488.7	15.0	3.1%
Total Business Taxes	59.6	55.7	60.3	52.5	60.0	59.9	60.3	52.3	54.2				-	514.8	499.3	15.5	3.1%
Other Taxes:																	
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	12.0	11.9	11.9				-	83.4	83.4	-	0.0%
Total Other Taxes	-	-	11.9	11.9	11.9	11.9	12.0	11.9	11.9				-	83.4	83.4	-	0.0%
Total Taxes	113.7	107.4	138.1	109.4	126.5	150.6	116.6	108.1	131.9				-	1,090.3	1,088.3	4.0	0.4%
Miscellaneous Receipts:																	
Abandoned Property:																	
Bottle Bill	-	-	23.0	-	-	-	-	-	-				-	23.0	23.0	-	0.0%
Assessments:																	
Business:	10.1	9.3	8.7	8.2	8.6	8.3	8.3	8.0	7.6				-	77.1	75.8	1.3	1.7%
Fees, Licenses and Permits:																	
Business/Professional	0.8	5.6	3.7	2.5	10.7	1.3	1.2	2.0	0.6				-	28.4	28.9	(0.5)	-0.0%
DMV	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Motor Vehicle	67.0	65.4	65.4	60.8	63.6	60.4	57.4	59.5	52.3				-	554.7	552.7	2.0	0.4%
Recreational/Consumer	0.2	0.1	-	-	-	3.0	12.8	(1.2)	14.9				-	20.6	22.2	(1.6)	-32.9%
Fines, Penalties and Forfeitures	2.3	2.0	2.3	1.7	1.7	2.3	1.9	5.1	1.3				-	18.5	18.5	0.0	0.0%
Interest Earnings	1.1	1.0	1.0	1.1	1.0	1.0	1.0	0.9	0.8				-	8.9	8.0	0.9	11.3%
Receipts from Public Authorities:																	
Bond Proceeds	200.8	2.8	146.4	155.3	78.2	498.1	1,588.2	23.6	328.3				-	3,023.7	3,092.7	(69.0)	-2.2%
Insurance Fees	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Non Bond Related	3.5	0.1	0.4	(0.1)	-	-	20.4	25.3	0.4				-	50.0	4.3	45.7	1,062.8%
Receipts from Municipalities	0.3	-	0.3	-	0.3	0.2	0.2	0.4	0.1				-	0.9	0.9	0.0	100.0%
Rentals	0.9	0.8	0.5	0.6	1.6	0.7	0.7	0.8	0.4				-	7.0	8.5	(1.5)	-17.6%
Revenues of State Departments:																	
Alcoholic Beverages	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Gifts, Grants and Donations	10.1	0.5	0.3	0.6	0.3	0.3	3.4	1.7	2.8				-	20.0	1.3	18.7	1,438.5%
Indirect Cost Recoveries	(0.9)	-	-	-	-	-	-	-	-				-	(0.9)	-	(0.9)	-100.0%
Rebates	-	0.1	0.1	-	-	-	-	-	-				-	0.2	0.3	(0.1)	-33.3%
Restitution and Settlements	0.2	0.5	0.4	0.1	0.2	0.1	2.5	0.3	6.5				-	10.8	7.7	3.1	40.3%
All Other	3.6	0.8	1.1	14.5	12.3	4.9	4.4	3.2	2.9				-	47.7	13.8	33.9	245.7%
Sales	4.2	-	-	-	-	-	0.1	0.2	0.1				-	4.6	2.5	2.1	84.0%
Total Miscellaneous Receipts	304.2	92.9	253.6	245.3	178.5	531.6	1,702.5	123.8	404.1				-	3,892.5	3,882.1	10.4	0.3%
Federal Receipts	38.3	142.9	132.2	155.7	173.6	179.6	340.8	184.3	158.7				-	1,506.1	1,581.2	(75.1)	-10.4%
Total Receipts	466.2	337.2	523.9	510.4	473.6	911.8	2,158.9	421.2	694.7				-	6,488.9	6,629.6	(140.7)	-2.1%

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
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	Intra-Fund Transfer Eliminations (*)	9 Months Ended December 31			% Increase/ Decrease
														2019	2018	\$ Increase/ (Decrease)	
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	9.2	3.2	10.3	10.7	12.0	42.4	14.4	18.2	24.8				-	145.3	125.2	20.1	16.1%
Health and Recreation	25.1	33.5	2.1	15.0	11.0	17.6	14.8	11.5	13.3				-	147.3	148.6	0.7	0.5%
General Government	31.2	121.8	145.0	39.4	17.8	59.1	128.4	18.6	140.6				-	705.9	788.6	(82.7)	-8.2%
Public Health:																	
Medicaid	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Other Public Health	30.8	41.6	20.6	76.0	17.7	20.2	72.5	34.3	44.6				-	358.3	266.2	92.1	34.6%
Public Safety	10.0	(0.1)	(0.7)	0.1	0.3	12.0	1.2	14.8	1.8				-	39.4	39.8	(0.4)	-1.0%
Public Welfare	-	10.9	86.1	6.0	9.1	42.8	3.2	83.1	13.3				-	254.5	259.3	(4.8)	-1.9%
Support and Regulate Business	26.7	149.2	197.4	39.2	40.9	61.9	38.0	43.8	102.6				-	699.7	564.4	135.3	24.0%
Transportation	232.7	44.7	70.8	57.1	45.1	508.7	80.1	36.8	281.2				-	1,357.2	1,252.3	104.9	8.4%
Total Local Assistance Grants	365.7	404.8	535.6	243.5	156.9	764.7	352.6	261.5	622.3				-	3,707.6	3,422.4	285.2	8.3%
Department of Operations:																	
Police Services	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Fire Services	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
General State Changes	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Capital Projects	434.1	528.1	536.4	600.7	750.4	582.6	710.7	705.0	577.0				-	5,425.0	5,410.5	14.5	0.3%
Total Disbursements	799.8	932.9	1,072.0	844.2	907.3	1,347.3	1,063.3	966.5	1,198.3				-	9,132.6	8,832.9	299.7	3.4%
Excess (Deficiency) of Receipts over Disbursements	(343.6)	(595.7)	(545.1)	(333.8)	(433.7)	(435.5)	1,096.6	(545.3)	(504.6)				-	(2,443.7)	(2,203.3)	(240.4)	-20.0%
OTHER FINANCING SOURCES (USES):																	
Bond Proceeds	509.2	412.4	633.5	280.6	486.3	752.3	(532.5)	494.6	508.4				-	3,348.9	2,727.2	621.7	22.8%
Transfers from Other Funds	(45.9)	(47.7)	(48.7)	(48.8)	(69.5)	(253.5)	(222.2)	(45.4)	(88.8)				-	(894.6)	(447.7)	246.9	55.1%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-				-	-	-	-	0.0%
Total Other Financing Sources (Uses)	463.3	364.7	584.8	231.8	416.8	498.8	(754.7)	449.2	419.6				-	2,654.3	2,279.5	374.8	16.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	119.7	(231.0)	38.7	(122.0)	(16.9)	63.3	341.9	(66.1)	(85.0)				-	10.8	76.2	(65.6)	-86.1%
Ending Fund Balance	\$ (1,018.2)	\$ (1,248.2)	\$ (1,212.5)	\$ (1,334.5)	\$ (1,351.4)	\$ (1,288.1)	\$ (946.2)	\$ (1,042.3)	\$ (1,127.3)	\$ -	\$ -	\$ -	\$ -	\$ (1,127.3)	\$ (1,075.0)	\$ (52.3)	-4.9%

(*) Intra-Fund transfer eliminations represent transfers from Capital Projects-State and Federal Funds.

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	2019		MAY		JUNE		JULY		AUGUST		SEPTEMBER		OCTOBER		NOVEMBER		DECEMBER		2020		9 Months Ended December 31		% Increase/ Decrease
	APRIL	\$ (633.2)	\$ (446.5)	\$ (699.4)	\$ (636.7)	\$ (771.8)	\$ (804.6)	\$ (758.6)	\$ (373.3)	\$ (491.0)	JANUARY	FEBRUARY	MARCH	2019	\$ (633.2)	2018	\$ (568.4)	\$ (64.8)	-11.4%				
Beginning Fund Balance																							
RECEIPTS:																							
Taxes:																							
Consumption/Use Taxes																							
Auto Rental	3.5		0.3	19.5	0.1	0.1	33.7	(7.3)	0.1	20.6				70.6		67.8		2.8		4.1%			
Motor Fuel	36.4		36.6	30.4	37.8	34.1	37.3	32.9	31.4	31.7				317.7		319.5		(7.8)		-2.4%			
Highway Use	14.2		10.6	9.8	14.5	10.7	11.0	14.3	10.9	10.8				109.8		116.3		(6.5)		-5.6%			
Total Consumption/Use Taxes	54.1		45.7	65.9	45.0	48.6	78.8	44.3	43.9	65.8				492.1		503.6		(11.5)		-2.3%			
Business Taxes																							
Corporation Franchise																							
Corporation and Utilities	3.3		(0.1)	1.9			3.1	0.1	0.1	2.7				11.1		10.6		0.5		4.7%			
Petroleum Business	56.3		55.8	58.4	52.5	60.0	56.8	60.2	52.2	51.5				503.7		488.7		15.0		3.1%			
Total Business Taxes	59.6		55.7	60.3	52.5	60.0	59.9	60.3	52.3	54.2				514.8		499.3		15.5		3.1%			
Other Taxes																							
Real Estate Transfer	-		11.9	11.9	11.9	11.9	11.9	12.0	11.9	11.9				83.4		83.4		-		0.0%			
Total Other Taxes	-		11.9	11.9	11.9	11.9	11.9	12.0	11.9	11.9				83.4		83.4		-		0.0%			
Total Taxes	113.7		101.4	138.1	109.4	120.5	150.6	116.6	108.1	131.9				1,090.3		1,086.3		4.0		0.4%			
Miscellaneous Receipts:																							
Abandoned Property:																							
Bottle Bill	-		-	23.0	-	-	-	-	-	-				23.0		23.0		-		0.0%			
Assessments:																							
Business:	10.1		9.3	8.7	8.2	8.6	8.3	8.3	8.0	7.6				77.1		75.8		1.3		1.7%			
Fees, Licenses and Permits:																							
Business/Professional	0.8		5.6	3.7	2.5	10.7	1.3	1.2	2.0	0.6				28.4		29.9		(1.5)		-5.0%			
Civil	-		-	-	-	-	-	-	-	-				-		-		-		0.0%			
Motor Vehicle	67.0		69.3	65.4	60.8	63.6	60.4	57.4	58.5	52.3				554.7		552.7		2.0		0.4%			
Recreational/Consumer	0.2		0.1	-	-	-	3.0	12.8	(1.2)	-				14.9		22.2		(7.3)		-32.9%			
Fines, Penalties and Forfeitures	2.3		2.0	2.3	1.7	1.7	2.3	1.9	5.1	1.3				20.6		18.5		2.1		11.4%			
Interest Earnings	1.1		1.0	1.0	1.1	1.0	1.0	1.0	0.9	0.8				8.9		8.0		0.9		11.3%			
Receipts from Public Authorities:																							
Bond Proceeds	200.8		2.8	146.4	155.3	79.2	499.1	1,588.2	23.6	328.3				3,023.7		3,092.7		(69.0)		-2.2%			
Insurance Fees	-		-	-	-	-	-	-	-	-				-		-		-		0.0%			
Non Bond Related	3.5		0.1	0.4	(0.1)	-	-	20.4	25.3	0.4				50.0		4.3		45.7		1,062.8%			
Receipts from Municipalities	0.3		0.3	0.3	0.3	0.3	0.2	0.2	0.4	0.1				1.8		0.9		0.9		100.0%			
Rentals	0.8		0.8	0.4	0.5	1.6	0.6	0.6	0.7	0.4				6.4		7.9		(1.5)		-19.0%			
Revenues of State Departments:																							
Administrative Recoveries	-		-	-	-	-	-	-	-	-				-		-		-		0.0%			
Gifts, Grants and Donations	10.1		0.5	0.3	0.6	0.3	0.3	3.4	1.7	2.8				20.0		1.3		18.7		1,438.5%			
Indirect Cost Recoveries	(0.9)		-	-	-	-	-	-	-	-				(0.9)		-		(0.9)		-100.0%			
Rebates	-		0.1	0.1	-	-	-	-	-	-				0.2		0.3		(0.1)		-33.3%			
Restitution and Settlements	0.2		0.5	0.4	0.1	0.2	0.1	2.5	0.3	6.5				10.8		7.7		3.1		40.3%			
All Other	3.6		0.8	1.1	14.5	12.3	4.9	4.4	3.2	2.9				47.7		13.8		33.9		245.7%			
Sales	4.2		-	-	-	-	-	0.1	0.2	0.1				4.6		2.2		2.4		109.1%			
Total Miscellaneous Receipts	304.1		92.9	253.5	245.2	179.5	581.5	1,702.4	128.7	404.1				3,891.9		3,861.2		30.7		0.8%			
Federal Receipts	-		-	-	-	-	2.3	-	-	-				2.3		2.5		(0.2)		-8.0%			
Total Receipts	417.8		194.3	391.6	354.6	300.0	734.4	1,819.0	236.8	536.0				4,984.5		4,950.0		34.5		0.7%			

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT I

	9 Months Ended December 31												% Increase/ Decrease
	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	
DISBURSEMENTS:													
Local Assistance Grants:													
Education	9.2	3.2	10.3	10.7	12.0	42.4	14.4	18.2	24.9	145.3	125.2	20.1	16.1%
Environment and Recreation	25.1	33.5	2.1	15.0	14.0	17.6	11.9	11.9	13.3	147.3	146.6	0.7	0.5%
General Government	312.8	121.8	149.0	39.4	17.8	59.1	128.4	18.6	140.6	705.9	768.6	(62.7)	-8.2%
Public Health:													
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	30.8	41.6	20.6	75.6	17.7	19.4	34.8	34.1	44.6	319.2	221.3	97.9	44.2%
Public Safety	10.0	(0.1)	(10.8)	-	0.3	2.0	1.2	6.4	1.8	10.8	19.2	(8.4)	-43.8%
Public Welfare	-	10.9	86.1	6.0	9.1	42.8	3.2	83.1	13.3	254.5	259.3	(4.8)	-1.9%
Support and Regulate Business	26.7	149.2	197.4	39.2	40.9	61.9	38.0	43.8	102.6	699.7	564.4	135.3	24.0%
Transportation	192.7	7.1	23.2	19.3	5.8	476.3	29.6	4.8	222.5	981.3	950.8	30.5	3.2%
Total Local Assistance Grants	325.7	367.2	477.9	205.2	117.6	721.5	264.4	220.9	563.6	-	3,055.4	208.6	6.8%
Departmental Operations:													
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Capital Projects	368.7	444.7	435.8	496.3	632.0	465.7	590.5	582.8	480.6	4,497.3	4,398.9	98.4	2.2%
Total Disbursements	694.4	811.9	913.7	701.5	749.6	1,187.2	854.9	803.7	1,044.4	-	7,454.3	307.0	4.1%
Excess (Deficiency) of Receipts over Disbursements	(276.6)	(617.6)	(522.1)	(346.9)	(449.6)	(452.8)	964.1	(566.9)	(508.4)	-	(2,504.3)	(272.5)	-10.9%
OTHER FINANCING SOURCES (USES):													
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	509.2	412.4	633.5	260.6	486.3	752.3	(532.5)	484.6	508.4	3,524.8	2,911.4	613.4	21.1%
Transfers to Other Funds	(45.9)	(47.7)	(48.7)	(48.8)	(69.5)	(253.5)	(46.3)	(45.4)	(88.7)	(694.5)	(447.6)	246.9	55.2%
Total Other Financing Sources (Uses)	463.3	364.7	584.8	211.8	416.8	498.8	(578.8)	449.2	419.7	-	2,463.8	366.5	14.9%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	186.7	(252.9)	62.7	(135.1)	(32.8)	46.0	385.3	(117.7)	(88.7)	-	(40.5)	94.0	232.1%
Ending Fund Balance	\$ (446.5)	\$ (698.4)	\$ (636.7)	\$ (771.8)	\$ (804.6)	\$ (758.6)	\$ (373.3)	\$ (491.0)	\$ (579.7)	\$ -	\$ (608.9)	\$ 29.2	4.8%

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

	9 Months Ended December 31												% Increase/ Decrease
	2019	2018	2017	2016	2015	2014	2013	2012	2011	2010	2009	2008	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ (504.7)	\$ (571.7)	\$ (549.8)	\$ (573.8)	\$ (562.7)	\$ (546.8)	\$ (526.5)	\$ (572.9)	\$ (551.3)				
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%
Insurance Fees	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Bond Related	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Receipts from Municipalities													
Rentals	0.1	-	0.1	0.1	-	0.1	0.1	0.1	-	-	0.6	-	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	0.1	-	0.1	0.1	0.1	-	-	-	-	-33.3%
Federal Receipts	38.3	142.9	132.2	155.7	173.6	177.3	340.8	184.3	158.7	-	-	-	-10.4%
Total Receipts	38.4	142.9	132.3	155.8	173.6	177.4	340.9	184.4	158.7	-	-	-	-10.4%
DISBURSEMENTS:													
Local Assistance Grants:													
Education	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Environment and Recreation	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General Government	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Public Health:													
Medical	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Other Public Health	-	-	-	0.4	-	0.6	37.7	0.2	-	39.1	44.9	(5.8)	-12.8%
Public Safety	-	-	10.1	0.1	-	10.0	-	8.4	-	28.6	20.6	5.0	-38.8%
Public Welfare	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Social Services	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transportation	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Unemployment Insurance	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Local Assistance Grants	40.0	37.6	47.6	37.8	39.3	32.4	50.5	32.0	58.7	375.9	301.5	74.4	24.7%
Departmental Operations:													
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
General State Charges	65.4	83.4	100.6	104.4	118.4	116.9	120.2	122.2	96.2	927.7	1,011.6	(83.9)	-8.3%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	105.4	121.0	158.3	142.7	157.7	160.1	208.4	162.8	154.9	1,371.3	1,378.6	(7.3)	-0.5%
Excess (Deficiency) of Receipts over Disbursements	(67.0)	21.9	(26.0)	13.1	15.9	17.3	132.5	21.6	3.8	-	-	-	-55.8%
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	(175.9)	-	(0.1)	(176.0)	(184.3)	(8.3)	-4.5%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	(175.9)	-	(0.1)	(176.0)	(184.3)	(8.3)	-4.5%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(67.0)	21.9	(26.0)	13.1	15.9	17.3	(43.4)	21.6	3.7	(42.9)	116.7	(159.6)	-136.8%
Ending Fund Balance	\$ (571.7)	\$ (549.8)	\$ (575.8)	\$ (562.7)	\$ (546.8)	\$ (529.5)	\$ (572.9)	\$ (551.3)	\$ (547.6)	\$ (466.1)	\$ (389.4)	\$ (229.8)	-17.5%

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT J

	2019												9 Months Ended December 31			% Increased/ Decrease
	2019												2018			
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	\$	\$	\$	
Beginning Fund Balance	\$ 26.6	\$ 26.6	\$ 26.9	\$ 27.3	\$ 27.8	\$ 27.1	\$ 39.3	\$ 33.4	\$ 31.1				\$ 26.6	\$ 24.6	\$ 2.0	8.1%
RECEIPTS:																
Miscellaneous Receipts	4.8	6.1	5.1	5.5	6.7	17.2	9.9	5.7	4.6				65.6	47.5	18.1	38.1%
Federal Receipts	1.1	1.0	0.9	1.0	0.9	0.9	1.0	1.0	5.9				13.7	9.2	4.5	48.9%
Unemployment Taxes	187.5	139.2	134.9	186.0	160.6	150.3	147.0	151.2	220.3				1,477.0	1,425.9	51.1	3.6%
Total Receipts	193.4	146.3	140.9	192.5	168.2	168.4	157.9	157.9	230.8	-	-	-	1,556.3	1,482.6	73.7	5.0%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	0.3	0.6	0.3	0.3	0.4	0.4	8.2	2.5	1.3				14.3	5.2	9.1	175.0%
Non-Personal Service	3.6	5.1	4.5	4.4	7.2	4.3	7.8	4.8	4.6				46.3	41.0	5.3	12.9%
General State Charges	0.1	-	0.1	0.1	-	0.1	-	0.7	0.2				1.3	0.7	0.6	85.7%
Unemployment Benefits	189.4	140.3	135.6	187.2	161.3	151.4	147.8	152.2	226.9				1,492.1	1,434.8	57.3	4.0%
Total Disbursements	193.4	146.0	140.5	192.0	168.9	156.2	163.8	160.2	233.0	-	-	-	1,554.0	1,481.7	72.3	4.9%
Excess (Deficiency) of Receipts over Disbursements	-	0.3	0.4	0.5	(0.7)	12.2	(5.9)	(2.3)	(2.2)	-	-	-	2.3	0.9	1.4	155.6%
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	-	0.3	0.4	0.5	(0.7)	12.2	(5.9)	(2.3)	(2.2)	-	-	-	2.3	0.9	1.4	155.6%
Ending Fund Balance	\$ 26.6	\$ 26.9	\$ 27.3	\$ 27.8	\$ 27.1	\$ 39.3	\$ 33.4	\$ 31.1	\$ 28.9	\$ -	\$ -	\$ -	\$ 28.9	\$ 25.5	\$ 3.4	13.3%

STATE OF NEW YORK
INTERNAL SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)

EXHIBIT K

	2019		2020												9 Months Ended December 31		\$ Increase/Decrease	% Increase/Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2019	2018				
Beginning Fund Balance	\$ (302.7)	\$ (293.4)	\$ (318.6)	\$ (293.7)	\$ (284.4)	\$ (296.5)	\$ (278.3)	\$ (288.7)	\$ (290.7)				\$ (302.7)	\$ (269.2)	\$ (33.5)	-12.4%		
RECEIPTS:																		
Miscellaneous Receipts	33.2	32.5	42.3	56.6	37.9	61.7	43.4	57.0	41.9				406.5	359.7	46.8	13.0%		
Total Receipts	33.2	32.5	42.3	56.6	37.9	61.7	43.4	57.0	41.9	-	-	-	406.5	359.7	46.8	13.0%		
DISBURSEMENTS:																		
Departmental Operations:																		
Personal Service	9.7	14.0	9.6	9.7	9.9	9.6	14.0	9.6	9.5				96.6	75.1	20.5	27.3%		
Non-Personal Service	24.4	56.3	5.9	34.7	36.4	34.1	41.8	48.1	29.7				311.4	326.6	(15.2)	-4.7%		
General State Charges	4.1	4.9	6.6	5.2	4.6	4.6	1.6	4.7	4.5				40.8	57.8	(17.0)	-29.4%		
Total Disbursements	38.2	75.2	22.1	49.6	50.9	48.3	57.4	62.4	43.7	-	-	-	447.8	459.5	(11.7)	-2.5%		
Excess (Deficiency) of Receipts over Disbursements	(5.0)	(42.7)	20.2	7.0	(13.0)	13.4	(14.0)	(5.4)	(1.8)	-	-	-	(41.3)	(99.8)	58.5	58.6%		
OTHER FINANCING SOURCES (USES):																		
Transfers from Other Funds	14.3	17.5	4.7	2.3	1.3	5.3	3.6	3.6	4.4				57.0	50.1	6.9	13.8%		
Transfers to Other Funds	-	-	-	-	(0.4)	(0.5)	-	(0.2)	(3.2)				(4.3)	(7.2)	(2.9)	-40.3%		
Total Other Financing Sources (Uses)	14.3	17.5	4.7	2.3	0.9	4.8	3.6	3.4	1.2	-	-	-	52.7	42.9	9.8	22.8%		
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	9.3	(25.2)	24.9	9.3	(12.1)	18.2	(10.4)	(2.0)	(0.6)	-	-	-	11.4	(56.9)	68.3	120.0%		
Ending Fund Balance	\$ (293.4)	\$ (318.6)	\$ (293.7)	\$ (284.4)	\$ (296.5)	\$ (278.3)	\$ (288.7)	\$ (290.7)	\$ (291.3)	\$ -	\$ -	\$ -	\$ (291.3)	\$ (326.1)	\$ 34.8	10.7%		

EXHIBIT L

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**STATE OF NEW YORK
PRIVATE PURPOSE TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2019-2020
(amounts in millions)**

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SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF DECEMBER 2019
(amounts in millions)

	BALANCE DECEMBER 1, 2019	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE DECEMBER 31, 2019
GENERAL FUND					
10000-10049-Local Assistance Account	\$ -	\$ 0.014	\$ 4,203.265	\$ 4,203.251	\$ -
10050-10099-State Operations Account	6,538.688	4,619.120	1,271.696	(1,738.314)	8,147.798
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	32.694	-	0.781	-	31.913
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	-	-	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	6,571.382	4,619.134	5,475.742	2,464.937	8,179.711
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	0.829	0.005	0.001	-	0.833
20100-20299-Combined Expendable Trust	68.714	0.439	0.453	-	68.700
20300-20349-New York Interest on Lawyer Account	90.168	4.179	0.110	-	94.237
20350-20399-NYS Archives Partnership Trust	0.078	-	0.022	-	0.056
20400-20449-Child Performer's Protection	0.216	0.014	0.042	-	0.188
20450-20499-Tuition Reimbursement	8.009	0.194	0.269	-	7.934
20500-20549-New York State Local Government Records Management Improvement	3.211	0.901	0.284	-	3.828
20550-20599-School Tax Relief	0.112	38.500	38.377	-	0.235
20600-20649-Charter Schools Stimulus	1.243	0.002	-	-	1.245
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	223.908	525.367	535.941	(0.233)	213.101
20850-20899-Dedicated Mass Transportation Trust	63.265	49.135	47.109	15.665	80.956
20900-20949-State Lottery	(467.152)	250.997	148.313	(5.164)	(369.632)
20950-20999-Combined Student Loan	43.486	1.975	0.126	-	45.335
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.901)	-	0.064	-	(3.965)
21050-21149-Encon Special Revenue	5.624	7.196	6.617	(3.139)	3.064
21150-21199-Conservation	89.413	1.911	2.670	-	88.654
21200-21249-Environmental Protection and Oil Spill Compensation	27.073	6.530	1.211	-	28.378
21250-21299-Training and Education Program on OSHA	11.785	0.021	3.289	(4.014)	8.517
21300-21349-Lawyers' Fund for Client Protection	5.250	0.772	0.055	-	5.967
21350-21399-Equipment Loan for the Disabled	0.547	0.002	-	-	0.549
21400-21449-Mass Transportation Operating Assistance	10.422	390.317	632.527	5.046	(226.742)
21450-21499-Clean Air	(31.866)	0.110	2.708	-	(34.464)
21500-21549-New York State Infrastructure Trust	0.070	0.001	-	-	0.071
21550-21599-Legislative Computer Services	11.801	0.113	0.019	-	11.895
21600-21649-Biodiversity Stewardship and Research	-	0.001	-	-	-
21650-21699-Combined Non-Expendable Trust	0.465	0.001	-	-	0.466
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	-	-	-	-	-
21850-21899-Arts Capital Grants	0.001	-	-	-	0.001
21900-22499-Miscellaneous State Special Revenue	0.973	0.003	-	-	0.976
22500-22549-Court Facilities Incentive Aid	1,393.973	272.917	168.649	18.776	1,517.017
	26.973	0.044	24.704	30.000	32.313

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF DECEMBER 2019
(amounts in millions)

	BALANCE DECEMBER 1, 2019	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE DECEMBER 31, 2019
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22500-22599-Employment Training	0.052	-	-	-	0.052
22650-22699-State University Income	1,691.033	254.758	540.424	7.646	1,413.013
22700-22749-Chemical Dependence Service	13.562	1.175	0.070	-	14.667
22750-22799-Lake George Park Trust	0.363	-	0.105	-	0.258
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	97.635	11.180	1.014	-	107.801
22850-22899-New York Great Lakes Protection	0.427	0.001	0.012	-	0.416
22900-22949-Federal Revenue Maximization	0.024	-	-	-	0.024
22950-22999-Housing Development	8.729	0.014	(0.540)	-	9.283
23000-23049-NYS/DOT Highway Safety Program	(14.379)	(0.021)	0.371	-	(14.771)
23050-23099-Vocational Rehabilitation	0.038	0.014	-	-	0.052
23100-23149-Drinking Water Program Management and Administration	(5.351)	-	-	-	(5.351)
23150-23199-NYC County Clerks' Operations Offset	(50.962)	-	2.558	-	(53.520)
23200-23249-Judiciary Data Processing Offset	44.208	5.689	2.500	-	47.397
23250-23449-IFR/CUTRA	198.642	11.423	8.213	-	201.852
23500-23549-USOC Lake Placid Training	0.273	0.004	-	-	0.277
23550-23599-Indigent Legal Services	406.136	26.275	4.818	-	427.593
23600-23649-Unemployment Insurance Interest and Penalty	29.698	0.832	0.232	-	30.298
23650-23699-MTA Financial Assistance Fund	113.154	0.139	48.850	12.500	76.943
23700-23749-New York State Commercial Gaming Fund	82.770	12.677	1.068	-	94.379
23750-23799-Medical Marijuana Trust Fund	9.100	0.523	0.701	(0.149)	8.773
23800-23899-Dedicated Miscellaneous State Special Revenue	2.842	0.206	0.159	-	2.889
24850-24899-Health Care Transformation	533.708	82.127	-	-	615.835
24900-24949-Charitable Gifts Trust Fund	95.086	0.161	-	-	95.247
24950-24999-Interactive Fantasy Sports	17.114	0.772	0.013	-	17.873
40350-40399-State University Dormitory Income	202.717	21.270	-	(36.558)	187.429
TOTAL SPECIAL REVENUE FUNDS-STATE	5,061.309	1,980.865	2,224.128	40.376	4,868.422
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	(17.568)	266.159	251.148	(2.252)	(4.809)
25100-25199-Federal Health and Human Services	702.983	5,868.002	4,028.804	(342.125)	2,200.066
25200-25249-Federal Education	(35.534)	191.304	192.836	(0.216)	(37.282)
25300-25899-Federal Miscellaneous Operating Grants	(254.166)	103.753	127.048	(6.394)	(283.855)
25900-25949-Unemployment Insurance Administration	148.622	20.505	30.917	-	138.210
25950-25999-Unemployment Insurance Occupational Training	(0.401)	0.254	0.362	-	(0.509)
26000-26049-Federal Employment and Training Grants	(5.773)	10.915	12.537	-	(7.395)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	538.173	6,460.892	4,643.652	(350.987)	2,004.426
TOTAL SPECIAL REVENUE FUNDS	5,599.482	8,441.757	6,867.780	(310.611)	6,862.848
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	223.554	26.637	0.364	261.224	511.051
40150-40199-General Debt Service	701.908	2,515.084	412.875	(2,379.522)	424.595
40250-40299-State Housing Debt Service	-	-	-	-	-
40300-40349-Department of Health Income	20.377	24.829	-	(15.235)	29.971
40400-40449-Clean Water/Clean Air	16.503	74.263	-	(71.290)	19.476
40450-40499-Local Government Assistance Tax	-	370.911	0.539	(370.372)	-
TOTAL DEBT SERVICE FUNDS	962.342	3,011.724	413.778	(2,575.195)	985.093

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF DECEMBER 2019
(amounts in millions)

	BALANCE DECEMBER 1, 2019	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE DECEMBER 31, 2019
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	319,901	606,609	286,708	-
30050-30099-Dedicated Highway and Bridge Trust	(52,204)	181,604	139,238	(70,249)	(80,087)
30100-30299-SUNY Residence Halls Rehabilitation and Repair	137,420	0,209	1,423	13,439	149,645
30300-30349-New York State Canal System Development	12,884	0,019	-	-	12,903
30350-30399-Parks Infrastructure	(94,023)	0,001	8,740	-	(102,762)
30400-30449-Passenger Facility Charge	0,015	-	-	-	0,015
30450-30499-Environmental Protection	101,017	12,472	23,919	-	89,570
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	18,334	-	-	(0,750)	17,584
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	(551,245)	158,749	154,912	(0,134)	(547,542)
31450-31499-Forest Preserve Expansion	1,073	0,001	-	1,074	1,074
31500-31549-Hazardous Waste Remedial	(126,962)	1,325	7,128	(0,188)	(132,953)
31650-31699-Suburban Transportation	0,535	0,001	-	0,536	0,536
31700-31749-Division for Youth Facilities Improvement	(14,537)	-	2,089	-	(16,626)
31800-31849-Housing Assistance	(12,942)	-	-	-	(12,942)
31850-31899-Housing Program	(84,778)	-	12,237	-	(97,015)
31900-31949-Natural Resource Damage	17,404	0,026	0,067	-	17,363
31950-31999-DOT Engineering Services	(12,282)	-	(0,293)	-	(11,969)
32200-32249-Miscellaneous Capital Projects	103,971	1,399	4,163	2,274	103,481
32250-32299-CUNY Capital Projects	0,011	-	-	-	0,011
32300-32349-Mental Hygiene Facilities Capital Improvement	(385,235)	15,219	18,998	-	(389,014)
32350-32399-Correction Facilities Capital Improvement	(256,358)	-	47,783	-	(304,141)
32400-32499-State University Capital Projects	148,029	2,123	5,419	18,500	163,233
33000-33049-NYS Storm Recovery Fund	(51,563)	1,665	0,244	-	(50,142)
33050-33099-Dedicated Infrastructure Investment Fund	39,559	-	166,641	170,000	42,918
TOTAL CAPITAL PROJECTS FUNDS	(1,042,266)	694,714	1,199,317	419,600	(1,127,269)
TOTAL GOVERNMENTAL FUNDS	\$ 12,090,940	\$ 16,767,329	\$ 13,956,617	\$ (1,269)	\$ 14,900,393

SCHEDULE 2

STATE OF NEW YORK
 PROPRIETARY FUNDS
 SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
 CHANGES IN FUND BALANCES
 FISCAL YEAR 2019-2020
 FOR THE MONTH OF DECEMBER 2019
 (amounts in millions)

<u>FUND TYPE</u>	<u>BALANCE</u> DECEMBER 1, 2019	<u>RECEIPTS</u>	<u>DISBURSEMENTS</u>	<u>OTHER</u> <u>FINANCING</u> <u>SOURCES (USES)</u>	<u>BALANCE</u> DECEMBER 31, 2019
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	\$ 0.103	\$ 0.002	\$ 0.001	\$ -	\$ 0.104
50050-50099-State Exposition Special	1.017	0.254	0.940	-	0.331
50100-50299-Correctional Services Commissary	3.316	3.490	3.408	-	3.398
50300-50399-Agencies Enterprise	9.206	0.737	1.522	-	8.421
50400-50449-Sheltered Workshop	2.199	0.016	0.015	-	2.200
50450-50499-Patient Workshop	1.771	0.007	0.065	-	1.713
50500-50599-Mental Hygiene Community Stores	4.821	0.065	0.075	-	4.811
50650-50699-Unemployment Insurance	8.625	226.214	226.934	-	7.905
TOTAL ENTERPRISE FUNDS	31.058	230.785	232.960	-	28.883
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(89.384)	13.678	25.166	(0.516)	(101.388)
55050-55099-Agency Internal Service	(107.058)	7.658	8.858	3.998	(104.260)
55100-55149-Mental Hygiene Revolving	0.031	0.007	0.054	-	(0.016)
55150-55199-Youth Vocational Education	0.075	0.019	-	-	0.094
55200-55249-Joint Labor and Management Administration	0.162	-	0.072	-	0.090
55250-55299-Audit and Control Revolving	(43.332)	16.890	3.518	(0.061)	(30.021)
55300-55349-Health Insurance Revolving	(17.248)	0.059	1.408	(2.152)	(20.749)
55350-55399-Correctional Industries Revolving	(33.974)	3.548	4.615	-	(35.041)
TOTAL INTERNAL SERVICE FUNDS	(290.728)	41.859	43.691	1.269	(291.291)
TOTAL PROPRIETARY FUNDS	\$ (259.670)	\$ 272.644	\$ 276.651	\$ 1.269	\$ (262.408)

SCHEDULE 3

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2019-2020
FOR THE MONTH OF DECEMBER 2019
(amounts in millions)

FUND TYPE	BALANCE		OTHER FINANCING SOURCES (USES)		BALANCE
	DECEMBER 1, 2019	RECEIPTS	DISBURSEMENTS		DECEMBER 31, 2019
<u>PENSION TRUST FUNDS</u>					
65000-65049-Common Retirement Administration	\$ (7.974)	\$ 36.272	\$ 28.158	\$ -	\$ 0.140
TOTAL PENSION TRUST FUNDS	(7.974)	36.272	28.158	-	0.140
<u>PRIVATE PURPOSE TRUST FUNDS</u>					
66000-66049-Agriculture Producers' Security	2.977	0.005	0.017	-	2.965
66050-66099-Milk Producers' Security	11.004	0.129	0.018	-	11.115
TOTAL PRIVATE PURPOSE TRUST FUNDS	13.981	0.134	0.035	-	14.080
<u>AGENCY FUNDS</u>					
60050-60149-School Capital Facilities Financing Reserve	23.733	0.385	-	-	24.118
60150-60199-Child Performer's Holding	0.530	0.003	0.005	-	0.528
60200-60249-Employees Health Insurance	1,174.039	914.586	929.903	-	1,158.722
60250-60299-Social Security Contribution	15.051	91.270	91.268	-	15.053
60300-60399-Employee Payroll Withholding	39.987	355.629	381.519	-	14.097
60400-60449-Employees Dental Insurance	27.829	4.916	6.946	-	25.799
60450-60499-Management Confidential Group Insurance	0.783	0.643	0.894	-	0.532
60500-60549-Lottery Prize	613.284	89.257	94.508	-	608.033
60550-60599-Health Insurance Reserve Receipts	0.144	0.001	-	-	0.145
60600-60799-Miscellaneous New York State Agency	983.956	666.022	681.844	-	968.134
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	27.264	9.759	9.784	-	27.239
60850-60899-CUNY Senior College Operating	110.783	120.366	192.699	-	38.450
60900-60949-Medicaid Management Information System (MMIS) Escrow	195.518	6,831.600	6,730.211	-	296.907
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	94.456	17.914	-	-	112.370
61100-61999-State University Federal Direct Lending Program	(3.080)	18.569	16.381	-	(0.892)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	3,304.277	9,120.920	9,135.962	-	3,289.235
TOTAL FIDUCIARY FUNDS					
\$	3,310.284	\$ 9,157.326	\$ 9,164.155	\$ -	\$ 3,303.455

STATE OF NEW YORK
SOLE CUSTODY AND INVESTMENT ACCOUNTS
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2019-2020
FOR THE MONTH OF DECEMBER 2019
(amounts in millions)

ACCOUNTS

() 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 December 31, 2019, \$9,475,917.72 (representing the remaining balance of the State's 95 percent share of the fair market value of the not-for-profit corporation plus interest) is on deposit in the sole custody account titled Public Asset Fund. In accordance with Section 4301(j)(4)(F) and (O) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

SCHEDULE 5

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR 2019-2020

PURPOSE	DEBT OUTSTANDING APRIL 1, 2019	DEBT ISSUED (*)		DEBT MATURED		DEBT OUTSTANDING DECEMBER 31, 2019	INTEREST DISBURSED	
		MONTH OF DECEMBER	9 MONTHS ENDED DECEMBER 31, 2019	MONTH OF DECEMBER	9 MONTHS ENDED DECEMBER 31, 2019		MONTH OF DECEMBER	9 MONTHS ENDED DECEMBER 31, 2019
GENERAL OBLIGATION BONDED DEBT:								
Accelerated Capacity and Transportation Improvements	\$ 16,747,925	\$ -	\$ 155,155	\$ 31,419	\$ 720,272	\$ 16,182,808	\$ 2,476	\$ 489,059
Clean Water/Clean Air:								
Air Quality	2,465,600	-	(12,617)	32,215	194,892	2,258,091	1,350	42,160
Safe Drinking Water	-	-	-	-	-	-	-	-
Clean Water	321,372,381	-	2,863,627	206,868	8,678,052	315,557,956	148,757	8,318,064
Solid Waste	22,144,792	-	33,541	809	2,034,166	20,144,167	34	559,916
Environmental Restoration	46,724,919	-	(27,114)	1,073,363	1,283,363	45,414,442	203,019	1,164,966
Energy Conservation Through Improved Transportation:								
Rapid Transit and Rail Freight	1,352,815	-	-	-	154,061	1,198,754	-	55,667
Environmental Quality (1972):								
Air	6,247	-	(795)	-	-	6,247	-	125
Land and Wetlands	5,870,169	-	109,856	31,671	56,671	5,812,703	2,496	138,351
Water	10,826,301	-	-	-	4,418,953	6,517,204	-	286,440
Environmental Quality (1986):								
Land Acquisition/Development/Restoration/Forests	6,831,632	-	9,798	3,723	741,830	6,099,600	1,316	184,629
Solid Waste Management	107,613,085	-	287,704	368,695	7,388,442	100,512,347	130,326	3,424,677
Housing:								
Low Income	8,500,000	-	-	-	1,860,000	6,640,000	-	243,000
Middle Income	6,225,000	-	-	-	2,190,000	4,035,000	-	120,138
Park and Recreation Land Acquisition	-	-	-	-	-	-	-	-
Pure Waters	17,772,576	-	367,188	43,737	2,418,138	15,721,626	33,905	552,636
Rail Preservation Development	-	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation:								
Highway Facilities	641,322,676	-	6,303,945	5,866,865	5,866,865	641,759,756	1,423,238	15,847,049
Canals and Waterways	11,884,363	-	-	483,008	483,008	11,401,355	38,067	279,699
Aviation	42,044,726	-	1,372,382	-	-	43,417,108	-	895,796
Rail and Port	94,745,141	-	3,009,919	-	-	97,755,060	-	1,983,245
Mass Transit - Dept. of Transportation	13,915,297	-	(39,774)	-	-	13,875,523	-	309,013
Mass Transit - Metropolitan Transportation Authority	721,891,399	-	11,348,989	6,346,813	6,346,813	726,893,575	3,012,813	19,193,504
Rebuild New York Transportation Infrastructure Renewal:								
Highways, Parkways, and Bridges	741,418	-	(1,804)	15,824	15,824	723,790	1,247	18,942
Rapid Transit, Rail and Aviation	2,597,617	-	-	-	555,054	2,042,563	-	112,617
Smart Schools Bond Act	179,020,225	-	-	-	-	179,020,225	-	4,227,135
Transportation Capital Facilities:								
Aviation	3,018,695	-	-	-	928,596	2,090,099	-	113,589
Mass Transportation	-	-	-	-	-	-	-	-
Total General Obligation Bonded Debt	\$ 2,285,634,999	\$ -	\$ 25,780,000	\$ 14,505,000	\$ 46,335,000	\$ 2,285,079,999	\$ 4,999,044	\$ 58,560,420

(*) Includes the net effect of the October 2019 refunding transaction of \$914,300,000, which was used to refund \$888,520,000 of previously issued general obligation bonds.

SCHEDULE 5a

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE NINE MONTHS ENDED DECEMBER 31, 2019

	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40100-40149)	REVENUE BOND TAX (40152)	SALES TAX REVENUE BOND TAX (40154)	COMBINED TOTALS		\$ INCREASE/ (DECREASE)
								9 MONTHS ENDED DECEMBER 31 2019	2018	
Special Contractual Financing Obligations:										
Payments to Public Authorities:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
City University Construction	-	71,889,337	-	-	-	-	-	71,889,337	106,597,517	(34,708,180)
Dormitory Authority:	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	54,551,063	-	-	-	-	-	54,551,063	57,690,325	(3,139,262)
DASNY Revenue Bond	-	-	-	-	-	303,001,454	-	542,837,785	411,174,742	131,663,043
Department of Health Facilities	-	-	26,157,902	-	-	-	-	26,157,902	26,132,003	25,899
Mental Health Facilities	-	-	-	-	7,086,959	-	-	7,086,959	53,507,714	(46,411,755)
Secured Hospital Program	-	3,829,093	-	-	-	-	-	3,829,093	603,759	3,225,334
SUNY Community Colleges	-	5,928,700	-	-	-	-	-	5,928,700	4,586,528	1,342,172
SUNY Educational Facilities	-	18,022,938	-	-	-	-	-	18,022,938	17,145,625	877,313
Environmental Facilities Corporation	-	-	-	-	-	17,269,722	-	17,269,722	33,203,788	(15,934,066)
Housing Finance Agency	-	15,734,765	-	-	-	1,907,968	-	17,642,733	17,219,183	423,550
Local Government Assistance Corporation	-	-	-	-	-	-	-	-	26,761,458	(5,458,487)
Metropolitan Transportation Authority:	-	-	-	21,302,971	-	-	-	21,302,971	-	(35,457,621)
Transit and Commuter Rail Projects	-	-	-	-	-	-	-	-	-	-
Thruway Authority:	-	-	-	-	-	-	-	-	-	-
Dedicated Highway and Bridge	-	397,672,434	-	-	-	-	-	397,672,434	176,089,230	221,583,204
Local Highway and Bridge	-	21,772,000	-	-	-	-	-	21,772,000	36,892,075	(15,120,075)
Transportation	-	-	-	-	-	27,320,113	-	27,320,113	30,877,100	(3,556,987)
Urban Development Corporation:	-	-	-	-	-	-	-	-	-	-
Clarkson University	-	448,350	-	-	-	-	-	448,350	1,023,950	(575,600)
Columbia University Telecommunications Center	-	-	-	-	-	-	-	-	2,777,000	(2,777,000)
Consolidated Service Contract Refunding	-	78,840,807	-	-	-	-	-	78,840,807	170,037,784	(91,196,977)
Cornell University Supercomputer Center	-	-	-	-	-	-	-	-	362,000	(362,000)
Conditional Facilities	-	555,750	-	-	-	-	-	555,750	1,081,433	(525,683)
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	92,438,900	-	92,438,900	424,841,312	(332,402,412)
University Facilities Grant 95 Refunding	-	1,770,144	-	-	-	-	-	1,770,144	963,912	784,172
Total Disbursements for Special Contractual Financing Obligations	\$ -	\$ 67,015,381	\$ 26,157,902	\$ 21,302,971	\$ 7,086,959	\$ 441,938,157	\$ 239,836,331	\$ 1,407,546,701	\$ 1,635,048,119	\$ (227,701,418)

SCHEDULE 6

STATE OF NEW YORK
SUMMARY OF THE OPERATING FUND INVESTMENTS
FOR THE MONTH OF DECEMBER 2019
AS REQUIRED OF THE STATE COMPTROLLER
(amounts in millions)

	MONTH OF DECEMBER 2019	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE
SHORT TERM INVESTMENT POOL (*)			
AVERAGE DAILY INVESTMENT BALANCE (**)	\$ 18,640.1	\$ 18,875.2	\$ 16,387.7
AVERAGE YIELD (**)	1.741%	2.207%	2.100%
TOTAL INVESTMENT EARNINGS	\$ 26.681	\$ 320.783	\$ 250.380

Month-End Portfolio Balances

DESCRIPTION	DECEMBER 2019 PAR AMOUNT	DECEMBER 2018 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	\$ 4,244.5	\$ 1,694.0
REPURCHASE AGREEMENTS	199.0	28.4
COMMERCIAL PAPER	12,692.0	13,062.0
CERTIFICATES OF DEPOSIT/SAVINGS	2,936.8	2,955.6
0% COMPENSATING BALANCE CDs	8.0	168.0
	\$ 20,080.3	\$ 17,908.0

(*) 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	9 Months Ended December 31, 2019
OPENING CASH BALANCE	\$ -	\$ 543,140,525	\$ 283,562,198	\$ 300,393,092	\$ 420,298,155	\$ 136,965,831	\$ 79,863,323	\$ 152,028,064	\$ 223,908,390	-	-	-	\$ -
RECEIPTS:													
Cigarette Tax	63,203,605	59,470,644	57,339,173	75,425,457	63,446,255	59,381,304	65,507,143	57,797,138	68,931,372				570,802,091
State Share of NYC Cigarette Tax	2,069,000	2,175,000	1,926,000	1,929,000	2,141,000	1,867,000	2,219,000	1,792,000	1,701,000				17,821,000
Public Asset Transfers	489,440	763,845	1,363,166	1,015,764	1,230,925	1,065,268	821,077	676,664	571,892				6,220,656
Assessments	533,324,883	443,523,673	423,216,328	484,280,029	436,582,470	465,016,162	453,744,940	389,283,657	448,016,093				4,086,992,235
Fees	404,000	903,000	2,574,000	312,000	94,000	987,000	280,000	47,000	2,545,000				8,146,000
Rebates	4,761,424	392,419	6,001,122	13,400,488	1,044,971	3,626,158	9,624,821	3,786,088	3,599,685				46,207,276
Restitution and Settlements	-	-	-	-	-	-	-	-	-				-
Miscellaneous	-	-	-	-	-	-	-	-	-				-
Total Receipts	604,232,352	507,120,579	492,641,789	586,362,738	594,939,619	531,944,893	532,197,681	453,382,567	525,367,042	-	-	-	4,738,189,260
DISBURSEMENTS:													
Grants	57,389,600	753,460,762	467,314,026	461,209,200	773,350,315	580,722,220	448,489,176	368,204,270	531,251,288				4,442,419,766
Interest - Late Payments	1,007,000	72	1,654	1,654	331	105	1,003	55	1,871				6,114
Personal Service	541,446	1,589,857	1,742,462	1,042,316	944,621	1,006,723	1,635,676	1,037,444	392,788				9,933,313
Non-Personal Service	1,746,620	3,414,743	4,043,595	3,156,138	2,726,729	2,156,664	7,461,060	3,537,859	4,073,856				32,317,254
Employee Benefits/Indirect Costs	345,719	445,042	1,662,906	662,367	602,434	591,118	630,960	629,183	720,952				6,010,681
Total Disbursements	60,023,292	758,940,476	474,783,004	466,071,675	777,624,430	584,476,330	459,217,865	373,608,811	535,940,745	-	-	-	4,490,687,128
OPERATING TRANSFERS:													
Transfers to Capital Projects Fund	-	-	-	-	-	-	-	-	-				-
Transfers to General Fund	-	-	26,968	-	-	-	-	-	235,500				260,468
Transfers to Revenue Bond Trust Fund	-	-	-	-	3,027,025	3,754,806	-	-	-				6,781,831
Transfers to State Social Revenue Fund:													
Administration Program Account	-	350,000	-	386,000	-	-	-	385,000	-				1,121,000
Empire State Stem Cell Trust Account	-	6,661,750	-	-	6,661,750	-	-	6,661,750	-				19,985,250
Transfers to SUNY Income Fund	1,088,535	746,680	1,000,923	-	958,738	815,765	815,075	846,680	-				6,552,396
Total Operating Transfers	1,088,535	7,758,430	1,027,891	386,000	10,647,513	4,570,571	815,075	7,893,430	235,500	-	-	-	34,400,945
Total Disbursements and Transfers	61,091,827	766,698,906	475,810,895	466,457,675	788,271,943	589,047,401	460,032,940	381,502,241	536,174,245	-	-	-	4,525,088,073
CLOSING CASH BALANCE	\$ 543,140,525	\$ 283,562,198	\$ 300,393,092	\$ 420,298,155	\$ 136,965,831	\$ 79,863,323	\$ 152,028,064	\$ 223,908,390	\$ 213,101,187	\$ -	\$ -	\$ -	\$ 213,101,187

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2019-20

APPENDIX B

Program/Purpose	Appropriation Amount (*)	December	9 Months Ended December 31, 2019 (**)
CENTER FOR COMMUNITY HEALTH PROGRAM	\$ 8,752,000.00	\$ 221,334.63	\$ 2,326,087.04
CENTER FOR COMMUNITY HLTH	8,752,000.00	221,334.63	2,326,087.04
CHILD HEALTH INSURANCE PROGRAM	1,478,644,000.00	79,061,922.38	275,127,572.74
CHILD HEALTH INSURANCE	1,478,644,000.00	79,061,922.38	275,127,572.74
COMMUNITY SUPPORT PROGRAM	180,000.00	15,000.00	45,000.00
COMMUNITY SUPPORT	180,000.00	15,000.00	45,000.00
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	426,154,811.52	12,901,004.07	83,253,287.88
ELDERLY PHARMACEUTICAL INS COVERAGE	426,154,811.52	12,901,004.07	83,253,287.88
HEALTH CARE REFORM ACT PROGRAM	2,160,773,305.03	5,345,452.25	297,727,978.32
AIDS DRUG ASSISTANCE	205,250,000.00	-	20,000,000.00
AMBULATORY CARE TRAINING	13,520,000.00	67,817.67	1,039,703.97
AREA HEALTH EDUCATION CENTER	7,063,000.00	-	860,464.62
COMMISSIONER EMERGENCY DISTRIBUTIONS	24,700,000.00	-	216,097.76
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE	272,000,000.00	-	27,500,023.00
DIVERSITY IN MEDICINE	5,232,000.00	-	404,039.00
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)	13,780,000.00	-	3,444,996.00
HCRA PAYER / PROVIDER AUDITS	9,440,000.00	-	3,698,201.26
HEALTH FACILITY RESTRUCTURING DASNY	39,200,000.00	-	19,600,000.00
HEALTH WORKFORCE RETRAINING	210,010,300.00	231,635.19	3,960,005.70
INFERTILITY SERVICES GRANTS	24,781,746.00	29,592.88	525,276.29
MEDICAL INDEMNITY FUND	208,000,000.00	-	52,000,000.00
PART 405.4 HOSPITAL AUDITS NYCRR	2,200,000.00	33,730.67	448,716.15
PHYSICIAN EXCESS MEDICAL MALPRACTICE	382,200,000.00	-	105,100,000.00
PHYSICIAN LOAN REPAYMENT	34,465,000.00	17,500.00	4,683,194.76
PHYSICIAN LOAN REPAYMENT AND PRACTICE SUPPORT	1,000,000.00	-	-
PHYSICIAN PRACTICE SUPPORT	27,825,000.00	-	300,000.00
PHYSICIAN WORKFORCE STUDIES	3,964,200.00	145,000.00	1,642,909.72
POISON CONTROL CENTERS	8,440,000.00	-	622,498.06
POOL ADMINISTRATION	5,300,000.00	-	38,477,250.00
ROSWELL PARK CANCER INSTITUTE	102,606,000.00	-	-
RURAL HEALTH CARE ACCESS	50,000.00	-	-
RURAL HEALTH NETWORK	34,550,000.00	335,061.84	3,647,706.72
SCHOOL BASED HEALTH CENTERS	22,990,000.00	27,055.00	3,191,895.31
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	4,230,000.00	228,059.00	2,115,000.00
TRANSITION ACCT - PRIOR YEAR ALLOCATION	8,460,000.00	4,230,000.00	4,230,000.00
MEDICAL ASSISTANCE PROGRAM	489,526,059.03	-	-
HOME HEALTH RATE INCREASE	28,338,830,000.00	434,250,812.48	3,806,344,157.76
MEDICAID INDIGENT CARE	300,000,000.00	-	-
MEDICAL ASSISTANCE	5,348,000,000.00	104,250,812.48	705,344,157.76
PSNL CRE WRKR RECR & RETEN NYC (***)	21,806,630,000.00	330,000,000.00	3,101,000,000.00
PSNL CRE WRKR RECR & RETEN ROS (****)	816,000,000.00	-	-
NEW YORK STATE OF HEALTH	67,200,000.00	-	-
OFFICE OF HEALTH INSURANCE PROGRAM	53,398,000.00	2,878,018.89	18,360,386.31
OFFICE OF HEALTH INSURANCE	53,398,000.00	2,878,018.89	18,360,386.31
OFFICE OF HEALTH SYSTEMS MANAGEMENT	1,834,000.00	-	-
OFFICE OF HEALTH SYSTEMS MANAGEMENT	60,490,924.85	1,263,956.27	11,050,468.77
OFFICE OF LONG TERM CARE	2,477,800.00	-	-
ADULT HOME INITIATIVE	2,477,800.00	-	-
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	-	2,704,585.45
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	-	2,704,585.45
TOTAL	\$ 32,539,724,841.40	\$ 535,937,500.97	\$ 4,496,939,525.27
Redclass of SUNY Hospital Disprop Share to Transfer	-	-	(6,252,396.34)
Redclass of SUNY Hospital Poison Control Centers to Transfer	-	-	-
Redclass of SUNY Empire Clinical Research Investigator Program to Transfer	-	-	-
Reconciling Adjustment (P-Card and T-Card)	3,243.57	-	(0.95)
TOTAL REPORTED AMOUNT	\$ 32,539,724,841.40	\$ 535,940,744.54	\$ 4,490,687,127.98

(*) 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.

(***) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.

(****) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

APPENDIX C

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2019-20

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2019 OCTOBER	2019 NOVEMBER	2019 DECEMBER	2019-20
OPENING CASH BALANCE	\$ 284,899,772.70	\$ 217,136,341.70	\$ 349,275,252.28	\$ 308,305,439.98	\$ 217,967,940.95	\$ 284,899,772.70
RECEIPTS:						
Patient Services	901,482,254.94	1,104,136,349.72	287,061,537.50	206,465,580.61	413,211,360.81	2,912,357,083.58
Covered Lives	257,819,074.40	303,187,529.45	86,213,931.59	51,760,824.84	123,399,398.72	822,380,759.00
Provider Assessments	33,710,660.47	38,718,319.01	9,875,610.74	5,684,071.04	12,107,693.84	100,096,355.10
1% Assessments	101,375,334.00	108,247,260.00	36,089,468.00	33,250,463.00	38,105,382.00	317,067,907.00
DASNY - MOE/Recast receivables	-	-	-	-	-	-
Interest Income	214,148.16	222,300.29	45,907.12	34,495.74	47,464.32	564,315.63
Unassigned	25,420,354.00	(25,438,913.00)	2,983,526.00	(2,855,162.94)	1,878,159.94	1,987,964.00
Total Receipts	1,320,021,825.97	1,529,072,845.47	422,269,980.95	294,340,272.29	588,749,459.63	4,154,454,384.31
PROGRAM DISBURSEMENTS:						
Poison Control Centers	-	-	-	(2,400,000.00)	-	(2,400,000.00)
School Based Health Center Grants	-	-	-	-	(4,230,000.00)	(4,230,000.00)
ECRIP Distributions	-	-	(3,444,996.00)	-	-	(3,444,996.00)
Total Program Disbursements	-	-	(3,444,996.00)	(2,400,000.00)	(4,230,000.00)	(10,074,996.00)
Excess (Deficiency) of Receipts over Disbursements	1,320,021,825.97	1,529,072,845.47	418,824,984.95	291,940,272.29	584,519,459.63	4,144,379,388.31
OTHER FINANCING SOURCES (USES):						
Transfers From Other Pools:						
Medicaid Disproportionate Share	-	-	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	12,273,811.00	12,910,960.00	4,376,089.00	4,461,972.00	4,004,925.00	38,027,757.00
Transfers From State Funds:						
HCRA Resources Fund	-	-	3,444,996.00	2,400,000.00	4,230,000.00	10,074,996.00
Total Other Financing Sources	12,273,811.00	12,910,960.00	7,821,085.00	6,861,972.00	8,234,925.00	48,102,753.00
Transfers To Other Pools:						
Medicaid Disproportionate Share	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers To State Funds:						
HCRA Resources Fund	(1,211,212,716.72)	(1,061,871,734.43)	(403,657,248.14)	(389,139,743.32)	(343,436,586.22)	(3,409,318,028.83)
Indigent Care Fund - Matched	(189,777,239.46)	(325,895,043.33)	(63,992,967.38)	-	(104,661,389.06)	(684,326,639.23)
Indigent Care Fund - Unmatched	930,888.21	(22,078,117.13)	34,333.27	-	79,882.06	(21,033,013.59)
Total Other Financing Uses	(1,400,059,067.97)	(1,409,844,894.89)	(467,615,882.25)	(389,139,743.32)	(448,018,093.22)	(4,114,677,681.65)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(67,763,431.00)	132,138,910.58	(40,969,812.30)	(90,337,499.03)	144,736,291.41	77,804,459.66
CLOSING CASH BALANCE	\$ 217,136,341.70	\$ 349,275,252.28	\$ 308,305,439.98	\$ 217,967,940.95	\$ 362,704,232.36	\$ 362,704,232.36

Source: HCRA - Office of Pool Administration

APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2019-20

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2019 OCTOBER	2019 NOVEMBER	2019 DECEMBER	2019-20
OPENING CASH BALANCE	\$ 2,224.49	\$ 1,198.39	\$ 9,008.14	\$ 781.92	\$ -	\$ 2,224.49
RECEIPTS:						
Interest Income	4,789.67	11,549.28	781.92	-	1,493.26	18,614.13
Total Receipts	<u>4,789.67</u>	<u>11,549.28</u>	<u>781.92</u>	-	<u>1,493.26</u>	<u>18,614.13</u>
PROGRAM DISBURSEMENTS:						
Indigent Care	(189,777,239.46)	(223,008,636.27)	(64,167,030.38)	-	(104,661,389.06)	(581,614,295.17)
High Need Indigent Care	-	-	-	-	-	-
Other	945,583.86	(120,704,277.72)	977,753.27	-	1,618,596.06	(117,162,344.53)
Total Program Disbursements	<u>(188,831,655.60)</u>	<u>(343,712,913.99)</u>	<u>(63,189,277.11)</u>	-	<u>(103,042,793.00)</u>	<u>(698,776,639.70)</u>
Excess (Deficiency) of Receipts over Disbursements	<u>(188,826,865.93)</u>	<u>(343,701,364.71)</u>	<u>(63,188,495.19)</u>	-	<u>(103,041,299.74)</u>	<u>(698,758,025.57)</u>
OTHER FINANCING SOURCES (USES):						
Transfers From Other Pools:						
Public Goods Pool	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers From State Funds:						
HCRA Resources Indigent Care - Matched	94,888,619.73	162,947,521.68	31,996,483.69	-	52,330,694.53	342,163,319.63
HCRA Resources Indigent Care - Unmatched	(930,888.21)	20,125,941.66	(34,333.27)	-	(79,882.06)	19,080,838.12
HCRA Resources Indigent Care - ATB	-	-	-	-	-	-
Federal DHHS Fund	94,888,619.73	162,947,521.65	31,996,483.69	-	52,330,694.53	342,163,319.60
Other	-	-	-	-	-	-
Total Other Financing Sources	<u>188,846,351.25</u>	<u>346,020,984.99</u>	<u>63,958,634.11</u>	-	<u>104,581,507.00</u>	<u>703,407,477.35</u>
Transfers To Other Pools:						
Public Goods Pool	-	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-	-
Transfers To State Funds:						
HCRA Resources Fund Indigent Care Acct	(20,511.42)	(2,311,810.53)	(778,365.14)	(781.92)	(1,538,714.00)	(4,650,183.01)
Total Other Financing Uses	<u>(20,511.42)</u>	<u>(2,311,810.53)</u>	<u>(778,365.14)</u>	<u>(781.92)</u>	<u>(1,538,714.00)</u>	<u>(4,650,183.01)</u>
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	<u>(1,026.10)</u>	<u>7,809.75</u>	<u>(8,226.22)</u>	<u>(781.92)</u>	<u>1,493.26</u>	<u>(731.23)</u>
CLOSING CASH BALANCE	\$ 1,198.39	\$ 9,008.14	\$ 781.92	\$ -	\$ 1,493.26	\$ 1,493.26

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	\$ -	\$ -	\$ 25	\$ 1	\$ -	\$ 12	\$ -	\$ 10			\$ 69
Education - EXCEL	-	2,109	221	2,703	2,354	1,566	789	-	202	-	-	-	9,944
Department of Health - All Other	-	-	-	-	51	3	-	-	-	-	-	-	54
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
Regional Development													
Community Capital Assistance Program (CCAP)/RESTORE	647	1,183	11	788	309	590	242	368	677	-	-	-	4,815
Multi-modal	37	-	-	-	-	-	-	-	-	-	-	-	37
GenNysis	-	-	-	-	-	-	-	-	-	-	-	-	-
CUNY Senior Colleges	19,134	18,022	14,341	23,762	10,916	28,143	20,932	9,312	27,400	-	-	-	171,962
CUNY Community Colleges	2,965	2,554	975	5,101	780	5,980	4,606	3,607	5,800	-	-	-	32,368
SUNY Dormitories	-	-	-	-	-	-	-	-	-	-	-	-	-
Upstate Community Colleges	-	-	-	-	-	-	-	-	-	-	-	-	-
Mental Health	9,238	13,563	4,697	25,605	5,907	28,243	14,194	4,498	18,956	-	-	-	124,901
Developmental Disabilities	1,109	1,614	462	2,044	682	2,065	1,870	1,865	2,315	-	-	-	14,026
Alcoholism and Substance Abuse	158	274	190	302	304	671	162	233	429	-	-	-	2,723
Brooklyn Court Officer Training Academy	23	36	-	192	-	780	39	2	1	-	-	-	1,073
TOTAL DORMITORY AUTHORITY	33,311	39,376	20,897	60,522	21,304	68,041	42,846	19,885	55,790	-	-	-	361,972
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	\$ 60,522	\$ 21,304	\$ 68,041	\$ 42,846	\$ 19,885	\$ 55,790	\$ -	\$ -	\$ -	\$ 361,972

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	September 30, 2019	October 31, 2019	November 30, 2019	Change	December 31, 2019
10050	GENERAL FUND					
	STATE OPERATIONS AND LOCAL ASSISTANCE	\$ -	\$ -	\$ -	\$ -	\$ -
	TOTAL GENERAL FUND					
		\$ -	\$ -	\$ -	\$ -	\$ -
	CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS					
30051	HIGHWAY AND BRIDGE CAPITAL	246,467,651.24	96,164,503.22	116,902,614.07	43,556,397.58	160,459,011.65
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	D16RVE- HSC SYRACUSE	-	-	-	-	-
30117	REHAB/REPAIR BROOKPORT	-	-	-	-	-
30118	D02RVE- BROOKPORT	-	-	-	-	-
30119	REHAB/REPAIR BUFFALO COLLEGE	-	-	-	-	-
30120	D03RVE- SUB BUFFALO	-	-	-	-	-
30121	REHAB/REPAIR CORTLAND	-	-	-	-	-
30122	D04RVE- CORTLAND	-	-	-	-	-
30123	REHAB/REPAIR FREDONIA	-	-	-	-	-
30124	D06RVE- FREDONIA	-	-	-	-	-
30125	REHAB/REPAIR GENESEO	-	-	-	-	-
30126	D08RVE- 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	-	-	145,547.19	(176.53)	145,370.66
30134	D10RVE- OSWEGO	-	-	-	-	-
30135	REHAB/REPAIR PLATTSBURGH	-	-	-	-	-
30136	D11RVE- PLATTSBURGH	-	-	-	-	-
30137	REHAB/REPAIR POTSDAM	-	-	-	-	-
30138	D12RVE- POTSDAM	-	-	-	-	-
30139	REHAB/REPAIR PURCHASE	-	-	-	-	-
30140	D28RVE- 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	D23RVE- DELHI	-	-	-	-	-
30151	REHAB/REPAIR FARMINGDALE	-	-	-	-	-
30152	D28RVE- FARMINGDALE	-	-	-	-	-
30153	REHAB/REPAIR MORRISVILLE	-	-	-	-	-
30154	D27RVE- MORRISVILLE	-	-	-	-	-
30351	STATE PARK INFRASTRUCTURE	84,939,002.69	83,931,487.20	94,023,371.07	8,738,880.46	102,762,251.53
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	152,839,377.84	160,394,940.12	164,798,490.98	5,945,973.21	170,744,464.19
31701	YOUTH FACILITIES IMPROVEMENT	24,561,924.14	13,769,727.98	14,536,893.34	2,088,977.97	16,625,871.31
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	52,730,659.79	-	-	-	-
31852	HOUSING PROG FD AFFORD HSG CORP	56,780,924.15	56,780,924.15	56,780,924.15	5,465,416.00	62,246,340.15
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	135,658,911.98	135,658,911.98	135,658,911.98	-	135,658,911.98
31854	HOUSING PROG FD-HFA	-	-	-	-	-
31951	HIGHWAY FAC PURPOSE	12,290,173.24	12,290,173.24	12,262,315.99	(292,857.00)	11,969,463.99

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	September 30, 2019	October 31, 2019	November 30, 2019	Change	December 31, 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	-	-	-	160,034.24	160,034.24
32219	NY ENVIRONMENTAL PROTECTION & SPILL REMEDIATION	-	-	-	-	-
32301	OPWDD-STATE FACILITIES PRE 12/99	-	-	-	-	-
32302	DSAS-COMMUNITY FACILITIES	-	-	-	-	-
32303	OMH-COMMUNITY FACILITIES	136,756,845.01	132,556,937.83	122,972,708.42	2,315,995.44	125,288,703.86
32304	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32305	OASAS-COMMUNITY FACILITIES	199,487,437.85	197,078,193.90	195,514,343.74	(12,201,896.10)	183,312,447.64
32306	DASNY - OMH ADMIN	-	-	-	-	-
32307	DASNY - OPWDD ADMIN	2,359,597.75	2,359,597.75	2,895,339.49	-	2,895,339.49
32308	DASNY - OASAS ADMIN	458,493.08	1,295,493.08	883,591.20	-	883,591.20
32309	OMH - STATE FACILITIES	56,724,161.57	67,861,643.87	76,418,255.99	14,695,302.67	91,113,558.66
32310	OPWDD - STATE FACILITIES	4,548,163.38	5,575,843.38	5,575,843.38	-	5,575,843.38
32311	OASAS - STATE FACILITIES	-	0.38	0.38	115,787.00	115,787.38
32351	CORR - FACILITIES CAPITAL IMPROVEMENT	-	-	-	-	-
32352	DOCS-REHABILITATION PROJECTS	365,966,742.42	212,125,611.96	256,357,272.49	47,783,436.97	304,140,709.46
32353	CORR - FACILITIES CAPITAL CLOSURE	-	-	-	-	-
33001	STORM RECOVERY ACCOUNT	63,095,863.04	49,501,244.83	51,563,160.90	(1,421,362.33)	50,141,798.57
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	1,608,767,845.61	1,240,460,891.93	1,320,385,301.82	116,953,974.58	1,437,338,276.40

STATE SPECIAL REVENUE FUNDS

20401	DOL-CHILD PERFORMER PROTECTION ACCOUNT	-	-	-	-	-
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	67,593,961.38	3,518,174.10	6,065,650.36	79,071,922.38	85,137,572.74
20818	EPIC PREMIUM ACCOUNT	7,170,180.45	-	-	1,661,511.82	1,661,511.82
20901	LOTTERY-EDUCATION	1,380,191,261.75	1,186,420,072.59	1,028,717,790.91	(159,901,499.30)	868,816,291.61
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	3,752,358.56	3,836,597.46	3,901,061.04	64,463.58	3,965,524.62
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	259,790.78	1,171,608.93	1,795,284.08	(1,541,661.25)	251,602.83
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	3,828,024.49	4,052,537.06	3,732,771.93	274,676.79	4,007,448.72
21067	ENCON-RECREATION	-	-	-	-	-
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	58,491,726.19	54,527,480.90	52,133,743.19	2,972,332.69	55,106,075.88
21082	NATURAL RESOURCES ACCOUNT	12,860,444.32	12,884,519.19	13,048,633.44	289,410.37	13,338,043.81
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	-	68.64	15,971.23	(15,971.23)	-
21202	HEALTH DEPT OIL SPILL	-	-	3,545.60	(3,545.60)	-
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	-	-	435,038.67	(434,465.21)	573.66
21204	OIL SPILL COMPENSATION	96.00	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	-	131,523,653.70	227,219,128.01	358,742,781.71
21402	METROPOLITAN MASS TRANSPORTATION	30,334,012.87	24,893,143.96	28,428,771.26	528,581.84	28,958,353.10
21451	OPERATING PERMIT PROGRAM	4,338,988.21	4,440,996.10	3,438,670.45	2,068,792.91	5,505,463.36
21452	MOBILE SOURCE	-	-	-	-	-
21902	HEALTH-SPARC'S	11,590,323.15	8,045,774.92	12,364,465.48	(192,786.06)	12,171,679.42
21905	THRUWAY AUTHORITY ACCT	-	-	-	-	-
21907	MENTAL HYGIENE PROGRAM	-	-	-	-	-
21909	MENTAL HYGIENE PATIENT INCOME ACCOUNT	-	-	-	-	-
21911	FINANCIAL CONTROL BOARD	696,002.30	234,523.16	468,407.45	169,863.94	638,271.39
21912	RACING REGULATION ACCOUNT	1,149,544.34	1,819,601.98	2,298,616.56	175,255.47	2,473,872.03
21913	NY METROPOLITAN TRANSPORATION COUNCIL	-	-	-	-	-
21937	SU DORM INCOME REIMBURSE	47,765.20	185,757.35	209,701.05	(79,091.13)	130,609.92
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	-	-
21959	ENV LAB REF FEE	-	-	-	-	-
21961	TRAINING, MANAGEMENT AND EVALUATION ACCOUNT	403,825.51	567,895.41	498,612.55	(106,424.80)	392,187.75
21962	CLINICAL LAB FEE	11,107,514.67	9,457,941.62	10,295,608.82	602,871.94	10,898,480.76
21978	INDIRECT COST RECOVERY	-	-	-	-	-
21979	HIGH SCHOOL EQUIVALENCY PROGRAM	-	-	-	-	-
21989	MULTI - AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	BELL JAR COLLECTION ACCOUNT	-	-	-	-	-
22004	INDUSTRY AND UTILITY SERVICE	-	-	-	-	-
22006	REAL PROPERTY DISPOSITION	-	-	-	-	-
22007	PARKING ACCOUNT	-	-	-	-	-
22008	COURTS SPECIAL GRANTS	-	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	16,353.19	-	1,599.03	(1,599.03)	-
22017	CAMP SMITH BILLETING ACCOUNT	-	-	-	-	-
22032	BATAVIA SCHOOL FOR THE BLIND	12,114,628.14	12,876,861.42	13,870,087.47	745,277.12	14,615,364.59
22034	INVESTMENT SERVICES	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	September 30, 2019	October 31, 2019	November 30, 2019	Change	December 31, 2019
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-
22039	FINANCIAL OVERSIGHT	871,855.38	351,556.01	618,347.29	275,016.13	893,363.42
22046	REGULATION INDIAN GAMING	83,896,282.10	85,360,909.11	86,752,886.35	641,359.22	87,394,247.57
22053	ROME SCHOOL FOR THE DEAF	4,099,848.07	4,618,525.58	5,413,280.09	600,408.96	6,013,689.05
22054	DSP-SEIZED ASSETS	3,024,220.92	2,890,550.49	2,076,562.27	(139,947.72)	1,936,614.55
22055	ADMINISTRATIVE ADJUDICATION	22,870,564.08	23,552,984.95	23,178,283.24	(7,620,959.29)	15,557,323.95
22056	FEDERAL SALARY SHARING	1,007,783.91	1,159,446.58	1,380,258.31	107,602.37	1,487,860.68
22062	NYC ASSESSMENT ACCT	-	-	-	-	-
22063	CULTURAL EDUCATION ACCOUNT	6,452,098.82	6,539,092.69	6,797,657.24	(310,565.09)	6,487,072.15
22078	LOCAL SERVICE ACCOUNT	-	-	-	-	-
22078	DHCR MORTGAGE SERVICES	15,200,348.81	15,583,211.17	15,750,007.78	163,884.93	15,913,892.71
22085	HDCR INDIRECT COST RECOVERY	-	-	-	-	-
22090	DHCR-HOUSING CREDIT AGENCY APPLY FEE	-	-	-	-	-
22100	LOW INCOME HOUSING CREDIT MONITORING	6,856,688.40	7,607,717.18	7,824,700.25	180,267.32	8,004,967.57
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONROSE VETERAN'S HOME	423,546.55	-	227,840.84	(227,840.84)	-
22151	DEFERRED COMPENSATION ADMIN	130,193.47	198,335.89	72,792.60	52,462.36	125,254.96
22156	RENT REVENUE OTHER - NYC	8,392,107.17	-	-	-	-
22158	RENT REVENUE	-	-	-	-	-
22168	TAX REVENUE ARREARAGE ACCOUNT	30,701.35	77,716.83	154,015.36	94,420.98	248,436.34
22188	NY'S MEDICAL INDEMNITY FUND ACCOUNT	20,422,464.72	20,460,053.90	20,494,962.62	30,477.32	20,525,439.94
22240	S.U. NON-RESIDENT REV. OFFSET	-	-	-	-	-
22694	LANE GEORGE PARK TRUST FUND	-	-	-	-	-
22751	STATE POLICE MV ENFORCE	-	-	-	-	-
22802	DOT - HIGHWAY SAFETY PRGM	13,935,792.51	14,236,534.72	14,378,728.59	392,345.71	14,771,072.30
23001	DOH DRINKING WATER PROGRAM	5,350,949.70	5,350,949.70	5,350,949.70	-	5,350,949.70
23102	NYCCC OPERATING OFFSET	45,011,285.29	48,600,615.64	50,962,024.83	2,557,919.39	53,519,944.22
23151	COMMERCIAL GAMING REVENUE	-	-	-	-	-
23701	COMMERCIAL GAMING REGULATION	15,670,129.90	16,062,100.53	16,485,452.16	384,431.60	16,869,883.76
23702	INTERSTATE RECIPROcity FOR POST SEC DIST ED	-	-	-	-	-
23800	HIGHWAY USE TAX ADMIN	-	-	-	-	-
23801	NY'S SECURE CHOICE ADMIN	-	-	-	-	-
23806	FANTASY SPORTS ADMINISTRATION	-	-	-	-	-
24951	FANTASY SPORTS ADMINISTRATION	-	-	-	-	-
	TOTAL STATE SPECIAL REVENUE FUNDS	1,861,286,883.65	1,583,256,047.76	1,572,835,613.99	150,748,308.60	1,723,583,922.59
	FEDERAL FUNDS					
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	14,459,282.49	11,174,513.06	22,138,247.34	(6,850,718.88)	15,287,528.46
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	454,714,186.56	531,299,490.93	211,306,904.22	427,328,508.23	638,635,412.45
25200-25249	FEDERAL EDUCATION GRANTS FUND	36,449,057.51	38,252,988.95	38,928,881.04	1,706,277.17	40,635,158.21
25250-25299	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-
25300-25399	FEDERAL OPERATING GRANTS	441,785,088.97	451,777,498.59	418,091,127.23	41,628,075.80	459,719,203.03
31351	MILITARY AND NAVAL AFFAIRS	8,756,661.66	8,756,661.66	8,756,661.66	-	8,756,661.66
31354	DEPARTMENT OF TRANSPORTATION	421,863,466.68	508,738,497.47	484,905,655.79	(24,777,358.93)	460,128,296.86
31350-31449	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	128,754,802.18	85,252,330.97	87,809,428.82	21,023,633.90	108,833,062.72
25800-25849	UNEMPLOYMENT INSURANCE ADMINISTRATION	7,767,661.06	13,659,237.32	12,236,467.81	(1,671,494.40)	10,564,973.51
25950	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	447,890.49	380,610.99	318,486.99	159,472.00	7,777,858.89
26001-26049	DOL EMPLOYMENT AND TRAINING GRANTS	2,443,727.72	2,301,124.66	5,773,118.47	1,621,568.63	7,394,685.30
	TOTAL FEDERAL FUNDS	1,517,480,825.30	1,631,572,955.62	1,290,264,917.47	460,167,963.72	1,750,432,941.19
	AGENCY FUNDS					
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-
	TOTAL AGENCY FUNDS	-	-	-	-	-
	ENTERPRISE FUND					
50318	OGS CONVENTION CENTER ACCOUNT	364,808.82	370,140.91	345,221.79	2,777.39	347,999.18
50327	EMPIRE PLAZA GIFT SHOP	253,673.44	281,160.31	304,968.44	(8,947.32)	296,041.12
	TOTAL ENTERPRISE FUND	618,482.26	651,301.22	650,210.23	(6,169.93)	644,040.30
	INTERNAL SERVICE FUNDS					
55001	CENTRALIZED SERVICES-FLEET MGMT	-	-	-	-	-
55002	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-
55003	CENTRALIZED SERVICES-PRINTING	1,369,170.05	1,386,750.47	1,324,819.02	12,611.75	1,337,430.77
55004	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	-	-	-	-	-
55005	CENTRALIZED SERVICES-DONATED FOODS	-	-	-	-	-
55006	CENTRALIZED SERVICES-PERSONAL PROPERTY	3,082,395.03	3,187,134.90	3,516,513.30	1,002.18	3,517,515.48
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	10,601,662.24	10,548,652.67	12,588,557.36	560,190.94	13,148,746.30
55008	CENTRALIZED SERVICES-PASNY	-	-	-	-	-
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	12,341,112.22	16,289,386.26	12,271,049.05	3,953,909.68	16,224,958.73
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	4,715,716.82	2,286,953.91	-	-	-
55011	CENTRALIZED SERVICES-INSURANCE	176,773.30	173,250.30	157,991.30	35,461.00	193,452.30
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	-	-	-	-	-
55013	CENTRALIZED SERVICES-COPS	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	September 30, 2019	October 31, 2019	November 30, 2019	Change	December 31, 2019
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55015	CENTRALIZED SERVICES-HOMER FOLKS	-	-	-	-	-
55016	CENTRALIZED SERVICES-IMMICS	1,734,559.73	1,608,643.92	1,565,919.79	62,646.68	1,629,566.47
55017	DOWNSSTATE WAREHOUSE	424,911.57	393,527.51	248,638.45	23,222.66	271,861.11
55018	BUILDING ADMINISTRATION	-	-	3,954,819.15	451,899.91	4,406,719.06
55019	LEASE SPACE INITIATIVE	-	-	-	-	-
55020	OGS ENTERPRISE CONTRACTING ACCT	55,408,261.05	56,897,173.04	61,261,079.71	2,554,697.23	63,815,776.94
55021	NYS MEDIA CENTER	6,780,906.74	7,146,143.73	6,977,640.35	295,404.25	7,273,044.60
55022	BUSINESS SERVICES CENTER	13,129,843.36	16,002,896.11	17,918,524.05	2,187,554.45	20,106,078.50
55052	ARCHIVES RECORD MGMT I.S.	-	-	-	-	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	-	-	-	-	-
55057	BANKING SERVICES ACCOUNT	78,721.59	127,926.02	11,046.39	477,886.68	488,933.07
55058	CULTURAL RESOURCE SURVEY	2,118,430.68	1,590,562.74	1,800,873.45	249,096.97	2,049,970.42
55059	NEIGHBOR WORK PROJECT	11,131,337.10	11,170,908.49	10,958,347.84	(188,041.19)	10,770,306.65
55060	AUTOMATIC/PRINT CHARGEBACKS	470,917.46	2,187,084.16	3,378,751.17	841,311.13	4,497,046.76
55061	OFT NYT ACCT	2,392,055.47	2,239,828.23	2,239,828.23	-	2,239,828.23
55062	DATA CENTER ACCOUNT	45,381,789.50	45,381,789.50	44,947,967.77	126,879.76	45,074,847.53
55066	CYBER SECURITY INTRUSION ACCT	1,361,584.27	1,361,584.27	1,361,584.27	-	1,361,584.27
55067	DOMESTIC VIOLENCE GRANT	94,639.50	113,628.58	93,582.92	26,452.53	120,045.45
55069	CENTRALIZED TECHNOLOGY SERVICES	53,945,669.23	58,630,619.65	53,910,063.38	(2,196,565.15)	51,711,438.23
55071	LABOR CONTRACT CENTER ACCT	152,368.24	355,012.60	658,385.59	166,361.66	824,767.45
55072	HUMAN SERVICES CONTACT CNTR ACCT	-	1,082,430.62	-	331,462.26	331,462.26
55073	TAX CONTRACT CENTER ACCT	696,689.36	-	-	-	-
55074	CIVIL RECOVERIES ACCT	-	-	-	-	-
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	11,146,308.44	11,591,737.73	11,828,808.19	219,233.12	12,048,041.31
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	40,222,262.84	28,998,668.41	31,505,372.94	(13,530,311.71)	17,975,061.23
55300	HEALTH INSURANCE INTERNAL SERVICE	14,716,570.77	15,325,716.40	15,884,268.49	3,392,153.32	19,276,421.81
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	1,078,644.74	1,253,352.12	1,363,101.40	108,749.28	1,472,850.68
55350	CORR INDUSTRIES INTERNAL SERVICE	31,299,237.49	32,666,060.68	33,974,055.38	1,066,841.55	35,040,896.93
	TOTAL INTERNAL SERVICE FUNDS	325,815,478.79	330,280,635.02	335,579,538.94	(2,129,600.03)	333,449,938.91
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	\$ 5,313,379,320.61	\$ 4,806,221,791.55	\$ 4,519,715,642.45	\$ 725,734,416.94	\$ 5,245,450,059.39

(*) 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 12 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).

APPENDIX G

	2019 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2020 JANUARY	FEBRUARY	MARCH	9 Months Ended December 31, 2019
OPENING CASH BALANCE	\$ 16,298,833	\$ 228,895,088	\$ 67,983,418	\$ 126,634,302	\$ 99,294,725	\$ 98,280,268	\$ 131,509,913	\$ 78,080,573	\$ 39,558,861	-	-	-	\$ 16,298,833
RECEIPTS:													
Transfers from General Fund (**)	250,000,000	-	200,000,000	50,000,000	70,000,000	100,000,000	100,000,000	70,000,000	170,000,000	-	-	-	1,010,000,000
Total Receipts	250,000,000	-	200,000,000	50,000,000	70,000,000	100,000,000	100,000,000	70,000,000	170,000,000	-	-	-	1,010,000,000
DISBURSEMENTS:													
Affordable and Homeless Housing	-	1,460,000	18,258,090	-	1,574,403	25,407,411	1,811,458	78,558,285	1,076,930	-	-	-	128,146,577
Broadband Initiative	1,906,857	22,713,440	5,454,209	12,367,387	1,905,302	6,084,561	13,381,336	770,343	6,031,925	-	-	-	70,616,390
Downtown Revitalization	-	-	516,408	151,311	161,511	63,446	192,519	377,688	1,548,901	-	-	-	3,013,779
Health Care / Hospital Initiatives (***)	1,376,141	69,909,227	2,203,139	5,379,040	1,033,482	2,853,386	2,108,372	(26,857,805)	(25,673,320)	-	-	-	29,534,262
Empire State Poverty Reduction Initiatives	1,174,678	643,317	1,630,974	1,884,546	638,637	2,373,357	1,747,976	998,069	4,022,033	-	-	-	15,113,597
Information Technology/Infrastructure for Behavioral Sciences	-	-	-	-	-	-	-	-	-	-	-	-	-
Infrastructure Improvements	-	298,303	697,554	604,723	62,372	3,874	215,879	-	771,428	-	-	-	2,553,933
Infrastructure Expansion	-	-	87,959,899	-	-	-	77,053,217	-	108,284,862	-	-	-	271,278,038
Life Sciences Initiative	-	-	-	-	500,000	4,420	-	-	2,500,000	-	-	-	3,004,420
Municipal Restructuring / Consolidation Competition	1,257,796	1,322,544	884,297	584,993	1,239,887	68,308	161,331	1,527,320	1,252,791	-	-	-	8,290,287
Penn. Station Access	-	-	-	-	-	-	-	-	-	-	-	-	-
Resiliency, Mitigation, Security and Emergency Response	32,703	4,101,595	100,755	8,723	(953)	-	(14,140)	-	-	-	-	-	4,228,683
Southern Tier / Hudson Valley Farm Initiative	10,000	73,340	4,871	20,000	173,311	-	1,277,455	4,191	155,951	-	-	-	1,719,119
Thruway Stabilization Program	15,983,205	29,132,267	20,630,646	42,058,113	49,057,748	25,685,242	42,024,591	40,235,999	29,622,000	-	-	-	294,434,808
Transformative Economic Development Projects	5,122,897	8,707,914	1,701	4,492,613	2,754,194	2,500,000	1,104	3,107,627	5,602,004	-	-	-	32,290,054
Transportation Capital Plan	-	-	-	(3,626)	-	-	-	-	-	-	-	-	(3,626)
Upstate Revitalization Program	10,833,898	25,249,723	3,102,575	9,791,754	11,923,563	1,728,351	13,468,442	9,600,000	33,485,409	-	-	-	119,161,684
Total Disbursements	37,703,745	160,611,670	141,349,116	77,339,577	71,014,457	66,770,355	153,429,340	108,521,712	166,640,943	-	-	-	983,380,915
OPERATING TRANSFERS:													
Transfers to General Fund	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Disbursements and Transfers	37,703,745	160,611,670	141,349,116	77,339,577	71,014,457	66,770,355	153,429,340	108,521,712	166,640,943	-	-	-	983,380,915
CLOSING CASH BALANCE	\$ 228,595,088	\$ 67,983,418	\$ 126,634,302	\$ 99,294,725	\$ 98,280,268	\$ 131,509,913	\$ 78,080,573	\$ 39,558,861	\$ 42,917,918	\$ -	\$ -	\$ -	\$ 42,917,918

(*) 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

(***) November and December disbursement amounts include repayment of a loan pursuant to Public Health Law §2615.