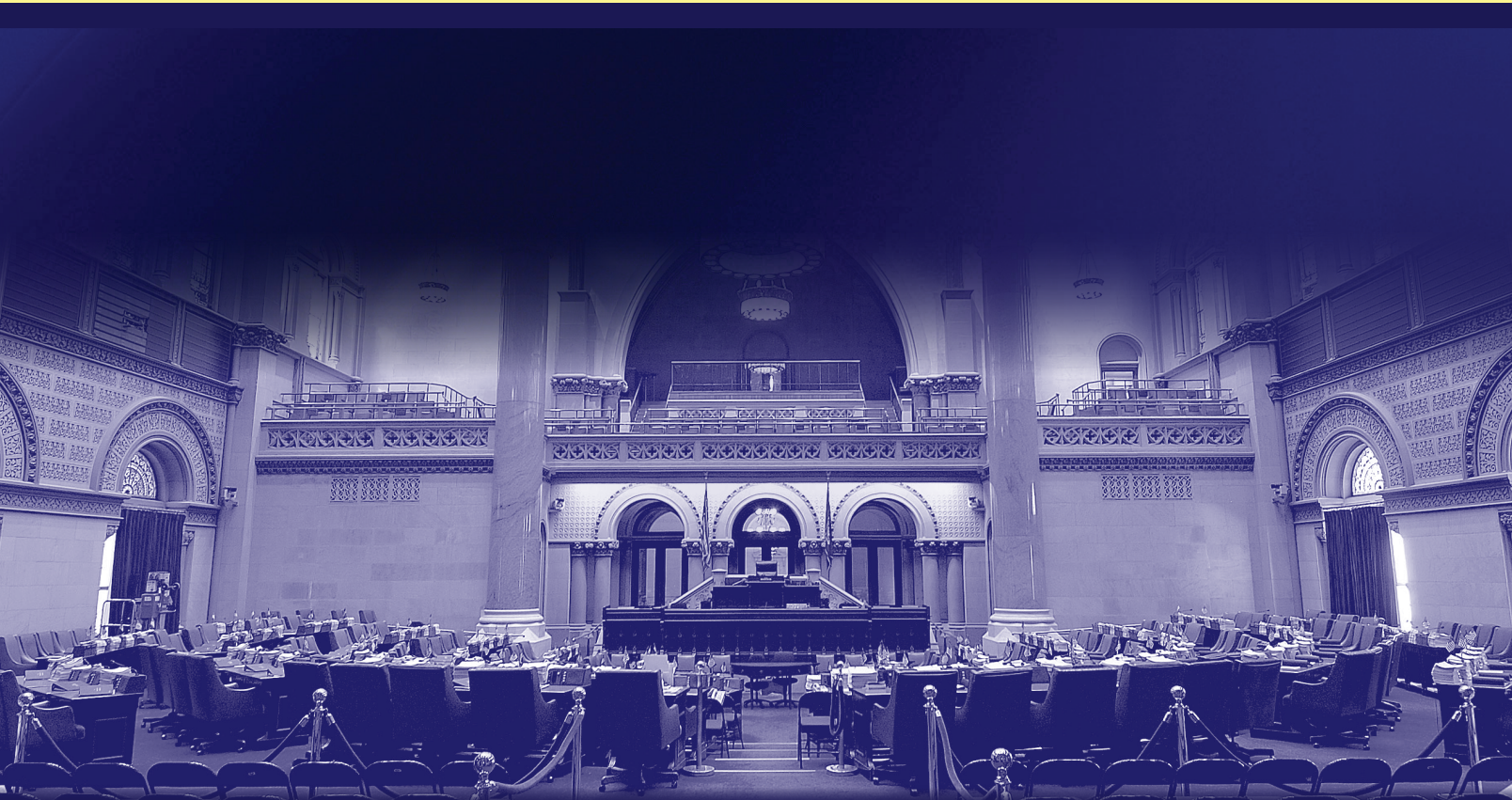




SECTION II

Summary of Recommended Appropriations by Agency



SECTION TWO

**Summary of Recommended Appropriations By Agency
State Fiscal Year 2013-14**

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PUBLIC PROTECTION & GENERAL GOVERNMENT

**Summary of Recommended Appropriations
By Agency**

DIVISION OF ALCOHOLIC BEVERAGE CONTROL

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	17,001,000	18,893,000	1,892,000	11.1%
Total for AGENCY SUMMARY:	17,001,000	18,893,000	1,892,000	11.1%

Agency Mission

The Division of Alcoholic Beverage Control (Division) regulates and controls the manufacture, sale and distribution of alcoholic beverages within the state. The Division also issues and renews licenses and permits to manufacturers, distributors, wholesalers and retailers and works with local law enforcement agencies to ensure compliance with the Alcohol Beverage Control law.

Budget Summary

The Executive Budget recommends an All Funds appropriation of \$18.9 million for the Division, which reflects an increase of \$1.9 million or 11 percent over the State Fiscal Year (SFY) 2012-13 funding level. The increase provides for growth in costs related to the implementation and development of the statewide e-Licensing Project, which will streamline and improve the processing of license applications.

The Executive Budget recommends funding for a workforce of 127 full-time equivalent positions, which reflects no change from the SFY 2012-13 staffing level.

State Operations Appropriations

(A. 3000)

The Executive Budget recommends \$18.9 million in State Operations appropriations, an increase of \$1.9 million over the current funding level. The increased amount provides for the following recommendations:

- \$1 million for e-licensing;
- \$236,000 reflect additional NPS for e-licensing and the call center;
- \$219,000 for mandated collective bargaining increases; and
- \$218,000 to cover the cost of fringe benefit and indirect cost rate adjustments.

In addition, under the Executive proposal New York City and the ABC would partner to administer a program designed to prevent underage drinking; an appropriation of \$200,000 is provided in anticipation of a federal grant.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	127	127	0
TOTAL:	127	127	0

DEPARTMENT OF AUDIT AND CONTROL

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	272,259,000	273,089,000	830,000	0.3%
AID TO LOCALITIES	32,025,000	32,025,000	0	0.0%
Total for AGENCY SUMMARY:	304,284,000	305,114,000	830,000	0.3%

Agency Mission

The Department of Audit and Control (Department) is responsible for paying the state's bills and payrolls, verifying all financial transactions of the state, reviewing the financial and management practices of state agencies, supervising the fiscal affairs of local governments, investing state funds, issuing bonds and notes, and administering the retirement program for the state and most local government employees. The Department has its main office in Albany and regional offices in New York City, Buffalo, Rochester, Syracuse, Binghamton, Glens Falls, Newburgh, and Hauppauge.

Budget Summary

The Executive recommends \$305.1 million in All Funds appropriations for the Department of Audit and Control reflecting a slight increase of 0.3 percent or \$830,000.

The Executive recommends a workforce of 2,614 full-time equivalent (FTE) positions reflecting no change from the current State Fiscal Year (SFY) 2012-13 staffing level.

State Operations Appropriations

(A. 3000)

The Executive recommends an All Funds State Operations appropriation of \$273.1 million which represents a slight net increase of \$830,000 and reflects the following:

- \$38.3 million is recommended for the Chief Information Office Program, reflecting a \$1.8 million increase over the current year, which reflects a change in internal accounting of IT contracts;

- \$44.9 million is recommended to fund the State and Local Accountability Program reflecting a net increase of \$129,000 over current year funding level; and
- \$44.9 million is recommended to support the State Operations Program, a net decrease of \$1.1 million over current year funding level of \$46 million.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	1,384	1,384	0
All Other Funds:	1,230	1,230	0
TOTAL:	2,614	2,614	0

Aid to Localities Appropriations
(A. 3003)

The Executive recommends \$32.02 million in General Fund support for state reimbursements to cities, towns, or villages for special accidental benefits and for reimbursement to New York City for payments of special accidental death benefits arising from the World Trade Center attack.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- provide local governments and school districts with a plan which offers a long-term pension contribution option.
 - Under this proposal, local governments and school districts would be given the option to “lock in” pension contributions for a period to be determined by the Comptroller and the Teachers’ Retirement System. The initial rates would be as follows:
 - 12 percent for the New York State and Local Employees’ Retirement System (NYSLERS);
 - 12.5 percent for the New York State Teachers’ Retirement System (NYSTRS); and
 - 18.5 percent for the New York State and Local Police and Fire Retirement System (NYSLPFRS).

- By comparison, the long term rates would be less than the scheduled contribution rates of 20.9 percent for the NYSLERS, 16.5 percent for NYSTRS and 28.9 percent for the NYSLPFRS.
- After five years, the Comptroller and the Teachers' Retirement system could elect to increase the rate by up to two percentage points. After ten years, the rates could again be increased or decreased by up to two percentage points.

DIVISION OF THE BUDGET

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	51,857,000	53,878,000	2,021,000	3.9%
Total for AGENCY SUMMARY:	51,857,000	53,878,000	2,021,000	3.9%

Agency Mission

The Division of the Budget (DOB) prepares the Governor's proposed budget and executes the budget as enacted by the Legislature. DOB also serves as the Governor's primary advisor on such fiscal matters as local government and public authority finances.

Budget Summary

The Executive recommends All Funds appropriations of \$53.9 million, an increase of \$2.02 million over State Fiscal Year (SFY) 2012-13.

The Executive recommends funding 290 full-time equivalent positions in SFY 2013-14, representing no change from the SFY 2012-13 staffing level.

State Operations Appropriations

(A. 3000)

The Executive recommends \$53.9 million in State Operations appropriations, reflecting a net increase of \$2.02 million in funding from SFY 2012-13 funding level. This increase in appropriations represents the following actions:

- a \$2.5 million increase is recommended to fund a new Financial Restructuring Assistance Program, which is led by a joint task force comprised of the Office of the State Comptroller, the Office of the Attorney General, DOB, and private-sector restructuring consultants. This program will offer advice to counties, cities, towns and villages that are in need of assistance in restructuring their finances; and

- a \$479,000 decrease is requested, reflecting the elimination of membership dues for the Council of State Governments (\$469,000) and the National Conference of Insurance Legislators (\$10,000).

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	266	266	0
All Other Funds:	24	24	0
TOTAL:	290	290	0

DEPARTMENT OF CIVIL SERVICE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	55,446,000	56,549,000	1,103,000	2.0%
Total for AGENCY SUMMARY:	55,446,000	56,549,000	1,103,000	2.0%

Agency Mission

The Department of Civil Service is charged with providing human resource management services to state and local governments.

State Operations Appropriations

(A. 3000)

The Executive recommends an All Funds appropriation of \$56.55 million, an increase of \$1.1 million or 2 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 350 full-time equivalent (FTE) positions, an increase of 26 from SFY 2012-13 levels.

Agency Operations

The Executive Budget proposes a net \$1.1 million increase to the SFY 2012-13 appropriation to reflect an increase in fringe benefits and an adjustment to align actual spending with appropriations. These increases are offset by commensurate reductions in non-personal service spending.

Mergers

The Executive Budget would merge the Governor's Office of Employee Relations (GOER) with the Department of Civil Service to manage the State government workforce. GOER would be merged into the Department of Civil Service administratively; the Executive does not propose Article VII language to effectuate the merger and no appropriations are combined.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	324	350	26
TOTAL:	324	350	26

DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	2,998,025,000	2,791,779,000	(206,246,000)	-6.9%
AID TO LOCALITIES	31,171,000	31,171,000	0	0.0%
CAPITAL PROJECTS	320,000,000	310,000,000	(10,000,000)	-3.1%
Total for AGENCY SUMMARY:	3,349,196,000	3,132,950,000	(216,246,000)	-6.5%

Agency Mission

The Department of Corrections and Community Supervision (Department) is responsible for providing services that felony offenders need in safe and secure facilities, preparing offenders for release, and ensuring they receive appropriate monitoring and support while under community supervision. The goal of the Department is to enhance public safety by ensuring the successful completion of an offender's sentence in order to lower the risk of recidivism.

Budget Summary

The Executive proposes All Funds appropriations of \$3.13 billion, a decrease of \$216.25 million or 6.5 percent, from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 29,471 full-time equivalent positions, an increase of 134 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$2.79 billion, a decrease of \$206.25 million or 6.9 percent from the SFY 2012-13 level. This significant year to year decrease is attributable to the elimination of non-recurring, retroactive contract settlements with employee compensation.

Prison Closures

The Executive proposes an appropriation decrease of \$18.69 million in SFY 2013-14 funding related to the closure of two women's correctional facilities including the Bayview Correctional Facility

(a \$12.08 million reduction) and Beacon Correctional Facility (a \$6.12 million reduction). In addition to the reduction in operating costs, the Executive assumes to decrease appropriations by \$3.99 million related to a continued decline in undercustody population. These reductions would be offset by \$3.5 million in targeted reinvestments to assist employees impacted by the closures.

Prison Workforce

The Executive proposes an additional \$33.41 million to support projected increases in personal services costs for SFY 2013-14 and \$22.87 million to support prior year personal service obligations. In addition, the Executive recommends an increase of \$3.5 million to hire new employees to fill crucial positions in health and safety. These increases would be offset by a decrease of \$16.04 million due to a reduction in employee overtime.

ALL FUNDS PERSONNEL BUDGETED FILL LEVELS			
Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	28,362	28,496	134
All Other Funds:	975	975	0
TOTAL:	29,337	29,471	134

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$31.17 million, unchanged from the SFY 2012-13 level.

Capital Projects Appropriations
(A.3004)

The Executive proposes an All Funds capital projects appropriation of \$310 million, a decrease of \$10 million or 3.1 percent from the SFY 2012-13 level.

The Executive proposes a decrease of \$26 million in appropriations for health and safety programs; preservation maintenance of assets programs; and program improvements. The Executive proposes an increase of \$4 million to support necessary upgrades to various water systems, wastewater systems, petroleum bulk storage projects and the decommissioning of a dam. An increase of \$12 million is provided for various electrical, heating, window and roof repair and replacement projects.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- allow the closure of Bayview Women's Correctional Facility in Manhattan and Beacon Women's Correctional Facility in Dutchess County in SFY 2013-2014, provided that the Governor provides the legislature with at least 60 days notice;
- convey the land and buildings of the former Fulton Correctional Facility located in the Bronx to the Thomas Mott Osborne Memorial Fund for use in providing reform and rehabilitation programs, alternatives to incarceration programs and reentry services; and
- extend various criminal justice programs set to expire in 2013.

COMMISSION OF CORRECTION

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	2,915,000	2,915,000	0	0.0%
Total for AGENCY SUMMARY:	2,915,000	2,915,000	0	0.0%

Agency Mission

The Commission of Correction works to provide for a safe, stable and humane correctional system statewide by: monitoring, adjusting, and enhancing prison and jail population capacity; overseeing new jail facility development; assisting jails in the implementation of new correctional technologies; investigating prisoner mortality; providing advice on staffing, health and mental health services, and advising the Governor on correctional policy.

Budget Summary

The Executive proposes an All Funds appropriation of \$2.9 million which is unchanged from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 29 full-time equivalent positions, which is unchanged from the SFY 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$2.9 million; unchanged from the SFY 2012-13 level.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	29	29	0
TOTAL:	29	29	0

DIVISION OF CRIMINAL JUSTICE SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	85,193,000	88,428,000	3,235,000	3.8%
AID TO LOCALITIES	176,442,997	177,265,000	822,003	0.5%
Total for AGENCY SUMMARY:	261,635,997	265,693,000	4,057,003	1.6%

Agency Mission

The Division of Criminal Justice Services (DCJS) is the agency administering both state and federal funds that support programs designed to combat crime, drug abuse, and violence. DCJS maintains criminal history and statistical data for federal, state and local law enforcement agencies, identifies criminals through fingerprints, maintains the sex offender registry and provides training and management services to local law enforcement agencies.

Budget Summary

The Executive proposes an All Funds appropriation of \$265.73 million, an increase of \$4.06 million or 1.6 percent, from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 443 full-time equivalent positions, an increase of 20 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$88.43 million, an increase of \$3.24 million or 3.8 percent, from the SFY 2012-13 level.

DNA Databank Expansion

The Executive proposes an increase of \$135,000 to support the expansion of the DNA Databank.

Other Proposals

The Executive proposes an increase of \$910,000 related to the transfer of federally funded positions to the General Fund and an increase of \$640,000 to support past obligations to state workers. These increases would be offset by a \$1.45 million decrease in General Fund appropriations due to savings realized by DCJS due to its relocation to the Alfred E. Smith Building.

ALL FUNDS PERSONNEL BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	384	404	20
All Other Funds:	39	39	0
TOTAL:	423	443	20

Aid to Localities Appropriations (A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$177.26 million, an increase of \$4.06 million, from the SFY 2012-13 level.

Alternatives to Incarceration (ATI)

The Executive proposes a consolidation of \$5.16 million in existing funding for the Classification Alternatives (CLASS) program (\$3.25 million) and the Drug Alcohol program (\$1.91 million).

The Executive Budget also proposes a consolidation of \$11.44 million in funding to support Community Corrections programs that would target the highest risk offenders. This consolidation includes \$3.97 million from existing ATI demonstration programs and \$469,000 from existing supervision and treatment programs. These amounts would be supplemented with \$7 million in new General Fund support to replace prior-year Federal Byrne/JAG funding formerly provided through the American Recovery and Reinvestment Act of 2009.

The Executive also proposes the elimination of \$1.2 million in support for certain ATI programs.

District Attorney Salary Reimbursement

The Executive proposes a total of \$3.9 million, an increase of \$1.05 million from SFY 2012-13 levels, to support the full cost of local district attorney salary increases that are tied to scheduled increases in judicial compensation.

General Fund Program Eliminations

The Executive proposes the elimination of \$4.3 million in General Fund support for various programs, as noted below:

Program	SFY 2012-13	SFY 2013-14
New York State Defenders Association	\$1,000,000	-
Family Court Domestic Violence Services	\$600,000	-
Prisoners' Legal Services	\$500,000	-
DV Training for Local Law Enforcement and Judges	\$500,000	-
Law Enforcement, Anti-Violence, Anti-Drug, Crime Control Prevention	\$450,000	-
Immigration Legal Services	\$450,000	-
Stab Resistant Gloves for New York City Correction Officers	\$250,000	-
Common Justice at the Vera Institute	\$200,000	-
Greenpoint Outreach Domestic and Family Intervention Program	\$150,000	-
John Jay College Prison to College Pipeline	\$100,000	-
Consortium of the Niagara Frontier	\$100,000	-
Grand Total	\$4,300,000	-

Federal Edward Byrne Memorial/Justice Assistance Grant (JAG) Support

The Executive proposes a \$1.60 million increase to Byrne/JAG appropriations to match projected levels of federal support.

Legal Services Assistance Fund Allocations

The Executive proposes the elimination of \$2.65 million in civil legal services grants, \$650,000 in support for the Indigent Parolee Program and \$650,000 in domestic violence legal services.

Instead, the Executive proposes a new \$3.7 million appropriation for a new combined legal services funding source that will offer grants for civil/criminal legal services and domestic violence related legal services, awarded on a competitive basis.

Criminal Justice Improvement Account Allocations

The Executive proposal would eliminate \$1.22 million in funding for various civil and criminal domestic violence legal services providers.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- transfer the former Fulton Correctional Facility to the Thomas Mott Osborne Memorial Fund for the purpose of reform and rehabilitation of individuals in conflict with the law, alternatives to incarceration, re-entry services, victim services, and related community activities;
- extend for one year the effective date of the provision of law that allows a district attorney in New York City to retain a portion of monies recovered before the filing of an accusatory instrument; and
- ratify the National Crime Prevention and Privacy Compact Act to permit New York State to participate in the National Fingerprint File program, which allows for the sharing of criminal history records for civil purposes directly with the federal government and 29 other states that have ratified the compact; and
- extend various criminal justice programs set to expire in 2013.

STATE BOARD OF ELECTIONS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	5,305,000	5,200,000	(105,000)	-2.0%
AID TO LOCALITIES	1,000,000	0	(1,000,000)	-100.0%
Total for AGENCY SUMMARY:	6,305,000	5,200,000	(1,105,000)	-17.5%

Agency Mission

The State Board of Elections (SBOE) executes and enforces the Election Law and oversees the disclosure of campaign financing practices. The Board reviews the practices of all 58 local boards of elections; regulates access to the ballot for State offices; approves voting systems for use within the State; maintains the statewide voter registration database. The Board is also responsible for the disclosure and enforcement of campaign financing and practices; and implementing various Federal voting programs (i.e. Help America Vote Act, National Voter Registration Act, Military and Overseas Voter Empowerment Act).

Budget Summary

The Executive recommends an All Funds appropriation of \$5.2 million for the State Board of Elections (SBOE) reflecting a decrease of \$1.11 million in funding from the SFY 2012-13 funding level.

The Executive recommends funding 58 full-time equivalent (FTE) positions in State Fiscal Year (SFY) 2013-14, reflecting no change from the SFY 2012-13 staffing level.

State Operations Appropriations

(A. 3000)

The Executive recommends \$5.2 million in General Fund support for SBOE, providing for a net decrease of \$105,000 reflecting in part SBOE's relocation into state-owned office space.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	58	58	0
TOTAL:	58	58	0

Aid to Localities Appropriations
(A. 3003)

The Executive proposes a decrease of \$1 million federal appropriations, representing the elimination of federal grants for the alteration of poll sites to promote handicap accessibility.

OFFICE OF EMPLOYEE RELATIONS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	7,707,000	12,992,000	5,285,000	68.6%
Total for AGENCY SUMMARY:	7,707,000	12,992,000	5,285,000	68.6%

Agency Mission

In accordance with the Public Employees' Fair Employment Act (the Taylor Law), the Office of Employee Relations represents the Governor in collective bargaining with public employee unions and directs the state's employee relations policies so that agencies and employees provide high quality, uninterrupted state government services.

Budget Summary

(A. 3000)

The Executive recommends All Funds appropriations of \$12.99 million, an increase of \$5.29 million or 68.6 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 50 full-time equivalent positions, reflecting no change from SFY 2012-13 levels.

State Operations Appropriations

The Executive recommends All Funds appropriations of \$12.99 million, an increase of \$5.29 million or 68.6 percent over the SFY 2012-13 level.

Job Training

The Executive proposes a \$5 million appropriation for a pilot program to provide job placement training. The pilot training program is for employees that would be impacted by facility closures or restructurings, including employees at the Office of People with Developmental Disabilities, the Office of Children and Family Services, the Office of Mental Health, and the Division of Corrections and Community Supervision, who are not offered a State employment opportunity within 100 miles of their current work location. The purpose of this training is to assist these employees in securing an alternative employment opportunity in state service.

Agency Operations

The Executive provides increases of \$406,000 related to personal service, fringe, and indirect costs, which are offset by the elimination of \$121,000 in appropriation authority from underutilized accounts.

Merger

The Executive Budget would merge the Governor's Office of Employee Relations (GOER) with the Department of Civil Service to jointly manage the state government workforce. This agency would be merged administratively; the Executive does not propose Article VII language to effectuate the merger.

ALL FUNDS PERSONNEL BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	50	50	0
TOTAL:	50	50	0

EXECUTIVE CHAMBER

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	18,484,000	18,484,000	0	0.0%
Total for AGENCY SUMMARY:	18,484,000	18,484,000	0	0.0%

Agency Mission

The Executive Chamber is the Office of the Governor and includes the immediate staff that assists the Governor. The Office of the Governor is located in the State Capitol in Albany and also has offices in New York City and Washington, DC.

The Office of the Lieutenant Governor, in addition to other projects, is responsible for assisting the Governor in leading the Regional Economic Development Councils that will coordinate and integrate State agency responses with local government and business activities to create jobs.

Appropriations for the Executive Chamber and the Office of the Lieutenant Governor are included in State Operations appropriations bill.

Budget Summary

The Executive recommends an All Funds appropriation of \$18.5 million to support the activities of the Executive Chamber (\$17.9 million) and the Office of the Lieutenant Governor (\$630,000), reflecting no change from the State Fiscal Year (SFY) 2012-13 level.

The Executive budget recommends funding for 136 full-time equivalent (FTE) positions for the Office of the Governor and seven FTE positions for the Office of the Lieutenant Governor, which also reflects no change from the SFY 2012-13 staffing level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	143	143	0
TOTAL:	143	143	0

DEPARTMENT OF FINANCIAL SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	326,630,823	326,630,823	0	0.0%
AID TO LOCALITIES	225,566,000	225,566,000	0	0.0%
Total for AGENCY SUMMARY:	552,196,823	552,196,823	0	0.0%

Agency Mission

The Department of Financial Services (DFS) supports the regulatory and oversight functions of the Banking and Insurance Departments to make the state's oversight of financial services responsive to the current needs of the industry and its customers. DFS was consolidated as part of the State Fiscal Year (SFY) 2011-12 Budget and began its joint operations on October 3, 2011. The consolidation enabled the state to unify oversight functions of financial services and to more rapidly respond to changing market practices.

Budget Summary

The Executive proposes All Fund appropriations of \$552.2 million, reflecting no change from the SFY 2012-13 levels. The Executive proposes funding support for 1,337 full-time equivalent positions, an increase of 94 from SFY 2012-13 revised levels.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$326.6 million, reflecting no change from SFY 2012-13.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	1,243	1,337	94
TOTAL:	1,243	1,337	94

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$225.6 million, reflecting no change from the SFY 2012-13.

Article VII Proposals
(A. 3006)

The Executive recommends Article VII language that would make several changes to Insurance Law provisions to conform with Affordable Care Act (ACA), which include requirements:

- exempting navigators from being required to have a broker license;
- converting the autism mandate from dollars to an equivalent number of hours;
- establishing a new category of student health insurance;
- requiring HMO's to offer coverage that meets the requirements of the ACA;
- bringing conversion health insurance policies into compliance with the ACA;
- requiring policies issued to small groups to provide coverage for essential health benefits;
- eliminating Healthy NY coverage and program funding on December 31, 2013;
- making August 31 the reporting date for Medical Loss Ratio rebates;
- implementing a risk-adjustment system on all the non-grandfathered individual and small group markets;
- establishing an alternate process by which insurers may cease to offer a particular class of group or blanket policy of hospital, surgical or medical expense insurance; and
- establishing group definitions to conform with ACA and regulations.

The Executive further recommends Article VII language that would:

- limit the number of excess medical malpractice policies purchased for physicians using State funds to the number of policies that can be supported by the amount appropriated. Priority would be granted to the highest risk specialties; and
- modify several insurance related provisions including rate setting and adequate network coverage to require health insurer coverage of EI services and prohibit HMOs from discriminating against insured individuals receiving EI services.

OFFICE OF GENERAL SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	982,315,000	1,026,425,000	44,110,000	4.5%
CAPITAL PROJECTS	82,065,000	97,000,000	14,935,000	18.2%
Total for AGENCY SUMMARY:	1,064,380,000	1,123,425,000	59,045,000	5.5%

Agency Mission

The Office of General Services (OGS) supports the operation of state agencies by providing space planning and leasing; real property management and maintenance; centralized contracting for commodities, printing and equipment maintenance services; employee and visitor parking management; and interagency mail and courier assistance. OGS also provides a number of smaller agencies with various centralized administrative and information processing services.

Budget Summary

The Executive proposes All Funds appropriations of \$1.12 billion, an increase of \$59.05 million or 5.5 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 1,439 full-time equivalent (FTE) positions, an increase of 87 FTEs.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$1.03 billion, an increase of \$44.11 million or 4.5 percent over the SFY 2012-13 level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	1,352	1,439	87
TOTAL:	1,352	1,439	87

Business Services Center

The Executive proposes the transfer of the human resources and finance staff and funding resources from over 50 agencies into the new OGS Business Services Center (BSC). This consolidation will be completed by the end of SFY 2013-14. The Executive also proposes an increase of \$9.1 million for consultant services related to the BSC transformation.

The Executive also proposes to continue the Strategic Sourcing initiative in order to consolidate the procurement of various resources for all agencies, including automobiles, computers, health services, and many other categories. This will result in a savings of \$622,000 in SFY 2013-14.

Real Estate

The state has continued their “restacking initiative” by consolidating various agencies into state-owned buildings, resulting in a savings on real estate. The Albany and New York City phases of restacking are being finalized and the current focus has shifted to the rest of the state where there are fewer state-owned buildings. As a result, the Executive proposes reductions of \$4.02 million in SFY 2013-14. The Executive proposes an increase of \$30,000 for the development of a Real Estate Asset System. In addition, the Executive proposes \$2.89 million for staff to perform maintenance and updates on state properties.

There were a number of large properties sold in SFY 2012-13, and the Executive proposal includes funding of \$6 million to pay for brokerage fees and other associated costs for future sales of large buildings.

Agriculture and Markets Food Laboratory

The Executive proposes a transfer of \$2.4 million in funding to allow OGS to provide operational management and maintenance services to a new food laboratory operated by the Department of Agriculture and Markets.

NYS Media Center

The Executive proposes that \$2.7 million and 35 FTEs associated with the New York State Media Center, which is used as a satellite network by the SUNY system and the New York State Lottery, be transferred into OGS.

Print Shop Consolidation

The Executive proposes the consolidation of the print shops of the Department of Homeland Security and Emergency Services, the Office for People with Developmental Disabilities, and the Department of Health within OGS and includes an additional 8 FTEs and funding of \$1.5 million for this purpose.

Capital Projects Appropriations

(A. 3004)

The Executive proposes All Funds Capital Projects appropriations of \$97 million, an increase of \$14.94 million or 18.2 percent over the SFY 2012-13 level. This increase will primarily support the rehabilitation and improvement of the State Capitol and Empire State Plaza.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- allow state agencies to purchase food grown, harvested, produced, manufactured, or processed in New York State, in an amount not exceeding \$200,000, without a competitive bid process; and
- permit state agencies and authorities to use design-build contracts and design-build-finance contracts as alternative project delivery methods.

DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	63,456,000	65,622,000	2,166,000	3.4%
AID TO LOCALITIES	1,463,051,000	13,703,751,000	12,240,700,000	836.7%
Total for AGENCY SUMMARY:	1,526,507,000	13,769,373,000	12,242,866,000	802.0%

Agency Mission

The Division of Homeland Security and Emergency Services (DHSES) was established in July 2010 through the merger of several existing state entities. Today, the Division is comprised of: the Office of Counter-Terrorism, the Office of Emergency Management, the Office of Fire Prevention and Control, the Office of Cyber Security, and the Office of Interoperable and Emergency Communications. Legislation accompanying the Executive Budget would transfer the Office of Cyber Security to the Office of Information Technology Services, which would assume responsibility for monitoring the state's electronic networks.

DHSES is responsible for the protection of the state's citizens, communities, resources, economy, and infrastructure from acts of terrorism, natural disasters, and other emergencies.

Budget Summary

The Executive proposes All Funds appropriations of \$13.77 billion, an increase of \$12.24 billion or 802 percent from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 388 full-time equivalent positions, a decrease of one position.

The Executive proposes a new \$8 billion Public Security and Emergency Response appropriation which may be used to implement Superstorm Sandy recovery or disaster mitigation and preparedness programs authorized by state and federal government, including making payments to local governments, public authorities, not-for-profit corporations, businesses and individuals.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$65.62 million, an increase of \$2.17 million or 3.4 percent from the SFY 2012-13 level.

The Executive proposes an increase of \$1.37 million in appropriations to provide for prior year personal service obligations and an increase of \$807,000 to cover the state share for disaster assistance.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	89	88	(1)
All Other Funds:	299	299	0
TOTAL:	388	387	(1)

Aid to Localities Appropriations

(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$13.7 billion, an increase of \$12.24 billion or 836.7 percent from the SFY 2012-13 level.

Superstorm Sandy Recovery

The Executive proposes an increase of \$200 million in General Fund disaster relief appropriations under DHSES. While the Executive projects that all damage related to Superstorm Sandy would be reimbursed by the federal government, this appropriation would provide a contingency in the event of future disasters or other unforeseen events.

The Executive also proposes an increase of \$12.65 billion in federal appropriations to the disaster assistance program to facilitate the payment of the federal government's share of Public Assistance and hazard mitigation costs resulting from natural or man-made disasters, including those costs associated with Superstorm Sandy.

Interoperability Grants

The Executive proposes a decrease of \$9.3 million in appropriations resulting from the elimination of funding for local wireless public safety answering points.

The Executive proposes to accelerate the next phase of statewide interoperable communications grants to counties by combining two award cycles into one thereby increasing the current year grant awards to \$102 million from \$66 million.

Article VII Proposals

The Executive recommends Article VII legislation that would include schools in the Intermutual Aid Program (IMAP) for disaster response which establishes financial and workforce rules that all participating municipalities must follow when they assist one another in disaster response activities.

OFFICE OF INDIGENT LEGAL SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	1,500,000	1,500,000	0	0.0%
AID TO LOCALITIES	81,000,000	77,000,000	(4,000,000)	-4.9%
Total for AGENCY SUMMARY:	82,500,000	78,500,000	(4,000,000)	-4.8%

Agency Mission

The Office of Indigent Legal Services (Office) and its associated Indigent Legal Services Board, is responsible for the study, oversight, and improvement of the public criminal defense system in New York State. The Indigent Legal Services Board is responsible for the approval or modification of grant distribution proposals, advising the Office with regard to legal defense programs, and for reporting to the Governor, the Legislature and the Judiciary on an annual basis.

Budget Summary

The Executive proposes All Funds appropriations of \$78.5 million, a decrease of \$4 million or 4.8 percent, from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 10 full-time equivalent positions, which is unchanged from the SFY 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$1.5 million unchanged from the SFY 2012-13 level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	10	10	0
TOTAL:	10	10	0

Aid to Localities Appropriations
(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$78.50 million, a decrease of \$4 million or 4.9 percent from the SFY 2012-13 level, reflecting a reduction in support for county indigent defense services.

OFFICE OF THE INSPECTOR GENERAL

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	8,276,000	8,056,000	(220,000)	-2.7%
Total for AGENCY SUMMARY:	8,276,000	8,056,000	(220,000)	-2.7%

Agency Mission

The Office of the Inspector General is responsible for investigating instances of fraud, abuse, criminal activity, and corruption in state agencies. Its mission is designed to ensure that state government maintains the highest standards of integrity and accountability.

The Office's jurisdiction includes more than 150 Executive Branch agencies, departments, divisions, offices, boards, commissions, public authorities and public benefit corporations and any entity of State government headed by an appointee of the Governor, that does not have its own statutory Inspector General.

Budget Summary

The Executive recommends an All Funds appropriation of \$8.1 million for the Office of the Inspector General (OIG). The Executive proposes to merge the Office of Welfare Inspector General (OWIG) into OIG in order to jointly combat welfare fraud and help ensure the most efficient use of resources.

The Executive recommends a workforce of 72 full-time equivalent (FTE) positions in State Fiscal Year (SFY) 2013-14 for OIG, reflecting an increase of four FTEs over the SFY 2012-13 funding level.

State Operations Appropriations

(A. 3000)

The Executive recommends \$8.1 million in General Fund State Operations support, which reflects a decrease of \$220,000 due to non-recurring savings associated with personnel transfers from OWIG.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	68	72	4
TOTAL:	68	72	4

Article VII Proposals

The Executive recommends Article VII legislation that would merge the Office of Welfare Inspector General (OWIG) into Office of the Inspector General (OIG).

NEW YORK INTEREST ON LAWYERS ACCOUNT

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	1,841,000	1,841,000	0	0.0%
AID TO LOCALITIES	45,000,000	45,000,000	0	0.0%
Total for AGENCY SUMMARY:	46,841,000	46,841,000	0	0.0%

Agency Mission

The Interest on Lawyer Account (IOLA) Fund was established in 1983 to finance civil legal services for the indigent. Revenues are derived from the interest earned on small trust accounts in which attorneys hold certain funds for their clients. Banks transfer the interest earned on these escrow accounts to the IOLA Fund to finance grants to not-for-profit, tax-exempt entities providing civil legal services to the indigent, elderly, disabled and others.

Budget Summary

The Executive proposes an All Funds appropriation of \$46.84 million, which is unchanged from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of eight full-time equivalent positions, which is unchanged from the SFY 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$1.84 million, which is unchanged from the SFY 2012-13 level.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	8	8	0
TOTAL:	8	8	0

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$45 million, which is unchanged from the SFY 2012-13 level.

JUDICIAL COMMISSIONS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	5,452,000	5,452,000	0	0.0%
Total for AGENCY SUMMARY:	5,452,000	5,452,000	0	0.0%

Agency Mission

New York State's three judicial commissions serve to maintain the integrity of the court system. The Commission on Judicial Nomination and the Judicial Screening Committees examine potential nominees for high-level judicial appointments by the Governor. The Commission on Judicial Conduct investigates and acts upon allegations of judicial misconduct.

Budget Summary

The Executive proposes an All Funds appropriation of \$5.45 million which is unchanged from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 50 full-time equivalent (FTE) positions, an increase of one position.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$5.45 million which is unchanged from the SFY 2012-13 level. Administrative actions and lower staff salaries at the Commission on Judicial Conduct would allow the Commission to add one new FTE with no additional cost.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	49	50	1
TOTAL:	49	50	1

DEPARTMENT OF LAW

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	215,278,000	220,641,000	5,363,000	2.5%
Total for AGENCY SUMMARY:	215,278,000	220,641,000	5,363,000	2.5%

Agency Mission

The Department of Law (Department) provides legal counsel to the state and represents the state in court proceedings. The Department protects state agencies and citizens through the investigation of organized and white-collar crime as well as Medicaid fraud. It also protects consumers from fraudulent business practices and brings civil and/or criminal actions against violators of anti-trust laws. The Department defends the public interest through protecting charitable donors and beneficiaries, enforcing laws that prohibit discrimination, and pursuing actions against violators of environmental law.

Budget Summary

The Executive proposes All Funds appropriations of \$220.64 million, an increase of \$5.36 million or 2.5 percent, from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 1,798 full-time equivalent positions, which is unchanged from the SFY 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriations of \$220.64 million, an increase of \$5.36 million or 2.5 percent, from the SFY 2012-13 level.

The Executive proposes a General Fund increase of \$600,000 which would support the relocation of the White Plains regional office and vehicle replacements, and an increase of \$552,000 to provide the state match for increased federal funding. The Executive also provides an increase of \$4 million to support additional personal service cots, including fringe benefit increases.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	1,066	1,066	0
All Other Funds:	732	732	0
TOTAL:	1,798	1,798	0

DIVISION OF MILITARY AND NAVAL AFFAIRS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	75,739,000	75,752,000	13,000	0.02%
AID TO LOCALITIES	900,000	900,000	0	0.0%
CAPITAL PROJECTS	102,400,000	39,200,000	(63,200,000)	-61.7%
Total for AGENCY SUMMARY:	179,039,000	115,852,000	(63,187,000)	-35.3%

Agency Mission

The Division of Military and Naval Affairs (DMNA) maintains a well-trained military force ready to respond to civil emergencies, natural disasters, and threats to national security.

Budget Summary

The Executive proposes All Funds appropriations of \$115.85 million, a decrease of \$63.18 million or 35.3 percent, from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 426 full-time equivalent positions, unchanged from the SFY 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$75.75 million, an increase of \$13,000 from the SFY 2012-13 level.

The Executive proposes an increase of \$145,000 increase for various personal service costs and an increase of \$67,000 to address lease escalations and utility costs.

The Executive proposal includes a \$21,000 decrease related to savings realized by DMNA after the Hoosick Falls, Riverhead, Schenectady, Poughkeepsie and Whitehall armories were transferred to localities and a decrease of \$178,000 related to efficiencies achieved by the Joint Task Force Empire Shield.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	162	162	0
All Other Funds:	264	264	0
TOTAL:	426	426	0

Aid to Localities Appropriations

(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$900,000, unchanged from the SFY 2012-13 level.

Capital Projects Appropriations

(A. 3004)

The Executive proposes All Funds Capital Projects appropriations of \$39.2 million, a decrease of \$63.19 million or 61.7 percent from the SFY 2012-13 level.

Comprehensive Construction Program

The Executive proposes a \$63.2 million decrease in Maintenance and Improvement appropriations, reflecting the elimination of one-time support for a maintenance shop in Stormville, New York and improvements to the 269th Regimental Armory in Harlem.

OFFICE FOR THE PREVENTION OF DOMESTIC VIOLENCE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	3,556,000	3,776,000	220,000	6.2%
AID TO LOCALITIES	1,185,000	1,185,000	0	0.0%
Total for AGENCY SUMMARY:	4,741,000	4,961,000	220,000	4.6%

Agency Mission

The Office for the Prevention of Domestic Violence (OPDV) develops statewide policies to protect victims of domestic violence and provides domestic violence training and information to judges, attorneys, law enforcement officers, and social services and health care providers.

Budget Summary

The Executive proposes an All Funds Appropriation of \$4.96 million, an increase of \$220,000, or 4.64 percent over State Fiscal Year (SFY) 2012-13 levels.

State Operations Appropriations

(A. 3000)

The Executive proposes a State Operations appropriation of \$3.78 million, a 220,000 or 6.19 percent increase over SFY 2012-13 levels.

Statewide Fatality Review Team

The Executive Budget proposes an increase of \$220,000 to fund the creation of a new Statewide Fatality Review Team. Such teams were created by 2012 domestic violence prevention legislation and will analyze trends and patterns of domestic violence fatalities; educate the public, service providers and policymakers about such fatalities while seeking strategies for prevention and intervention; and to recommend policies, practices, procedures and services to reduce and prevent these fatalities.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	17	17	0
All Other Funds:	10	10	0
TOTAL:	27	27	0

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an Aid to Localities appropriation of \$1.20 million, which represents no change from SFY 2012-13 funding levels.

PUBLIC EMPLOYMENT RELATIONS BOARD

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	3,984,000	3,984,000	0	0.0%
Total for AGENCY SUMMARY:	3,984,000	3,984,000	0	0.0%

Agency Mission

The Public Employment Relations Board (PERB) resolves major labor disputes between public employers and employees. PERB provides mediation, fact finding, and arbitration in contract disputes for approximately 4,760 negotiating units in New York State. In addition, PERB settles questions of union representation, conducts hearings on charges of improper practices, designates Management/Confidential positions, and acts as a clearinghouse for information on wages, benefits, and employment practices. PERB is also responsible for administering the State Employment Relations Act, and PERB's labor management oversight activities include private sector employers that are not provided services by the National Labor Relations Board, the Federal Mediation and Conciliation Service, or the National Mediation Board.

State Operations Appropriations

(A. 3000)

The Executive recommends an All Funds appropriation of \$3.98 million, which represents no change from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 33 full-time equivalent positions, reflecting no change from SFY 2012-13 levels.

Agency Operations

The Executive proposes no change in total funding for PERB but would shift \$191,000 in funding to support arbitration services to the General Fund from a Special Revenue Fund with a depleted balance.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	33	33	0
TOTAL:	33	33	0

JOINT COMMISSION ON PUBLIC ETHICS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	4,100,000	4,931,000	831,000	20.3%
Total for AGENCY SUMMARY:	4,100,000	4,931,000	831,000	20.3%

Agency Mission

The Joint Commission on Public Ethics (JCOPE) was established in 2011 by the Public Integrity Reform Act. JCOPE succeeds the Commission on Public Integrity and assumes responsibility for administering and enforcing the state's ethics and lobbying statutes. JCOPE's mission is to foster public trust and confidence in state government by ensuring compliance with financial disclosure and ethical standards.

JCOPE is comprised of 14 appointed members and has jurisdiction over 190,000 statewide officials, state officers and employees, and candidates for statewide elected office and political party chairs. The responsibility of this new agency is broadened to include not only executive branch employees and elected officials, but also some jurisdiction in relation to legislative employees.

Budget Summary

The Executive recommends an All Funds budget of \$4.9 million for JCOPE, which reflects an increase of \$831,000 or 20.3 percent over the State Fiscal Year (SFY) 2012-13 funding level.

The Executive recommends funding for 53 full time equivalent (FTE) positions, which reflects an increase of eight FTEs over the SFY 2012-13 level. The eight additional FTEs consist of six auditors, one associate counsel and one confidential secretary.

State Operations Appropriations

(A. 3000)

The Executive recommends \$4.9 million in Fund appropriations representing an increase of \$831,000 over the 2012-13 SFY funding level. The increase represents a net adjustment of \$141,000 to reflect the cost of continuing existing programs and other fixed cost increases; and a personal service increase of \$690,000 to support the additional personnel needed to meet the Commission's broader responsibilities.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	45	53	8
TOTAL:	45	53	8

DIVISION OF STATE POLICE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	683,099,400	674,304,000	(8,795,400)	-1.3%
CAPITAL PROJECTS	6,000,000	57,740,000	51,740,000	862.3%
Total for AGENCY SUMMARY:	689,099,400	732,044,000	42,944,600	6.2%

Agency Mission

The primary mission of the Division of State Police is to promote highway safety and protect the citizens of New York State. The Division's responsibilities include patrolling roads and highways outside major urban areas, providing specialty and investigative police services, conducting investigations of criminal activities like drug trafficking and child endangerment, and working with various levels of law enforcement throughout the state.

Budget Summary

The Executive proposes All Funds appropriations of \$732.04 million, an increase of \$42.94 million or 6.2 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 5,408 full-time equivalent positions, an increase of 176 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$674.3 million, a decrease of \$8.79 million or 1.3 percent from the SFY 2012-13 level.

New York State Thruway Authority

The Executive proposes a General Fund increase of \$55.22 million to provide state support for highway patrols. This commitment of the state funds is provided to deny the Thruway Authority's proposal to increase tolls on commercial vehicles.

New York Secure Ammunition and Firearms Enforcement (NY SAFE) Act

The Executive proposes \$3.2 million to support the costs of the implementing provisions of the NY SAFE Act, including new enforcement activities, the development of school safety improvement teams, and costs associated with the recertification of pistol licenses every five years.

DNA Database

The Executive proposes an increase of \$190,000 to support the expansion of the DNA Databank enacted in 2012.

State Police Academy Classes

The Executive proposes \$3.4 million of new support to hold two State Police Academy classes which would bring in 330 new recruits. These classes would result in a total member strength of 4,657.

Vehicle Purchases

The Executive proposes a \$2.28 million increase to purchase patrol vehicles and pay for lease escalations

ALL FUNDS PERSONNEL BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	4,866	5,319	453
All Other Funds:	366	89	(277)
TOTAL:	5,232	5,408	176

Capital Projects Appropriations

(A. 3004)

The Executive proposes an All Funds Capital Projects appropriations of \$57.74 million, an increase of \$51.74 million or 863 percent, from the SFY 2012-13 level.

NY Safe Act

The Executive Budget proposal includes \$32.74 million to provide for the costs of developing an electronic database of all current gun licenses issued in the State of New York.

Troop L Facility

The Executive Budget proposes \$7 million in new appropriation authority related to the development of a new facility for Troop L on Long Island.

Aviation

The Executive proposal includes \$12.5 million for the purchase and outfitting of a replacement helicopter.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- limit plea bargaining of traffic tickets, extend state surcharges to new offenses, and establish minimum fines for traffic violations involving texting and cell phone use;
- ratify the National Crime Prevention and Privacy Compact to allow the state to participate in the National Fingerprint File program; and
- extend various criminal justice programs set to expire in 2013.

STATEWIDE FINANCIAL SYSTEM

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	55,000,000	55,000,000	0	0.0%
Total for AGENCY SUMMARY:	55,000,000	55,000,000	0	0.0%

Agency Mission

The Statewide Financial System Project is responsible for developing and maintaining a single statewide financial system for use by all agencies. The first operational phase of the new system was launched in April 2012 with more than 50 agencies utilizing the system.

Budget Summary

The Executive proposes an All Funds appropriation of \$55 million to supports the ongoing maintenance and operating costs for the activities of the Statewide Financial System (SFS) representing no change from the from the State Fiscal Year (SFY) 2012-13 funding level.

The Executive recommends funding for 145 full-time equivalent (FTE) positions for SFS, which reflects an increase of 30 FTEs over the SFY 2012-13 staffing level.

State Operations Appropriations

(A. 3000)

The Executive budget recommends \$55 million to provide for ongoing maintenance and operating costs of the SFS operating system.

The SFS system became fully operational for general use in April 2012 and the development of additional functionality is ongoing.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	115	145	30
TOTAL:	115	145	30

OFFICE OF INFORMATION TECHNOLOGY SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	556,228,000	563,005,000	6,777,000	1.2%
CAPITAL PROJECTS	0	60,000,000	60,000,000	--
Total for AGENCY SUMMARY:	556,228,000	623,005,000	66,777,000	12.0%

Agency Mission

The Office of Information Technology Services (ITS), formerly the Office for Technology, is responsible for developing the state's technology resources and policies. The mission of ITS is to provide centralized technology services, develop technology policy and coordinate statewide technology initiatives to improve the efficiency of New York State government.

Budget Summary

The Executive proposes an All Funds appropriation of \$623.01 million, an increase of \$66.78 or 12 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 3,890 full-time equivalent (FTE) positions, an increase of 55 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations Appropriations of \$563.01 million, an increase of \$6.78 million, or 1.2 percent over the SFY 2012-13 level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	1,821	1,860	39
All Other Funds:	2,014	2,030	16
TOTAL:	3,835	3,890	55

ITS Transfer

During SFY 2012-13, 3,342 full-time equivalent (FTE) positions with substantial information technology responsibilities were transferred from their respective agencies to ITS. Personal service funding in the amount of \$36.77 million in SFY 2012-13 was transferred in conjunction with this action. The Executive Budget continues the transfer of IT funds and FTEs from their respective agencies during SFY 2013-14 and accordingly transfers \$123.23 million in appropriations to ITS.

Capital Projects Appropriations (A. 3004)

The Executive proposes a new Capital Projects appropriation of \$60 million, an increase of \$60 million over the SFY 2012-13 level.

Continue Enterprise Initiatives

The Executive Budget proposes a \$60 million appropriation to support several Enterprise Projects, including Data Center Consolidation, Email Consolidation, Voice Over Internet Protocol Implementation, and Enterprise Identity Access Management.

Article VII Proposals

The Executive recommends Article VII legislation that would eliminate the Office of Cybersecurity, located in the Department of Homeland Security and Emergency Services, and transfer its duties to ITS.

DIVISION OF VETERANS' AFFAIRS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	7,772,000	8,372,000	600,000	7.7%
AID TO LOCALITIES	9,076,000	9,106,000	30,000	0.3%
Total for AGENCY SUMMARY:	16,848,000	17,478,000	630,000	3.7%

Agency Mission

The Division of Veterans' Affairs (DVA) assists, counsels, and advocates for veterans, military personnel and their families. The DVA coordinates with state agencies and the federal government on programs affecting veterans. The DVA serves more than 1,100,000 New Yorkers who are veterans, including their dependents and those on active duty. The DVA's central office is located in Albany and it has regional offices in New York City and Buffalo.

Budget Summary

The Executive recommends All Funds appropriations of \$17.5 million to support the activities of DVA, reflecting a net increase of \$630,000 over State Fiscal Year (SFY) 2012-13.

The Executive recommends a workforce of 98 full-time equivalent positions for the DVA, reflecting no change in staffing levels from SFY 2012-13.

State Operations Appropriations

(A. 3000)

The Executive proposes General Fund State Operations appropriations of \$8.4 million which represents a net increase of \$600,000 over the SFY 2012-13 funding level which reflects adjustments to personal service spending levels.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	90	90	0
All Other Funds:	8	8	0
TOTAL:	98	98	0

Aid to Localities Appropriations
(A. 3003)

Veteran Services

The Executive preserves local funding for Veteran services and provides General Fund Aid to Localities appropriations of \$9.1 million; a net increase of \$30,000 over SFY 2012-13. Funding is maintained for the following programs at SFY 2012 13 funding levels:

- Gold Star Annuity Benefits (\$599,000);
- Supplemental Burial Benefits (\$200,000)
- Veteran’s counseling and outreach (\$500,000);
- Aid to County and City Veterans’ service agencies (\$1.2 million); and
- Services and expenses of the Monroe County Veteran Outreach Center (\$250,000).

The Executive proposes \$6.380 million to support the Blind Veteran Annuity Program representing a \$180,000 net increase over the present funding level to support a cost of living adjustment.

Local assistance appropriations are reduced by \$150,000, reflecting the elimination of local assistance grants.

OFFICE OF VICTIM SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	10,283,000	10,283,000	0	0.0%
AID TO LOCALITIES	66,120,000	66,120,000	0	0.0%
Total for AGENCY SUMMARY:	76,403,000	76,403,000	0	0.0%

Agency Mission

The Office of Victim Services provides compensation to innocent victims of crime; funds direct services to crime victims via a network of community-based programs; and advocates for the rights and benefits of all innocent victims of crime.

Budget Summary

The Executive proposes an All Funds appropriation of \$76.40 million which is unchanged from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 74 full-time equivalent (FTE) positions, an increase of four positions. The four additional FTEs would refill positions related to the timely processing of victims claims.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$10.28 million which is unchanged from the SFY 2012-13 level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	70	74	4
TOTAL:	70	74	4

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$66.12 million which is unchanged from the SFY 2012-13 level.

WORKERS' COMPENSATION BOARD

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	196,801,000	203,227,000	6,426,000	3.3%
Total for AGENCY SUMMARY:	196,801,000	203,227,000	6,426,000	3.3%

Agency Mission

The Workers' Compensation Board (Board) is responsible for safeguarding the well-being of New York's labor force. The Board reviews claims for workers' compensation benefits, reports of injuries filed and medical reports from physicians and other health care providers. The Board also investigates fraudulent claims and assists in resolving disputed claims.

Budget Summary

The Executive recommends All Funds appropriations of \$203.23 million, an increase of \$6.43 million or 3.3 percent over the State Fiscal Year (SFY) 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive recommends All Funds appropriations of \$203.23 million, an increase of \$6.43 million or 3.3 percent from the SFY 2012-13 level. The Executive recommends funding support for 1,220 full-time equivalent positions, an increase of 25 FTEs.

Agency Operations

The Executive proposes a net increase of \$6.43 million related to increases in collective bargaining costs, higher fringe and indirect rates, and non-personal service increases. These increases are offset by a \$200,000 decrease of non-recurring moving costs due to the relocation of the office from Albany to Schenectady.

Consolidation of Service Centers

The Executive budget proposes a reduction of \$500,000 related to the consolidation of 11 service centers into regional service centers to address a decrease in the number of people utilizing the centers in person.

ALL FUNDS PERSONNEL			
BUDGETED FILL LEVELS			
Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	1,195	1,220	25
TOTAL:	1,195	1,220	25

Article VII Proposals

The Executive proposes Article VII legislation that would modify various provisions of the Workers' Compensation Law to:

- increase the minimum weekly benefit from \$100 per week to \$150 per week;
- establish a single pass-through assessment to be levied by carriers against employers;
- close the reopened case fund to future claims;
- eliminate certain statutorily mandate deposits to the Aggregate Trust Fund;
- eliminate assessments reserves currently required to be held by the State Insurance Fund (SIF) and transfer \$2 billion in SIF reserves to the Board;
- modify the investment authority of the State Insurance Fund;
- remove the statutory requirement that the Workers' Compensation Board's principal office be located in the City of Albany; and
- establish a new program for the reassignment of liability for current and future claims against defaulted group self-insured trusts.

GENERAL STATE CHARGES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	2,756,534,000	3,018,117,000	261,583,000	9.5%
Total for AGENCY SUMMARY:	2,756,534,000	3,018,117,000	261,583,000	9.5%

Agency Mission

General State Charges are primarily the costs of providing fringe benefits to state employees. These benefits are authorized in collective bargaining agreements and various statutes. The General State Charges budget also includes miscellaneous fixed costs, such as litigation settlements and taxes on state-owned lands.

Budget Summary

The Executive recommends All Funds appropriations of \$3.02 billion, an increase of \$261.58 million or 9.5 percent over the State Fiscal Year (SFY) 2012-13 level.

State Operations Appropriation

(A. 3000)

The Executive recommends All Funds appropriations of \$3.02 billion, an increase of \$261.58 million or 9.5 percent over the SFY 2012-13 level.

Pensions

The Executive proposes a net increase of \$242.5 million in pension funding due to the rising pension costs associated with an increase in the employer contribution rate. This amount will be offset by interest savings made from monthly payments rather than one yearly payment.

Health Insurance Contributions

The Executive proposes a \$56.08 million increase in health insurance contributions for state employees. The increase reflects a 4.4 percent increase in premium rates for health insurance plan year 2013.

Workers' Compensation Benefits

The Executive proposes an increase of \$73.55 million for Workers' Compensation benefits for injured state employees, which is largely attributable to scheduled increases in benefits to injured workers.

Other Fringe Benefits

The Executive proposes a net increase of \$24.38 million for other fringe benefits, which is attributable to an increase in Social Security payments due to a higher wage base and is offset by savings in dental, vision, and other benefits due to a smaller state workforce.

Taxes on State Owned Land

The Executive proposes an increase of \$19.99 million for payment of taxes on state-owned lands due to the tax reassessment of the Aqueduct Racetrack.

Litigation Spending

The Executive proposes a \$51 million increase in appropriation authority for litigation purposes, based on higher than normal litigation spending in SFY 2012-13.

Payment in Lieu of Taxes (PILOT) for the City of Albany

The Executive proposes a \$7.85 million decrease in appropriations related to the elimination of a PILOT remitted to the City of Albany for the Empire State Plaza.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- provide local governments and school districts with a plan which offers a long-term pension contribution option.
 - Under this proposal, local governments and school districts would be given the option to “lock in” pension contributions for a period to be determined by the Comptroller and the Teachers' Retirement System. The initial rates would be as follows:
 - 12 percent for the New York State and Local Employees' Retirement System (NYSLERS);
 - 12.5 percent for the New York State Teachers' Retirement System (NYSTRS); and
 - 18.5 percent for the New York State and Local Police and Fire Retirement System (NYSLPFRS).

- By comparison, the long term rates would be less than the scheduled contribution rates of 20.9 percent for the NYSLERS, 16.5 percent for NYSTRS and 28.9 percent for the NYSLPFRS.
- After five years, the Comptroller and the Teachers' Retirement system could elect to increase the rate by up to two percentage points. After ten years, the rates could again be increased or decreased by up to two percentage points.
- amend the Civil Service Law to cease reimbursement of additional Income Related Medicare Adjustment Amount premiums paid by higher-income retirees retroactive to January 1, 2013.

MISCELLANEOUS: PUBLIC PROTECTION & GENERAL GOVERNMENT

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	6,720,360,000	14,969,012,000	8,248,652,000	122.7%
AID TO LOCALITIES	1,022,084,300	1,025,044,300	2,960,000	0.3%
Total for AGENCY SUMMARY:	7,742,444,300	15,994,056,300	8,251,612,000	106.6%

State Operations Appropriations

(A. 3000)

Superstorm Sandy Recovery

The Executive proposes an appropriation of \$8 billion to cover to the expenses of recovery from Superstorm Sandy and to mitigate the impact of future natural or man-made disasters.

Aid to Localities Appropriations

(A. 3003)

Counsel at Arraignment

The Executive proposes an appropriation of \$3 million to provide grants to counties for a pilot program to improve legal services to individuals accused of crimes who are presumed indigent and unrepresented at the time of arraignment in court.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- reform the Local Government Efficiency Grant Program and the Citizens Re-Organization Empowerment Grant Program to provide incentives for planning and implementation;
- eliminate all local government and school district reporting requirements as of April 1, 2014 unless the Mandate Relief Council approves continuation of the reporting requirements;

- extend the Tribal State Compact Revenue account until December 2016 and amend laws regarding the availability of funds within that account; and
- reform the arbitration panel determinations for local governments deemed fiscally distressed and limit future arbitration awards from increasing the cost of the employees' collectively bargained compensation package by more than two percent per year.

EDUCATION, LABOR & FAMILY ASSISTANCE

**Summary of Recommended Appropriations
By Agency**

COUNCIL ON THE ARTS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	4,219,000	4,719,000	500,000	11.9%
AID TO LOCALITIES	37,464,000	37,964,000	500,000	1.3%
Total for AGENCY SUMMARY:	41,683,000	42,683,000	1,000,000	2.4%

Agency Mission

The New York State Council on the Arts (NYSCA) is responsible for the oversight and administration of the cultural and artistic resources of the Council on the Arts, the Empire State Plaza Performing Arts Center Corporation and the New York State Theatre Institute. NYSCA is also responsible for administering grants to local non-for-profit arts organizations.

Budget Summary

The Executive proposes an All Funds appropriation of \$42.68 million, an increase of \$1 million or 2.4 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive maintains funding in support of 28 full-time equivalent positions.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$4.72 million, an increase of \$500,000 or 11.9 percent over the SFY 2012-13 level. This increase is comprised of a new \$500,000 appropriation to solicit arts grants or donations.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	28	28	0
TOTAL:	28	28	0

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$37.96 million, an increase of \$500,000 or 1.3 percent over the SFY 2012-13 level. This increase is also comprised of a new \$500,000 appropriation to solicit arts grants or donations.

The Executive proposal would sub-allocate \$100,000 in appropriations to support the Nelson A. Rockefeller Empire State Plaza Performing Arts Center.

CITY UNIVERSITY OF NEW YORK

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	2,231,909,900	2,327,486,900	95,577,000	4.3%
AID TO LOCALITIES	1,306,383,490	1,357,154,990	50,771,500	3.9%
CAPITAL PROJECTS	347,909,000	45,083,000	(302,826,000)	-87.0%
Total for AGENCY SUMMARY:	3,886,202,390	3,729,724,890	(156,477,500)	-4.0%

Agency Mission

The City University of New York (CUNY) is the third largest public university system in the nation, comprised of 19 campuses, seven community colleges, one technical college, a graduate school and an affiliated medical school. CUNY's mission is to provide affordable higher education with a focus on the urban community of New York City.

Budget Summary

The Executive proposes an All Funds appropriations of \$3.73 billion which is a decrease of \$156.48 million or 4 percent from the State Fiscal Year (SFY) 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes State Operations appropriations of \$2.33 billion, an increase of \$95.58 million or 4.3 percent from the SFY 2012-13 level.

CUNY Senior Colleges

The Executive proposes \$524.54 million in funding for CUNY Senior Colleges, maintaining General Fund support levels of SFY 2012-13. The Executive proposes \$964.79 million in tuition funding, an increase of \$60 million from SFY 2012-13, reflecting a scheduled \$300 increase in tuition for Academic Year (AY) 2013-14. The Executive proposes \$18.38 million for the Search for Education, Evaluation, and Knowledge (SEEK) Program and \$1 million for CUNY LEADS, reflecting no change from SFY 2012-13.

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an Aid to Localities appropriation of \$1.36 billion, an increase of \$50.77 million or 3.9 percent from the SFY 2012-13 level.

Community College Base Aid

The Executive proposes to maintain Community College Base Aid at the SFY 2012-13 level of \$2,272 per full-time equivalent student. The Executive recommendation would provide \$191.28 million for base aid, which includes a \$2 million increase to support a new performance-based funding grant program.

Next Generation College Linkage Program

The Executive proposal would link base aid funding with the new requirements for community college workforce and vocational programs, which would provide competitive grants to community colleges based on graduation and workforce outcomes.

Other Community College Programs

The Executive Budget proposal reduces funding for CUNY Child Care by \$544,000, to provide \$813,100 in SFY 2013-14. The Executive would increase funding for Rental Aid by \$701,000 to provide \$8.95 million in SFY 2013-14. Funding for College Discovery would be maintained at SFY 2012-13 levels of \$883,390 and Workforce Development would be maintained at \$1.88 million.

Capital Projects Appropriations

(A. 3004)

The Executive proposes a Capital Projects appropriation of \$45.08 million, a decrease of \$302.83 million or 87 percent from the 2012-13 level, marking the end of the previous 5-year capital plan.

Capital Projects

The Executive proposes funding of \$21 million to reimburse the Dormitory Authority's administrative cost of managing projects at CUNY, \$15.98 million to allow hard dollar capital financing to reimburse the City University of New York Construction Fund, and \$8.10 million to provide for the state's 50 percent share of projects at CUNY Community Colleges. An additional \$55 million is proposed under appropriations made for the Empire State Development Corporation (ESDC) for a NYCUNY 2020 Challenge Grant Program.

Five Year Capital Plan

The Executive's financial plan includes a five year capital plan for CUNY of \$687.7 million, which includes the following:

- \$275 million for the NYCUNY 2020 Challenge Grant Program;
- \$223.1 million for Community College Critical Maintenance Projects; and
- \$189.6 million for CUNY Construction Fund and Dormitory Authority reimbursements.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- create the Next Generation New York Job Linkage Program. Community College programs would be required to partner with employers or prove a regional workforce need in order to remain eligible for state base aid funding; and
- require certain community college programs to partner with employers or prove a regional workforce need in order to remain eligible for state funding.

EDUCATION DEPARTMENT

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	583,012,000	582,018,000	(994,000)	-0.2%
AID TO LOCALITIES	50,341,613,000	51,030,223,000	688,610,000	1.4%
CAPITAL PROJECTS	17,400,000	17,400,000	0	0.0%
Total for AGENCY SUMMARY:	50,942,025,000	51,629,641,000	687,616,000	1.3%

Agency Mission

The State Education Department (SED) is the administrative agency of the Board of Regents. SED administers school aid, regulates school operations, maintains a performance based accountability system, certifies teachers, and administers a host of other educational programs. These programs include special education services, cultural education programs, higher and professional education programs, vocational rehabilitation, and adult career and continuing education services. SED's primary mission is to raise the knowledge, skills, and opportunities of all the people in New York.

Budget Summary

The Executive proposes an All Funds appropriation of \$51.63 billion, a net increase of \$687.62 million or 1.3 percent, over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends support for 2,765 full-time equivalent (FTE) positions, a recommended increase in the staffing level by 101 FTE positions over the SFY 2012-13.

The Executive proposes a year-to-year increase in overall education funding of \$889 million or 4.4 percent, increasing aid from \$20.2 billion to \$21.1 billion for School Year (SY) 2013-14. Included in this amount is a year-to-year increase in General Support for Public Schools (GSPS) of \$611 million or 3 percent, providing \$20.8 billion in SY 2013-14.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$582 million, a decrease of \$994,000 or 0.17 percent, from the SFY 2012-13 level.

The Executive Budget would provide support for 2,765 FTEs, an increase of 101 FTEs. This staffing increase relates primarily to additional direct care positions for vocational rehabilitation services staff and for employees overseeing the licensing of professions that are regulated by SED.

Program and Fiscal Audits

The Executive Budget provides up to \$2 million in federal funds to support program and fiscal audits of preschool special education providers to be conducted by an external audit firm selected through an RFP. The Executive Budget also provides \$2 million for development of data collection and analysis to improve oversight.

School Performance Management System

The Executive Budget requires SED to develop a School Performance Management system that will streamline school district reporting and increase fiscal and program transparency and accountability.

Teaching Certificate Requirements

The Executive Budget allocates up to \$13.9 million in federal funds to SED to implement a plan which requires longer, more intensive and high quality student teaching experiences. In addition, it would provide for the creation of standards for a teacher and principal “bar exam” certification program.

Other Actions

The Executive Budget provides an additional \$1.5 million for the administration of the January Regents exams, and continues \$3.66 million in funding for the administration of High School Equivalency Exams.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	279	279	0
All Other Funds:	2,385	2,486	101
TOTAL:	2,664	2,765	101

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$51 billion, a net increase of \$688.61 million or 1.37 percent, over the SFY 2012-13 level. This two-year appropriation includes funds for SFY 2014-15, which contains a 3.3 percent increase in School Aid based on projected growth in New York State personal income.

General Support for Public Schools: Formula Based Aids

Under the Executive proposal, School Aid will be increased by \$611 million, reflecting a three percent growth in New York State personal income. This increase would be allocated to the Gap Elimination Adjustment (GEA) restoration of \$272 million, expense-based aids of \$289 million, and a new round of Performance Improvement and Management Efficiency Grants of \$50 million. Formula based aids will generate an additional \$550 million in SY 2013-14.

Eligibility to receive increases in School Aid for the 2013-14 School Year would again be linked to district compliance with Annual Professional Performance Review (APPR) plans, which must be approved by September 1, 2013.

Six school districts, including the New York City School District, were unable to reach agreement and finalize an approved APPR plan for the SY 2012-13. As a result, these school districts are ineligible to receive State Aid increases for SY 2012-13, and remaining payments for SY 2012-13 will be adjusted accordingly. As a result of noncompliance with the APPR requirements, New York City schools are slated to lose \$242 million as a mid-year reduction.

Funding levels for formula based aids are provided in the chart below:

AID CATEGORY	2012-13	2013-14	Change	
	<u>School Year</u>	<u>School Year</u>	<u>Amount</u>	<u>Percent</u>
Formula-Based Aids:	(\$ in millions)	(\$ in millions)	(\$ in millions)	
Foundation Aid	15,005.36	15,005.36	0.00	0.00%
Excess Cost - High Cost	452.25	532.04	79.79	17.64%
Excess Cost - Private	320.09	358.98	38.89	12.15%
Reorganization Operating Aid	2.86	2.57	(0.29)	(10.14)%
Textbooks	179.05	181.34	2.29	1.28%
Computer Hardware	38.02	38.86	0.84	2.21%
Computer Software	45.73	46.69	0.96	2.10%
Library Materials	19.01	19.48	0.47	2.47%
BOCES	704.13	724.86	20.73	2.94%
Special Services	205.47	204.19	(1.28)	(0.62)%
Transportation	1,661.62	1,722.49	60.87	3.66%
High Tax	204.77	154.74	(50.03)	(24.43)%
Universal Prekindergarten	384.15	385.03	0.88	0.23%
Academic Achievement Grant	1.20	1.20	0.00	0.00%
Supplemental Educational Improvement Grant	17.50	17.50	0.00	0.00%
Charter School Transitional Aid	34.61	33.47	(1.14)	(3.29)%
Full-Day Kindergarten	7.27	13.83	6.56	90.23%
Academic Enhancement Aid	8.32	8.32	0.00	0.00%
Supplemental Public Excess Cost	4.31	4.31	0.00	0.00%
Gap Elimination Adjustment	(2,156.28)	(1,834.73)	321.55	N/A
Building Aid/Reorganization Building	2,714.11	2,783.33	69.22	2.55%
Total Formula-Based Aids	19,853.55	20,403.86	550.31	2.77%

Other Education Funding

In addition to a \$611 million increase in GSPS, the Executive proposal provides new support for Fiscal Stabilization Funding (\$203 million) and New NY Education Reform Commission Grants (\$75 million).

Fiscal Stabilization Funding

Fiscal Stabilization Funding is a one-time financial relief to school districts for SY 2013-14, in recognition of extraordinary increases in fixed costs. This new \$203 million will be allocated pursuant to enactment of a chapter of law, and eligibility is subject to compliance with the APPR provisions.

Support for Education Reform Commission Recommendations

The Executive Budget would also provide \$75 million in grants for SY 2013-14, based on the recommendations of the Governor's *New NY Education Reform Commission*, for the following initiatives: Full-Day Prekindergarten (\$25 million), Extended Learning Time (\$20 million), Community Schools (\$15 million), Rewards for High Performing Teachers (\$11 million), and Early College High School Programs (\$4 million). In order to be eligible to receive these funds, school districts must comply with the APPR provisions.

The \$25 million for Full-Day Prekindergarten is intended to expand existing, or establish new, programs specifically targeting high need students in lower wealth districts. To be eligible for Extended Learning Time funds, school districts must increase learning time by at least 25 percent through extended hours, more school days, or a combination of the two. Such districts will receive \$1,500 per pupil or 10 percent of their average per pupil costs, whichever is greater.

School districts seeking to create Community Schools would be eligible for grants up to \$500,000. This \$15 million grant will help schools combine education and after-school programming with social, health, and other services. The Reward High Performing Teachers grant program of \$11 million provides \$15,000 stipends for teachers for four years. Beginning with math and science teachers, these "master teachers" will develop and train other teachers. In addition, the budget would provide \$4 million to fund investments in Early College High School Programs.

GSPS: Grant Programs and Additional Aid Categories

The Executive would increase funding for the following programs accordingly:

- Assistance for Homeless Pupils is provided at \$21.23 million, an increase of \$3 million over SY 2012-13;
- Incarcerated Youth Education support is provided at \$21 million, an increase of \$500,000 over SY 2012-13;
- Native American Education is increased to \$45.3 million, or \$7.69 million over SY 2012-13; and
- support for the cost of chargebacks is provided at \$41 million, \$1.2 million more than SY 2012-13.

The Executive Budget maintains funding for the following programs for the 2013-14 School Year:

- Teachers of Tomorrow: \$25 million;
- Teacher-Mentor Intern Program: \$2 million;
- School Health Services: \$13.84 million;

- Special Academic Improvement Grant for the Roosevelt School District: \$12 million;
- Urban-Suburban Transfer Program: \$2.73 million;
- Employment Preparation Education Aid: \$96 million;
- Bilingual Education: \$12.5 million;
- Special Act School Districts: \$2.7 million;
- BOCES Aid for Special Act Districts: \$700,000;
- Learning Technology Grants: \$3.29 million;
- Native American Building Aid: \$5 million;
- Bus Driver Safety: \$400,000; and
- Education of OMH/OPWDD pupils: \$80 million.

Other Elementary and Secondary Education Programs

The Executive proposal would:

- increase Nonpublic School Aid by \$4.95 million to a total of \$128.57 million;
- eliminate funding of \$10.2 million for Teacher Resource and Computer Training Centers;
- increase funding for Lunch/Breakfast Programs to \$34.4 million, which is an increase of \$700,000 over SFY 2012-13;
- decrease funding for the Consortium for Worker Education setaside to \$11.5 million, which is a decrease of \$1.5 million from the SY 2012-13 funding level;
- eliminate funding for Section 3627 Afterschool Transportation, which totaled \$3 million in SY 2012-13;
- decrease Prior Year Claims/Fiscal Stabilization Grants to \$32.79 from \$45.07 million, reflecting a \$12.28 million reduction in debt service;

The Executive proposal maintains funding for the following programs for the 2013-14 School Year:

- Extended School Day/School Violence Prevention funding: \$24.34 million;
- Adult Literacy Education: \$5.29 million;
- Charter School Start Up Grants: \$4.84 million;
- Summer Food Program: \$3.05 million;
- Small Government Assistance to School Districts funding: \$1.87 million;
- Adult Basic Education: \$1.84 million;
- Math and Science High Schools: \$1.38 million;
- Targeted Prekindergarten funding: \$1.3 million;
- County Vocational Education and Extension Boards: \$932,000;
- Academic Intervention Services for Nonpublic Schools: \$922,000;

- Primary Mental Health Project: \$894,000;
- Center for Autism and Related Disabilities at the University at Albany: \$740,000, with an additional \$500,000 in federal funding provided to support this program;
- Health Education Program: \$691,000;
- Postsecondary Aid to Native Americans: \$598,000;
- Student Mentoring and Tutoring Program funding: \$490,000;
- New York State Center for School Safety: \$466,000;
- Say Yes to Education Program funding: \$350,000;
- Just Kids program at the University at Albany: \$235,000; and
- Children of Migrant Workers: \$89,000.

Other School Programs

The Executive proposal includes:

- funding for Preschool Special Education (4410) programs at \$983.5 million, which is an increase of \$46.8 million over SFY 2012-13. Additionally, the Executive Budget provides \$1 million in targeted grants to counties to develop and enhance their oversight of these programs; and
- a decrease in funding for Private Schools for the Blind and Deaf to \$97.1 million, which is a decrease of \$2.2 million from the SFY 2012-13 level.

Higher Education and the Professions

The Executive maintains SFY 2012-13 funding levels for the following opportunity programs administered by SED in SFY 2013-14:

- \$24.27 million for the Higher Education Opportunity Program (HEOP);
- \$12.54 million for Liberty Partnerships;
- \$10.80 million for the Science and Technology Program (STEP); and
- \$8.18 million for the Collegiate Science and Technology Program (CSTEP).

The Executive maintains SFY 2012-13 funding levels for other programs in SFY 2013-14:

- \$35.13 million for Unrestricted Aid to Independent Colleges and Universities (Bundy Aid);
- \$941,000 for the High Needs Nursing Program;
- \$598,000 for the Postsecondary Aid to Native Americans Program;
- \$450,000 for the Teacher Opportunity Corp Program; and
- \$368,000 for the National Board for Professional Teaching Standards Certification Grant Program.

Adult Career and Continuing Education Services Program

The Executive proposal would maintain funding for Case Services (\$54 million), Independent Living Centers (\$12.36 million), College Readers Aid (\$294,000) and Supported Employment (\$15.16 million) at SFY 2012-13 funding levels.

Cultural Education Program

The Executive proposes the continuation of funding for Aid for Public Libraries (\$81.63 million), reimbursement to public libraries of costs associated with the MTA Mobility tax (\$1.3 million) and funding for Educational Television and Radio (\$14 million) at SFY 2012-13 funding levels.

Capital Projects Appropriations

(A. 3004)

The Executive proposes an All Funds Capital Projects appropriation of \$17.4 million, which is the same as the SFY 2012-13 level. This appropriation would continue funding of \$14 million for Public Library Capital projects throughout the state and maintain funding for various minor rehabilitation projects to keep State Education Department facilities in safe operating condition at \$3.4 million.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- require school districts to continue full implementation of the Annual Professional Performance Review standards and procedures for teachers and building principals in order to be eligible to receive increases in school aid for the 2013-14 school year and thereafter. Such plans must be approved by the Commissioner by September first;
- continue the Contract for Excellence program by requiring all school districts that submitted a contract for the 2012-13 school year to submit a contract for the 2013-14 school year unless all schools within the district are reported as being in “good standing” academically;
- establish a time limit for adjustments to aid payable for instructional materials;
- exempt school districts with fewer than 1,000 students from the internal audit function, in addition to school districts already exempted in current law;
- maintain the tuition freeze for charter schools at the 2010-11 charter school tuition rate;
- maintain Supplemental Public Excess Cost aid at its current level through the 2014-15 school year;

- limit school districts from receiving Full Day Kindergarten incentive aid more than once;
- maintain Academic Enhancement aid at its current level through the 2014-15 school year;
- alter the calculation of High Tax Aid;
- continue and provide for the calculation of the Gap Elimination Adjustment restoration;
- freeze certain school aid formulas for expense based aids for both 2012-13 and 2013-14 school years to the lesser of the Executive run or revised data;
- maintain existing provisions for the Teachers of Tomorrow program in the NYC school district for the 2013-14 school year;
- provide for Community School competitive grants, which would be awarded by the Council on Children and Families to eligible school districts for the delivery of academic, health, nutrition, counseling, legal and other services in a manner that will lead to improved educational and other outcomes;
- provide for Extended Learning competitive grants to school districts that add at least 25 percent more time to the academic calendar by extending the school day, the school year or a combination thereof;
- alter the current payment schedule for summer programs for children attending schools for the blind and deaf to align with the payment method for their school year programs;
- maintain special education class size waivers for school districts;
- authorize a school district, private school or Board of Cooperative Educational Services (BOCES) to apply to SED for a waiver from certain special education requirements provided that federal compliance is maintained and the waiver will enhance student achievement and opportunities through an innovative program. Under this initiative, notice of the proposed waiver must be provided to all parents of students that would be impacted by the waiver and the parents must be provided an opportunity to submit written comments;
- authorize the City of New York to establish local tuition rates for preschool special education programs and services, provided that such rates do not exceed the rates set by the Commissioner. This provision further authorizes the City to select approved preschool special education and related services providers for the delivery of services or programs through a competitive request for proposal process;

- authorize counties to retain 75 percent, instead of 40.5 percent, of any disallowances or overpayments found upon an audit of preschool special education programs as approved by the Commissioner;
- continue school district authorization to lease school buses until September 1, 2015;
- provide for the continuation of the Consortium for Worker Education (CWE) setaside within the Employee Preparation Education (EPE) program at the reduced level of \$11.5 million;
- continue miscellaneous extenders for one year;
- continue the current provisions relating to the conditional appointment of school employees in School districts, BOCES and charter schools through the SY 2013-14;
- maintain the provisions of State law that conform to the federal No Child Left Behind requirements;
- continue provisions for the school bus driver training grant program;
- continues existing provisions for the support of public libraries;
- continues existing provisions for the Chapter 1 Advance;
- continue existing provisions for a lottery accrual due to a change made by the Government Accounting Standards Board regarding the Teacher Retirement System pension contribution;
- continue the authorization for the Rochester City School District to purchase health services from BOCES;
- continue existing setaside provisions for Magnet Schools, Attendance Improvement and Dropout Prevention, and Teacher Support Aid within Foundation Aid;
- establish a STAR Anti-fraud Protection Plan to eliminate fraud and waste in the real property School Tax Relief program. The proposal would authorize the Division of Taxation and Finance to verify eligibility of all STAR recipients; and
- provide that 90 percent of additional state approved casino revenues will go toward elementary-secondary education and will be outside of the income growth cap.

OFFICE OF CHILDREN AND FAMILY SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	519,856,200	540,353,200	20,497,000	3.9%
AID TO LOCALITIES	3,249,823,250	3,196,785,050	(53,038,200)	-1.6%
CAPITAL PROJECTS	37,675,000	37,675,000	0	0.0%
Total for AGENCY SUMMARY:	3,807,354,450	3,774,813,250	(32,541,200)	-0.9%

Agency Mission

The Office of Children and Family Services (OCFS) is responsible for coordinating a system of support to help families achieve and maintain self-sufficiency and to provide for the well-being of their children. OCFS administers a broad range of child welfare, child care, adult protective and delinquency programs, as well as residential and community-based services for New York State's juvenile justice system. OCFS also supervises services to the blind and visually handicapped.

Budget Summary

The Executive proposes All Funds appropriations of \$3.77 billion for OCFS, a reduction of \$32.54 million or 0.9 percent from State Fiscal Year (SFY) 2012-13 levels. The Executive recommends funding support of 2,688 full-time equivalent (FTE) positions, a decrease of 575 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes State Operations appropriations of \$540.35 million, a net increase of \$20.50 million or 3.9 percent from the SFY 2012-13 level.

Juvenile Justice

The Executive proposes to continue and expand the Close to Home initiative, enacted in SFY 2012-13 to bring New York City youth in certain juvenile justice facilities closer to their home community. The second phase of the Close to Home initiative is to move NYC youth in limited secure facilities closer to the City. The Executive Budget proposes a decrease of \$8.41 million for the closure of certain

limited-secure facilities. The closures would result in the elimination of 282 FTE positions through attrition.

The Executive also proposes to expand the Close to Home initiative to youth from areas outside of NYC who reside in non-secure OCFS facilities, and additional facility closures would result. The Executive Budget would reduce appropriations by \$2.82 million related to the expansion of the Close to Home initiatives to youth residing in non-secure facilities in the rest of the state, which will result in the attrition of 168 FTE positions.

The Executive Budget also proposes an additional \$2 million for the planning of the Close to Home initiative for youths residing outside of NYC.

Justice Center for the Protection of People with Special Needs

The Executive Budget transfers \$15 million from OCFS to the Justice Center for the Protection of People with Special Needs, which supports funding for 200 FTE positions.

Statewide Central Register

The Executive Budget proposes an appropriation of \$16.5 million for a Statewide Central Register to support 25 FTE positions to monitor and process clearance for OCFS staff that interacts with youth, a \$1.5 million increase from SFY 2012-13.

Human Services Contact Center

The Executive Budget proposes a \$43.83 million appropriation for the consolidation of human services call centers for the following agencies: OCFS, the Office for Temporary and Disability Assistance, the Office for People with Developmental Disabilities, the Office of Mental Health, the Office of Victim Services, the Office of Alcoholism and Substance Abuse Services and the Department of Civil Service. Funding would be transferred from these agencies to OCFS to support call center operations.

Youth Facility Improvements

The Executive Budget recommends an additional 50 FTE positions related to the improvement of youth facilities. This recommendation requires no new funding because the hiring was anticipated during SFY 2012-13.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	3,263	2,688	(575)
TOTAL:	3,263	2,688	(575)

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an Aid to Localities appropriation of \$3.2 billion, a net decrease of \$53.04 million or 2 percent from the SFY 2012-13 level.

Continuation of the Close to Home Initiative

The Executive Budget provides \$27.65 million to expand the Close to Home initiative for youths residing in limited-secure facilities in the New York City area. This appropriation facilitates the second phase of this initiative, which directs that youths originating from New York City and residing in limited secure facilities outside of New York City, be transferred to such facilities closer to their home. A plan for this transfer phase will be submitted after April 1, 2013, and youth are expected to transfer during SFY 2013-14.

Child Care Subsidies

The Executive Budget decreases General Fund appropriation for child care subsidies by \$70.69 million, but provides an increase from Temporary Assistance for Needy Families of the same amount. Overall, child care subsidies would be funded at \$842.83 million, a decrease of \$5.33 million from SFY 2012-13. Additionally, the Child Care Unionization initiative, which was first appropriated at \$3.74 million in SFY 2012-13 would be eliminated, consistent with negotiated agreements.

Youth Programs

The Executive proposes to combine the Youth Development Delinquency Program and the Special Delinquency Prevention Program (YDDP/SDPP) into the Youth Development Program. The Youth Development Program would be funded at \$14.12 million, a decrease of \$1.29 million compared to the combined funding for YDDP/SDPP in SFY 2012-13. The funding would be allocated to counties based on specific risk factors and youth population.

Community-Based Initiatives

The Executive Budget eliminates \$5.41 million for various community-based initiatives including: Community Reinvestment (\$1.75 million); Safe harbor (\$1.5 million); Caseload Reduction (\$760,000); Settlement Houses (\$450,000); Boys and Girls Clubs (\$750,000); and CASES (\$200,000). Additionally, the Executive provides \$2.36 million for the Runaway and Homeless Youth program, a reduction of \$210,000.

Foster Care Block Grant Increase

The Executive increases appropriations by \$1.04 million for the Foster Care Block Grant in order to adequately fund the Close to Home initiative for youth residing in juvenile justice facilities throughout the state.

Capital Projects Appropriations

(A. 3004)

The Executive Budget proposes a Capital Projects appropriation of \$37.68 million, which maintains the SFY 2012-13 funding level.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- consolidate the Youth Delinquency and Development Program (YDDP) and the Special Delinquency and Development Program (SDDP) into a single Youth Development Program; and
- expand the non-secure phase of the Close to Home initiative to the rest of the state. It would also notwithstanding the 12-month notification requirement and authorizes OCFS to close facilities and make significant staff or service reductions upon 60-day notification to the Legislature.

OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	452,193,000	448,634,000	(3,559,000)	-0.8%
AID TO LOCALITIES	5,280,012,000	5,281,014,000	1,002,000	0.02%
Total for AGENCY SUMMARY:	5,732,205,000	5,729,648,000	(2,557,000)	-0.04%

Agency Mission

The Office of Temporary and Disability Assistance (OTDA), working with the Office of Children and Family Services and other agencies, helps needy children and families to achieve economic self-sufficiency. OTDA administers public assistance programs, including Family Assistance, Safety Net Assistance, Supplemental Security Income, the Federal Food Stamp Program, the Home Energy Assistance Program, child support enforcement and services, refugee assistance programs, and homeless shelter and service programs. OTDA also serves as the host agency for the administration of the federal Temporary Assistance to Needy Families (TANF) block grant, which provides funding for public assistance benefits, as well as for programs and services designed to assist needy children and families as they transition to self-support.

Budget Summary

The Executive proposes All Funds appropriations of \$5.73 billion, a net decrease of \$2.56 million from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 1,890 full-time equivalent (FTE) positions, an increase of 30 positions from the SFY 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes a State Operation appropriation of \$448.63 million, a decrease of \$3.56 million or 1 percent from the SFY 2012-13 level.

Agency Operations

The Executive eliminates \$1 million for the Quick Copy Center account, which funds printing operations within OTDA. The funding, along with two FTE positions that served those operations, would be consolidated within the Department of Taxation and Finance. The Executive also proposes a reduction of \$2.6 million related to excess federal appropriations for the Food Stamp Employment and Training Program.

ALL FUNDS PERSONNEL BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	337	323	(14)
All Other Funds:	1,523	1,567	44
TOTAL:	1,860	1,890	30

Aid to Localities Appropriations (A. 3003)

The Executive proposes Aid to Localities appropriations of \$5.28 billion, a net increase of \$1 million over the SFY 2012-13 level.

Public Assistance Benefits

The Executive Budget estimates a public assistance caseload of 554,011 recipients for SFY 2013-14, a decrease of 2,177 recipients from SFY 2012-13. General Fund support of the public assistance grant is requested in the amount of \$520 million, a decrease of \$49 million from the SFY 2012-13 level. The Executive estimates federal TANF support in the amount of \$1.26 billion, a decrease of \$32.88 million from the SFY 2012-13 level.

TANF Initiatives

The Executive proposes an appropriation of \$1.36 billion for TANF initiatives, an increase of \$79.66 million over SFY 2012-13. The increase in funding available for TANF initiatives is attributable to a reduction in the amount of the federal TANF block grant being used for benefits, which is due to the estimated decrease in public assistance caseload. The Executive eliminates \$18.03 million in TANF initiatives that were enacted in SFY 2012-13.

TANF Initiatives			
(\$ in thousands)			
CATEGORY/ITEM	SFY 2012-13 Enacted	SFY 2013-14 Executive	Change
FLEXIBLE FUND FOR FAMILY SERVICES	964,000	964,000	-
CHILD CARE SUBSIDIES	324,276	394,967	70,691
TANF INITIATIVES:			
ACCESS - WELFARE TO CAREERS	800	-	(800)
ADVANTAGE SCHOOLS	500	-	(500)
ATTAIN	3,000	-	(3,000)
BRIDGE	102	-	(102)
CAREER PATHWAYS	750	-	(750)
CARETAKER RELATIVE/KINSHIP	51	-	(51)
CENTRO OF ONEIDA	25	-	(25)
COMM. SOLUTIONS TRANSPORTATION	112	-	(112)
DISABILITY ADVOCACY PROGRAM (DAP)	250	-	(250)
DISPLACED HOMEMAKERS	546	-	(546)
EDUCATIONAL RESOURCES	250	-	(250)
EMERGENCY HOMELESS NEEDS	500	-	(500)
FACILITATED ENROLLMENT	1,265	-	(1,265)
FATHERHOOD INITIATIVE	200	-	(200)
FOOD BANKS (NYS)	-	2,000	2,000
FOOD PANTRY INITIATIVE	250	-	(250)
HOMELESS INTERVENTION (SHIP)	1,500	-	(1,500)
NON-RESIDENTIAL DV	1,210	-	(1,210)
NURSE-FAMILY PARTNERSHIP	2,000	-	(2,000)
PREVENTIVE SERVICES INITIATIVE	610	-	(610)
REFUGEE RESETTLEMENT PROGRAM	102	-	(102)
ROCHESTER-GENNESSEE REGIONAL TA	82	-	(82)
SETTLEMENT HOUSES	1,000	-	(1,000)
SUMMER YOUTH EMPLOYMENT	-	25,000	25,000
SUNY/CUNY CHILD CARE	334	-	(334)
SUPPORTIVE HOUSING FOR FAMILIES (SHFYA)	1,500	-	(1,500)
WAGE SUBSIDY PROGRAM	950	-	(950)
WHEELS FOR WORK	144	-	(144)
SUBTOTAL OF TANF INITIATIVES	18,033	27,000	8,967
TANF FUNDING TOTAL	1,306,309	1,385,967	79,658

Supplemental Nutrition Assistance Program (SNAP) Increase

The Executive Budget proposes appropriations of \$400 million for statewide SNAP funds, an increase of \$25 million from the SFY 2012-13 level. This increase reflects an increase in federal funding linked to a projected increase in caseload.

Social Security Income (SSI)

The Executive Budget proposes an appropriation of \$784.49 million, or an increase of \$11.59 million over the SFY 2012-13 level, due to an estimated increase in SSI recipients and higher administrative fees that are charged by the federal government for its administration of the program.

Refugee and Homeless Housing Programs Increase

The Executive Budget proposes \$26 million for the Refugee Resettlement Program, an increase of \$1 million over the 2012-13 level. The Homeless Housing Program is appropriated at \$9.5 million, an increase of \$2 million over the SFY 2012-13 level. These additional appropriations will fund emergency shelter grants.

Homelessness and Housing Programs

The Executive Budget proposes an appropriation of \$28.68 million, a decrease of \$1.6 million from the SFY 2012-13 level, for the Solutions to End Homelessness Program, New York State Supportive Housing Program, and Operational Support for AIDS Housing initiatives.

Human Services Initiatives

The Executive Budget proposes the elimination of appropriations for the Educational Resources program, which was appropriated \$250,000 in SFY 2012-13. An appropriation of \$2.38 million is provided for the Disability Advocacy Program, a \$250,000 decrease from the SFY 2012-13 level.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- authorize the 2014 Federal Cost of Living Adjustment increase for individuals receiving SSI, who reside in various living arrangements, in varied increments of \$2 to \$18; and
- transfer the administration of Homeless Housing and Assistance Program from the Office of Temporary and Disability Assistance to the Division of Housing and Community Renewal.

NEW YORK STATE HIGHER EDUCATION SERVICES CORPORATION

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	91,751,000	87,804,000	(3,947,000)	-4.3%
AID TO LOCALITIES	1,025,757,000	1,046,018,000	20,261,000	2.0%
Total for AGENCY SUMMARY:	1,117,508,000	1,133,822,000	16,314,000	1.5%

Agency Mission

The Higher Education Services Corporation (HESC) was established in 1974 and administers the state's Tuition Assistance Program (TAP), the federal Family Education Loan Program, and other state and federal aid programs.

Budget Summary

The Executive proposes an All Funds appropriation of \$1.13 billion which is an increase of \$16.31 million or 1.5 percent, over the SFY 2012-13 level. The Executive recommends funding support of 447 full-time equivalent (FTE) positions, a decrease of 13 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes a State Operations appropriation of \$87.80 million, a decrease of \$3.95 million or 4.3 percent from the SFY 2012-13 level. This decrease reflects a \$3.77 million reduction in administrative costs and a reduction of \$181,000 in federal funding for the College Access Challenge Grant Program.

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an Aid to Localities appropriation of \$1.04 billion, an increase of \$20.26 million or 2 percent from the SFY 2012-13 level.

Tuition Assistance Program

The Executive Budget appropriates the Tuition Assistance Program (TAP) at \$950.42 million, an increase of \$17.19 million from State Fiscal Year (SFY) 2012-13 caused by increased payments due to tuition increases at State University of New York and City University of New York.

Other Scholarships and Awards

The Executive Budget maintains SFY 2012-13 funding levels for the Aid to Part-Time Study Program at \$14.35 million; the Patricia K. McGee Nursing Faculty Scholarship and Nursing Faculty Loan Forgiveness programs at \$3.93 million; and the Licensed Social Worker Loan Forgiveness Program at \$978,000. The Executive Budget reduces funding for scholarships administered by HESC by \$1.54 million from \$43.88 million in SFY 2012-13 to \$42.34 million in SFY 2013-14.

DIVISION OF HOUSING AND COMMUNITY RENEWAL

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	87,963,000	93,748,000	5,785,000	6.6%
AID TO LOCALITIES	145,845,000	89,427,000	(56,418,000)	-38.7%
CAPITAL PROJECTS	104,200,000	104,200,000	0	0.0%
Total for AGENCY SUMMARY:	338,008,000	287,375,000	(50,633,000)	-15.0%

Agency Mission

The Division of Housing and Community Renewal (DHCR) supports community efforts to preserve and expand affordable housing, home ownership and economic opportunities. In addition, DHCR provides construction and rehabilitation loans and grants; administers rent control, rent stabilization and rent subsidy programs; and supervises the management of state-assisted housing stock.

Budget Summary

The Executive proposes an All Funds appropriation of \$287.38 million, a decrease of \$50.63 million or 15 percent from the SFY 2012-13 funding level. The Executive recommends funding support for 692 full-time equivalent (FTE) positions, which is an increase of four FTEs from the SFY 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$93.75 million, an increase of \$5.79 million or 6.6 percent over the SFY 2012-13 level.

Tenant Protection Unit

The Executive continues funding for the Tenant Protection Unit at \$5.79 million. This unit was last funded through agency reappropriations.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	688	692	4
TOTAL:	688	692	4

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$89.43 million, a decrease of \$52.42 million or 38.7 percent, below the SFY 2012-13 level.

Community Preservation Program

In SFY 2012-13, Neighborhood Preservation Programs (NPP) and Rural Preservation Programs (RPP) received a combined \$14.27 million, which is eliminated from the DHCR budget in SFY 2013-14 budget request. Instead, the Executive proposes the consolidation of NPP and RPP into a single Community Preservation Program (CPP). The CPP would be funded with \$12.02 million from the reserves held in the Mortgage Insurance Fund (MIF), instead of General Fund resources.

Rural Rental Assistance Program

In SFY 2012-13, the Rural Rental Assistance Program (RRAP) received \$19.6 million, which is eliminated from the DHCR budget in SFY 2013-14. Instead, the Executive proposes to fund RRAP with MIF reserves at \$20.4 million, an increase of \$800,000.

Program Eliminations

The Executive proposes the elimination of the Main Street Program (\$3 million), Urban Initiatives (\$4 million), Rural Area Revitalization (\$4 million), and the NYCHA Tenant Patrol Program (\$740,000) in SFY 2013-14.

Low Income Weatherization Program

The Executive proposes funding for the Low Income Weatherization Program of \$32.50 million, a decrease of \$10 million from the SFY 2012-13 level to align state appropriations with federal authority.

Capital Projects Appropriations

(A. 3004)

The Executive proposes an All Funds Capital Projects appropriation of \$104.2 million, the same funding level as adjusted appropriations for SFY 2012-13.

Homeless Housing Development Program

The Executive proposes to transfer the Homeless Housing Assistance Program (HHAP) from the Office of Temporary and Disability Assistance (OTDA) to DHCR. The Executive provides \$30 million for HHAP in SFY 2013-14, representing no change from the SFY 2012-13 level.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- Eliminate the Neighborhood and Rural Preservation Programs and create the Community Preservation Program, which would fill the role of both programs;
- Expand the type of and nature of investments that can be made by the State of New York Mortgage Agency and the Housing Finance Agency;
- Transfer the administration of the Homeless Housing and Assistance Program from the Office of Temporary and Disability Assistance to the Division of Housing and Community Renewal;
- Authorize the board of directors of the State of New York Mortgage Agency (SONYMA) to transfer up to \$100 million to the General Fund; and
- Authorize the board of directors of SONYMA to reimburse the Housing Trust Fund Corporation for \$12.02 million for the cost of the Community Preservation Program, \$20.4 million for the Rural Rental Assistance Program, and \$17.85 million for rehabilitation of Mitchell-Lama Housing.

DIVISION OF HUMAN RIGHTS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	18,010,000	18,010,000	0	0.0%
Total for AGENCY SUMMARY:	18,010,000	18,010,000	0	0.0%

Agency Mission

The primary mission of the Division of Human Rights (Division) is to enforce the New York State Human Rights Law and to protect the civil rights of New Yorkers. The Division prosecutes unlawful discriminatory practices; investigates and resolves individual complaints of illegal discrimination; advances policies and legislation to expand and to protect civil rights; and promotes education and outreach to raise human rights awareness. The Division operates from its main office in New York City, as well as nine regional offices and two satellite offices across the state.

Budget Summary

The Executive proposes an All Funds Appropriation of \$18.01 million, which maintains funding levels from State Fiscal Year (SFY) 2012-13. The Executive recommends the funding support of 164 full-time equivalent (FTE) positions, a decrease of four positions.

State Operations Appropriations

(A. 3000)

The Executive proposes a State Operations appropriation of \$18.01 million, which maintains funding levels from SFY 2012-13.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	128	124	(4)
All Other Funds:	40	40	0
TOTAL:	168	164	(4)

DEPARTMENT OF LABOR

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	751,425,000	741,881,000	(9,544,000)	-1.3%
AID TO LOCALITIES	6,729,076,000	5,613,278,000	(1,115,798,000)	-16.6%
Total for AGENCY SUMMARY:	7,480,501,000	6,355,159,000	(1,125,342,000)	-15.0%

Agency Mission

The Department of Labor (DOL) administers New York's Unemployment Insurance system, labor exchange system and state worker protection programs, including enforcement of safety and health regulations in the public sector; state labor laws and federal statutes.

DOL is a primary advocate for job creation and economic growth through workforce development and is the state's principal source of labor market information, offering a variety of services designed to help businesses to find workers and people to find jobs.

Budget Summary

(A. 3000)

The Executive recommends All Funds appropriations of \$6.36 billion, a decrease of \$1.13 billion or 15 percent below the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 3,612 full-time equivalent (FTE) positions, a decrease of 9 FTEs from SFY 2012-13 levels.

State Operations Appropriations

The Executive recommends All Funds appropriations of \$741.88 million, a decrease of \$9.54 million or 1.3 percent from the SFY 2012-13 level.

State Contact Center

The Executive proposes a new appropriation of \$9.36 million to host a single contact center for the Division of Veterans' Affairs, Workers Compensation Board, State Insurance Fund, and Empire State Development.

NY State Data Center

The Executive proposal includes a new appropriation of \$285,000 to support the transfer of the State Data Center from the Department of Economic Development to DOL. The State Data Center is the state's primary source for economic and demographic data and is used to track trends in the state.

Unemployment Insurance Administration

The Executive budget proposes \$471.94 million for Unemployment Insurance administration, a net increase of \$25.73 million due to increases in federal funding.

Workforce Investment Act Administration

The Executive Budget recommends \$58.98 million for the state to administer the provisions of Workforce Investment Act, a net increase of \$13.93 million resulting from increased federal funding.

ALL FUNDS PERSONNEL BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	3,621	3,612	(9)
TOTAL:	3,621	3,612	(9)

Aid to Localities Appropriations

(A. 3003)

The Executive recommends All Funds appropriations of \$5.61 billion, a decrease of \$1.12 billion or 16.6 percent over the SFY 2012-13 level.

Unemployment Insurance

The Executive Budget proposes \$5.4 billion for Unemployment Insurance benefits, a \$1.1 billion decrease due to an anticipated decline in regular and extended unemployment benefits. Available appropriations of \$1.65 billion would support extended benefits recently authorized by Congress that will be available through December 2013.

Training and Employment:

The Executive decreases appropriations by \$4.5 million, reflecting the elimination of various labor programs funded in SFY 2012-13, including support for the New York Committee on Occupational Safety and Health.

Workforce Investment Act

The Executive Budget recommends \$171.36 million in Workforce Investment Act funding, an \$11.35 million decrease due to a reduction in federal funding.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- implement Unemployment Insurance Reform. Specifically, the Executive would modify the unemployment insurance program as it relates to: minimum and maximum weekly benefit for claimants; increasing the taxable wage base for employers; and amending various provisions of law to improve the solvency of the Unemployment Trust Fund;
- raise the statutory minimum wage to \$8.75 per hour effective on July 1, 2013; and
- authorize the transfer of the State Data Center from the Department of Economic Development to the Department of Labor.

STATE OF NEW YORK MORTGAGE AGENCY

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	76,800,000	76,800,000	0	0.0%
AID TO LOCALITIES	91,665,000	97,050,000	5,385,000	5.9%
Total for AGENCY SUMMARY:	168,465,000	173,850,000	5,385,000	3.2%

Agency Mission

The State of New York Mortgage Agency is a public benefit corporation created to increase the affordability of home ownership for low to moderate income residents of New York State. This is accomplished by the SONYMA's issuance of taxable and tax exempt bonds and the use of proceeds to purchase low-interest rate mortgage loans. SONYMA receives no direct operating support from the state.

Budget Summary

The Executive proposes All Funds appropriations of \$173.85 million, an increase of \$5.38 million or 3.2 percent over the State Fiscal Year (SFY) 2012-13 level. The SONYMA enabling statute requires the state to guarantee payments made by SONYMA, although no cash disbursements are projected to be made from this appropriation. All of SONYMA's programs and operations are supported by mortgage income, application fees, insurance premiums, and investment proceeds.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$76.8 million, the same funding level as SFY 2012-13.

Aid to Localities Appropriations

(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$97.05 million, an increase of \$5.39 million or 5.9 percent over the SFY 2012-13 level to accommodate statutorily required guarantee payments.

STATE UNIVERSITY OF NEW YORK

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	8,683,589,400	8,844,731,200	161,141,800	1.9%
AID TO LOCALITIES	461,218,900	452,115,400	(9,103,500)	-2.0%
CAPITAL PROJECTS	1,106,067,000	256,597,000	(849,470,000)	-76.8%
Total for AGENCY SUMMARY:	10,250,875,300	9,553,443,600	(697,431,700)	-6.8%

Agency Mission

The State University of New York (SUNY) is the largest public university system in the nation. It consists of 64 campuses including four university centers, 13 university colleges, two independent health centers, four specialized colleges of technology, five statutory colleges, six colleges of technology and 30 community colleges.

Budget Summary

The Executive proposes All Funds appropriations of \$9.55 billion which is a decrease of \$697.43 million or 6.8 percent from State Fiscal Year (SFY) 2012-13 levels.

State Operations Appropriations

(A. 3000)

The Executive proposes a State Operations appropriation of \$8.84 billion, an increase of \$161.14 million or 1.9 percent over the State Fiscal Year (SFY) 2012-13 level.

SUNY State Operated Colleges

The Executive provides \$969.05 million in funding for SUNY State Operated Colleges, a maintenance of General Fund support from SFY 2012-13. The Executive provides \$1.57 billion in tuition funding, an increase of \$106 million from SFY 2012-13, reflecting a scheduled increase in tuition. The Executive provides \$21.08 million for the Educational Opportunity Program, the same as SFY 2012-13. The Executive also provides \$51.04 million for Educational Opportunity Centers (EOC), an increase of

\$56,300 from SFY 2012-13. The EOC appropriation includes a \$2 million allocation for ATTAIN labs. Funding for the New York Network was transferred to the Office of General Services.

SUNY Hospitals

The Executive proposal includes \$60 million for SUNY Health Science Centers, a reduction of \$27.8 million from SFY 2012-13. In addition, the Executive eliminates \$2 million for SUNY hospitals that was appropriated in the Department of Health in SFY 2012-13.

Aid to Localities Appropriations

(A. 3003)

The Executive proposes Aid to Localities appropriations of \$452.12 million, a decrease of \$9.1 million or 2.0 percent below the 2012-13 level.

Community College Base Aid

The Executive proposal would maintain Community College Base Aid at \$2,272 per full-time equivalent (FTE) student, maintaining the SFY 2012-13 levels of support. The Executive Budget includes \$431.1 million to support base aid, which includes a new \$3 million for performance-based funding grant program.

Next Generation College Linkage Program

The Executive proposal would link base aid funding to new requirements for community college workforce and vocational programs. Community College programs would be required to partner with employers or prove a regional workforce need in order to remain eligible for state base aid funding.

Other Community College Programs

The Executive reduces funding for SUNY Child Care by \$653,000, to provide \$1 million in SFY 2013-14. Funding for Rental Aid (\$11.58 million) and for Workforce Development (\$1.88 million) is maintained at SFY 2012-13 levels. Funding for High Needs Nursing (\$1.69 million) and for Colleges of Low Enrollment (\$940,000) are also maintained at SFY 2012-13 levels.

Capital Projects Appropriations

(A. 3004)

The Executive proposes a Capital Projects appropriation of \$256.6 million, a decrease of \$849.47 million or 76.8 percent from the SFY 2012-13 level, marking the end of the previous 5-year capital plan, as well as the inclusion of certain one-time projects in the Enacted 2012-13 budget. The Executive proposes the following:

- an \$88 million appropriation for the University of Albany to construct an Emerging Technology and Entrepreneurial Complex in accordance with NYSUNY 2020. The debt service for this project will be paid for by private sources;
- an appropriation for SUNY's Residence Hall Rehabilitation Fund of \$50 million;
- \$38.5 million to provide for the state's 50 percent share of projects at SUNY Community Colleges;
- a \$30.0 million appropriation for critical maintenance at Stony Brook in conjunction with NYSUNY 2020;
- capital funding for the SUNY Construction Fund of \$25.1 million; and
- a \$25 million appropriation to allow Binghamton University to receive funding from external sources;

An additional \$55 million is provided under appropriations made for the Empire State Development Corporation for a NYSUNY 2020 Challenge Grant Program.

Five Year Capital Plan

The Executive's financial plan includes a five year capital plan for SUNY of \$1.3 billion, which would support the following:

- \$413 million for State Operated College Projects;
- \$275 million for the NYSUNY 2020 Challenge Grant Program;
- \$250 million for the Residence Hall Rehabilitation Fund;
- \$198.5 million for Community College Critical Maintenance Projects;
- \$134.8 million for the SUNY Construction Fund; and
- \$25 million for NYSUNY 2020 from External Sources.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- create the Next Generation New York Job Linkage Program, which would provide competitive grants to community colleges based on graduation and workforce outcomes;
- require certain community college programs to partner with employers or prove a regional workforce need in order to receive state funding; and
- establish a new financing structure for SUNY Residence Halls.

OFFICE OF THE WELFARE INSPECTOR GENERAL

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	1,516,000	0	(1,516,000)	-100.0%
Total for AGENCY SUMMARY:	1,516,000	0	(1,516,000)	-100.0%

Agency Mission

The Office of the Welfare Inspector General (OWIG) is responsible for preventing, investigating and prosecuting public assistance fraud and abuse and illegal acts involving social services programs at both the state and local levels. The Office responds to allegations that welfare recipients are receiving benefits for which they are not eligible and, where appropriate, prosecutes such behavior.

Budget Summary

The Executive recommendation proposes to merge OWIG into the Office of the State Inspector General (OIG). The Executive Budget would transfer \$1.52 million in appropriation authority from OWIG to OIG. To complete the merger, three full-time equivalent (FTE) positions will transfer to OIG from OWIG, and an additional four FTE positions will be added to OIG for the performance of services associated with the prior responsibilities of OWIG.

State Operations Appropriations

(A. 3000)

The Executive Budget proposes to eliminate State Operations appropriations within OWIG, a decrease of \$1.52 million from the State Fiscal Year 2012-13 level, which reflects the merger of OWIG into OIG.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	3	0	(3)
All Other Funds:	1	0	(1)
TOTAL:	4	0	(4)

Article VII Proposals

The Executive recommends Article VII legislation that would merge the Office of the Welfare Inspector General (OWIG) into the Office of the State Inspector (OIG). This part would also repeal the statutory authority for the OWIG and merge the functions of the OWIG into the OIG. It would expand the authority of the OIG to allow it to investigate certain activities of local social services districts, including recipients and “contractees.” It also would provide that no person may prevent, seek to prevent, interfere with, obstruct or otherwise hinder any investigation of the OIG.

MISCELLANEOUS: EDUCATION, LABOR & FAMILY ASSISTANCE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	31,633,500	31,633,500	0	0.0%
AID TO LOCALITIES	350,000	100,350,000	100,000,000	28571.4%
Total for AGENCY SUMMARY:	31,983,500	131,983,500	100,000,000	312.7%

State Operations Appropriations

Aid to Localities Appropriations

(A. 3003)

Pay for Success

The Executive proposes \$100 million over the next five years for Pay for Success contracts to assist in creating outcome-based programs for human services initiatives focusing on the areas of health, education, juvenile justice, and public safety. Such initiatives would require service providers to meet performance measures and to satisfy savings requirements in order to secure funding from the state for their services. Results would be monitored by independent parties to ensure the accuracy of providers' reports and outcomes and no state funds will be released until positive outcomes, as agreed upon by contracts, are ensured.

HEALTH & MENTAL HYGIENE

**Summary of Recommended Appropriations
By Agency**

OFFICE FOR THE AGING

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	14,059,600	12,945,000	(1,114,600)	-7.9%
AID TO LOCALITIES	229,869,500	228,734,500	(1,135,000)	-0.5%
Total for AGENCY SUMMARY:	243,929,100	241,679,500	(2,249,600)	-0.9%

Agency Mission

The New York State Office for the Aging (SOFA) is responsible for promoting, coordinating, and administering state, federal, and local programs and services for New Yorkers who are 60 years of age or older. SOFA provides leadership and direction to 59 area agencies on aging, as well as to numerous other local programs and providers that comprise the network of services to older adults.

Budget Summary

The Executive proposes an All Funds appropriation of \$241.7 million, a net decrease of \$2.2 million or less than one percent from the State Fiscal Year (SFY) 2012-13 level. The Executive proposes funding support of 100 full-time equivalent positions, reflecting no change from the previous year.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$12.95 million, a net decrease of \$1.11 million, or 7.9 percent from the SFY 2012-13 level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	19	19	0
All Other Funds:	81	81	0
TOTAL:	100	100	0

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$228.7 million, a net decrease of \$1.14 million, or 0.5 percent from the SFY 2012-13 levels.

Programmatic Changes

The Executive proposes to rename the Supplemental Nutrition Assistance Program (SNAP) the “Wellness in Nutrition” program. In addition, the Executive proposes to rename the Community Empowerment Initiative the “Livable New York” initiative which could assist municipalities in better planning for the needs of older adults.

Executive proposes to redirect \$122,500 in existing funding previously available to Enriched Social Adult Day Services to the NY Social Adult Day Services Association to conduct training for social adult day services providers.

Human Services Cost of Living Adjustment (COLA)

The Executive proposes to delay, for one year, the scheduled 1.4 percent annual human services COLA. This action would reduce SOFA program funding by \$2.61 million in SFY 2012-13.

Article VII Proposals

The Executive recommends Article VII legislation that would continue an existing exemption from certain social work and mental health professional licensure requirements for individuals employed across multiple state agencies, including programs or services operated, regulated, funded or approved by SOFA.

DEVELOPMENTAL DISABILITIES PLANNING COUNCIL

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	4,760,000	4,760,000	0	0.0%
Total for AGENCY SUMMARY:	4,760,000	4,760,000	0	0.0%

Agency Mission

The New York State Developmental Disabilities Planning Council (DDPC) is fully funded under the Federal Developmental Disabilities Assistance and Bill of Rights Act. The Act, originally signed into law in 1975, authorizes the DDPC to prepare, implement, and monitor a plan for improving the quality of life for people with developmental disabilities. The DDPC monitors contracts with not-for-profit service providers that work with consumers, helping them achieve community integration.

Budget Summary

The Executive proposes an All Funds appropriation of \$4.76 million which is unchanged from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support for 18 full-time equivalent positions, which is also unchanged from SFY 2012-13.

State Operations Appropriations

(A.3000)

The Executive proposes an All Funds State Operations appropriation of \$4.76 million which is unchanged from the SFY 2012-13 level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	18	18	0
TOTAL:	18	18	0

DEPARTMENT OF HEALTH

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	2,224,008,100	3,067,697,400	843,689,300	37.9%
AID TO LOCALITIES	106,713,759,715	115,832,145,500	9,118,385,785	8.5%
CAPITAL PROJECTS	39,746,000	85,600,000	45,854,000	115.4%
Total for AGENCY SUMMARY:	108,977,513,815	118,985,442,900	10,007,929,085	9.2%

Agency Mission

The Department of Health (DOH) is the designated state agency responsible for promoting and supervising public health activities, ensuring sound and cost-effective medical care, reducing infectious diseases, and directing a variety of emergency preparedness initiatives. DOH has worked towards its goal of ensuring the highest quality, most appropriate, cost-effective health care for all New Yorkers. DOH serves as the principal state agency responsible for coordinating with federal and local governments, health care providers and program participants on behalf of the Medicaid program in the State of New York.

Budget Summary

The Executive proposes All Funds appropriations of \$119 billion, a net increase of \$10 billion or 9.2 percent from SFY 2012-13 appropriation levels. The Executive proposes funding to support 5,020 full-time equivalent positions, an increase of 385 positions. The increase in staffing is intended to support the second year of phased takeover of local government administration of the Medicaid program and the implementation of Federal Health Care Reform.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$3.07 billion, a net increase of \$843.7 million or 37.9 percent from SFY 2012-13.

Office of Health Insurance Programs (OHIP)

The Executive proposes to shift OHIP State Operations costs under the State Global Medicaid Cap. As a result, the Executive proposes to adjust the State Medicaid Cap upward by \$91 million to account for the portion of administrative spending previously funded under DOH's State Operations budget. In addition, the Executive proposes to consolidate OHIP's administrative expenses with existing State Operations contracts, which are already counted in the State Medicaid Cap.

Labs Consolidation

Appropriation language in the State Operations bill would authorize the interchange of funds made available for lab services across multiple state agencies, including DOH. During SFY 2013-14, the Executive proposes to consolidate or co-locate certain DOH and Department of Environmental Conservation lab functions. This proposal would have no effect on the financial plan in SFY 2013-14.

Other Actions

The Executive proposes \$19.98 million in other State Operations reductions, including: \$2.9 million by eliminating funded staff vacancies; \$2.67 million related to enterprise service savings; \$2.56 million in reductions to various Health Care Reform Act programs; \$960,000 in temporary services reductions; \$800,000 related to hourly-based information technology services; and a \$10.09 million sweep from the Quality of Care Account to the General Fund.

ALL FUNDS PERSONNEL BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	1,607	1,740	133
All Other Funds:	3,028	3,280	252
TOTAL:	4,635	5,020	385

Aid to Localities Appropriations

(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$115.8 billion, a net increase of \$9.1 billion or 8.5 percent from SFY 2012-13 levels.

Medical Assistance (Medicaid) Program and Health Care Reform Act (HCRA)

The Executive budget includes total Medicaid spending of \$57.63 billion, an increase of \$3.63 billion or 6.7 percent from SFY 2012-13, which is primarily attributable to an expected increase in federal funds. The State share of DOH Medicaid expenditures are projected to comprise \$16.42 billion of overall Medicaid spending, an increase of \$509.67 million or 3.2 percent from SFY 2012-13. To support projected expenditures in SFY 2013-14 and SFY 2014-15, the Executive proposes a two-year Medicaid appropriation totaling \$109.41 billion.

HCRA was last extended through March 31, 2014 and the final is projected to remain balanced through SFY 2016-17. In SFY 2013-14, HCRA receipts are projected to total \$5.64 billion, a decrease of \$206 million from SFY 2012-13. HCRA disbursements are also projected to total \$5.64 billion, a decrease of \$203 million from SFY 2012-13.

Medicaid Global Cap

The Executive proposes the continuation of the Medicaid Global Cap which limits growth in the DOH State Funds Medicaid spending to the 10 year rolling average of the Medicaid Consumer Price Index, currently estimated at 3.9 percent. DOH Medicaid expenditures are currently capped at \$15.91 billion in SFY 2012-13 and \$16.42 billion in SFY 2013-14. The Executive proposes to extend the Global Cap for one additional year and would limit SFY 2014-15 DOH Medicaid expenditures to \$17.10 billion. The Executive also proposes reauthorization for DOH to reduce payment rates and benefits in the event that Medicaid expenditures exceed the Global Cap.

State Assumption of Local Medicaid Expenditure Growth

On January 1, 2006, the state implemented a cap on the local share of Medicaid expenditures, and assumed the full local share of Family Health Plus (FHP) expenditures. In calendar year 2006, local Medicaid contributions were capped at 3.5 percent growth over 2005 expenditures. The growth rate dropped to 3.25 percent in 2007 and to 3.0 percent for 2008 and each year thereafter.

As part of the SFY 2012-13 budget, the state began a phased takeover of the local share of Medicaid growth beginning on April 1, 2013. The state is scheduled to assume, at a rate of one percent per year, the growth in the local share of Medicaid over a three-year period with the annual growth rate in the Medicaid local share being eliminated by SFY 2015-16. In total, these local takeover actions will save localities \$1.69 billion in SFY 2013-14.

Medicaid Redesign Team (MRT) – Phase III Recommendations

The Executive Budget proposal continues the savings actions enacted as part of the SFY 2011-12 and SFY 2012-13 budgets, including: the 78 discrete cost containment initiatives recommended by the MRT; the additional recommendations developed through the MRT Workgroup process (MRT Phase II); the elimination of scheduled Medicaid inflationary rate increases; and the implementation of a two percent

across-the-board reduction in Medicaid rates. The Executive estimates that these actions will save the state approximately \$17.1 billion in over the next five years.

In addition to continuing the initiatives implemented over the prior two fiscal years, the Executive proposes a cost-neutral series of new MRT initiatives, including new investments in health care delivery balanced by savings resulting from improvements in benefits design, more appropriate treatment outcomes and other Medicaid program reductions. The Executive proposal includes:

- **Affordable Housing Proposals-** a \$12.5 million net State share increase, including additional support for supportive housing services (a \$12.5 million increase) and the allocation of \$3.85 million in savings from recent hospital and nursing home closures to provide additional supportive housing services.
- **Basic Benefit Review Proposals-** a \$770,000 net State share increase, including support for tobacco cessation counseling by dentists (a \$1.5 million increase) offset by eliminating coverage for Lumbar Discography (a \$30,000 reduction); limiting transcutaneous nerve stimulation (TENS) pain treatment (a \$630,000 reduction); and eliminating coverage for implantable infusion pumps for non-cancer pain (a \$70,000 reduction).
- **Managed Long Term Care (MLTC) Proposals-** including \$1.5 million in State share support related to the establishment of an ombudsman program to support MLTC enrollees.
- **Payment Reform and Quality Measurement Proposals-** a \$31 million State share increase, that include increasing the nursing home quality pool (a \$5 million increase); the development of a cost neutral pricing methodology for specialty nursing homes; expanding the Essential Community Provider Network and Vital Access Providers (VAP) Programs (a \$26 million increase); and to eliminate the \$30 million nursing home Financially Disadvantaged Program and to reallocate the funding to the VAP/Safety Net Program for Nursing Homes.
- **Pharmacy Actions-** a \$13.27 million State share reduction, including proposals to eliminate prescriber prevails provisions related to atypical antipsychotic drug classes provided by Medicaid Managed Care plans (a \$9.38 million reduction); eliminate prescriber prevails for all classes of drugs in Medicaid Fee-For-Service (a \$1.04 million reduction); eliminate prescriber prevails for opioids in excess of four prescriptions in a 30 day period (a \$20,000 reduction); reduce the Medicaid Fee-For-Service pharmacy reimbursement rate for brand name drugs from Average Wholesale Price (AWP) less 17 percent to AWP less 17.6 percent (a \$1.80 million reduction); establish minimum supplemental rebate rates (a \$450,000 reduction); eliminate the summary posting requirement for Pharmacy and Therapeutics Committee Meetings (a \$180,000 reduction); and tighten claims edits on early prescription refills (a \$400,000 reduction).
- **Indigent Care Pool Reform Proposals-** No financial plan impact in SFY 2013-14, including a proposal to modify the Hospital Indigent Care Reform Program to link pool distributions on Medicaid and insured loses (a \$12.50 million increase); and a proposal to redirect hospital

outpatient funding to support additional hospital indigent care payments (a \$12.50 million decrease).

- **Health Home Proposal-** a \$17.02 million State share increase, including new grants to support health homes infrastructure development and governance support (a \$15.00 million increase); and to support the design of Health Home Plus programs targeted at individuals receiving Assisted Outpatient Treatment or that are discharged from a State Psychiatric Center (a \$2.02 million increase).
- **Other Medicaid Reduction Proposals-** a \$36.16 million State share reduction, including the elimination of spousal refusal provisions (a \$34.3 million reduction); the management of incontinence supplies through a contractor (a \$1.25 million reduction); various Early Intervention (EI) proposals related to increasing third party insurance coverage and modifying the EI screening process (a \$480,000 reduction); and to increase electronic billing for hearing aids (a \$130,000 reduction).
- **Other Medicaid Additions-** a \$29.35 million State share increase, including support for programs to integrate physical and behavioral health (a \$7.5 million increase); an authorization for Certified Social Workers to bill Medicaid (a \$1.25 million increase); an increase MLTC rates to encourage the relocation of enrollees from adult homes to more independent living (a \$100,000 increase); an expansion of the existing Gold STAMP program which is designed to reduce pressure ulcers (a \$500,000 increase); a new MLTC quality incentive program (a \$10.00 million increase); and the implementation of a Balanced Incentive Program (a \$10.00 million increase). In addition, the Executive proposes to provide support for 4,350 in new transitional adult home slots and proposes to support a reinvestment of the savings related to the elimination of trend factor increases for foster care providers and pediatric nursing homes.

Federal Health Care Reform

The Executive proposes legislation to implement the various requirements of the federal Patient Protection and Affordable Care Act (ACA). The legislation includes language to modify eligibility and benefits for the state's existing public health insurance programs to for better integration with the New York Health Benefit Exchange which was established by Executive Order in April 2012.

Under the ACA, the State will begin to receive enhanced matching rates for single childless adults beginning January 1, 2014. The Executive estimates a total State benefit of \$83 million in SFY 2013-14 from this enhanced matching rate, of which \$43 million will be used to support the implementation of Phase II MRT proposals with the remainder being used to offset other General Fund expenditures.

The Executive proposes to eliminate the existing FHP program over a two year period. On January 1, 2014 the State would close enrollment in the FHP program and all enrollees with incomes up to 138 percent of the federal poverty level (FPL) would transition to the existing Medicaid program. All FHP enrollees with incomes between 139 percent and 150 percent of FPL could remain in the program until January 1, 2015, at which point they would be required to buy federally subsidized insurance

through the Exchange. The Executive proposal would provide supplemental benefits to persons enrolled in FHP prior to January 1, 2014, and those who are required to purchase insurance through the Exchange. For these individuals, the state would cover premium and cost sharing requirements that are in excess of the existing FHP program.

Restructure Health Care Program Funding

The Executive proposes to consolidate 89 separate health awareness and prevention programs into six competitive pools totaling \$355.2 million, and to reduce total funding for these programs by \$40 million. These consolidated pools would support the following:

- Chronic Disease Programs (\$63 million);
- Environmental Health and Infectious Disease Programs (\$19.8 million);
- Maternal, Child Health and Nutrition Programs(\$114.8 million);
- HIV and AIDS Programs (\$90.7 million);
- Health Quality/Outcomes/Advocacy Programs (\$30.7 million); and
- Workforce Training Programs (\$36.2 million).

General Public Health Work Program (GPHW)

The Executive proposes a variety of changes to the GPHW program, which provides state aid reimbursement to Local Health Departments for a core set of public health services. Specifically, the Executive proposes to encourage the use of private health insurance coverage; to increase the base grant funding to counties; to invest \$1 million in new pay-for-performance payments to counties; and to provide administrative relief to counties by eliminating unnecessary local reporting and statutory program requirements. These proposals would generate \$3.45 million in State Share savings, which would be realized in SFY 2014-15

Early Intervention (EI) Program

The Executive proposes to modify the EI program to require commercial health insurance to include EI service providers in their networks and to modify the screening and evaluation process for EI. These proposals would generate \$418,000 in savings to the non-Medicaid EI program and \$475,000 in savings to the Medicaid program.

These savings would be offset by \$1.21 million in additional costs related to requiring Child Health Plus (CHP) to provide coverage for EI services.

Excess Medical Malpractice Insurance Program

The Executive proposes to modify the existing Excess Medical Malpractice Pool program to prioritize the support for doctors in the highest risk specialties that practice at community hospitals in highest risk areas. This proposal would result in \$12.7 million in savings to the program.

Defer the Human Services Cost of Living Adjustments (COLA)

The Executive proposes to defer the 1.4 percent human services COLA payments for one year, which would result in a savings of \$2.16 million for DOH.

Capital Projects Appropriations

(A. 3004)

The Executive proposes Capital appropriations of \$85.6 million, a net increase of \$45.9 million or 115.4 percent from SFY 2012-13 to reflect an increase in federal Safe Drinking Water program funds.

While there are no new appropriations for the Health Care Efficiency and Affordability Law of New York (HEAL NY) program in the Executive Budget, the Governor proposes to make \$25 million in prior-year HEAL NY funding available to the Roswell Park Center Cancer Institute

Article VII Proposals

(A. 3006)

PART A – Medicaid Redesign Team Recommendations

The Executive recommends Article VII legislation that would:

- extend the two percent across-the-board reduction of Medicaid payments for two years through March 31, 2015;
- allow for the inclusion of the operational costs of the Office of Health Insurance Programs under the Medicaid Global Cap. These costs would not be subject to annual consumer price index adjustments;
- extend the Medicaid Spending Cap for one additional year;
- permanently eliminate trend factor adjustments in Medicaid provider reimbursement rates;
- eliminate “prescriber prevails” provisions related to prior authorization requirements for certain prescription drugs;

- authorize DOH to require prior authorization for the refill of a prescription drug when the patient should still have more than a six-day supply of the previously dispensed amount remaining, based on normal use;
- allow DOH to deny prior authorization for opioid prescriptions in excess of four prescriptions in a 30-day period under certain circumstances;
- reduce the fee-for-service pharmacy brand reimbursement rate to the average wholesale price less 17.6 percent;
- merge the Pharmacy and Therapeutics Committee with the Drug Utilization Review Board (DUR);
- require prior authorization of drugs eligible for reimbursement by state public health plans unless the pharmaceutical manufacturers agree to provide minimum supplemental rebates;
- authorize Medicaid reimbursement of individual psychotherapy services provided by certified social workers for children and those requiring such services as a result of pregnancy or childbirth;
- authorize the Commissioner of Health (COH) to invest up to \$15 million in health home infrastructure development;
- provide additional funding to promote the delivery of integrated mental health, substance abuse, and physical health services in a single location;
- enact several reimbursement rate modifications, including: establishing regulation regarding children's specialty hospital outpatient rates and new inpatient psychiatric reform rates; authorizing the COH to issue regulations governing when the new inpatient psychiatric reform rate methodology will apply to Medicaid managed care default rates; updating the base year for inpatient services; and modifying capital reimbursement and adjustments;
- require managed care contracts with nursing homes to support standard rates of compensation which are sufficient to ensure the retention of a qualified workforce capable of providing high quality care;
- authorize a special needs managed care plan or comprehensive HIV special needs plan to provide for covered comprehensive health services on a full capitation basis contingent with federal financial participation;
- allow additional services to be provided by Medicaid managed care plans, and for additional populations to be required to enroll in Medicaid managed care;
- amend the list of persons or groups that are not required to enter into a managed long term care plan or other specialized care coordination model;

- require counties which implemented mandatory managed care to use the enrollment counseling and enrollment services for which DOH has contracted;
- allow DOH to set the cutoff date for monthly enrollment in a managed long term care plan;
- define “credentialed alcoholism and substance abuse counselor” (CASAC) as an individual credentialed by the Office of Alcoholism and Substance Abuse Services (OASAS); require managed care providers to allow enrollees to access appropriately certified chemical dependence treatment services; and authorize the transfer of funds by OASAS to DOH for purposes of increasing Medicaid payments to managed care organizations for chemical dependency services;
- require DOH to consult with the Office of Mental Health (OMH) and OASAS when necessary to appoint temporary management of a managed care provider;
- provide a sunset date of March 31, 2015 for previously enacted statutory provisions allowing the transfer of funds by OMH to DOH for purposes of increasing Medicaid payments to managed care organizations for outpatient mental health services provided by hospital-based and free-standing clinics;
- establish Developmental Disability Individual Support and Care Coordination Organizations and authorize managed care plans to provide services operated, certified, funded, authorized or approved through OPWDD, with certain protections in place to recognize the unique needs of individuals with developmental disabilities;
- clarify that Medicaid services shall not be authorized or provided prior to a determination of eligibility;
- authorize the COH to implement an incontinence supply management program;
- allow DOH to pay claims and issue payments for services on an emergency basis in the event that a fiscal intermediary or agent cannot issue payments;
- allow DOH to amend certain existing contracts that implement actions recommended by the Medicaid Redesign Team without competitive bid;
- provide for the transition of rate setting for the Child Health Plus program from the Department of Financial Services to DOH;
- sunset payments for financially disadvantaged nursing homes effective December 31, 2012;
- extend audit authority for calendar year 2002 cost reports filed by nursing homes through December 31, 2018;

- eliminate the requirement that certain rate adjustments for nursing homes be subject to reconciliation; establish capital reimbursement methodologies for nursing homes through regulation; and provide for additional flexibility in the calculation of upper payment limit distributions for public nursing homes;
- develop a pricing reimbursement methodology for specialty nursing home facilities;
- eliminate the attestation requirements for certain certified home health care providers receiving worker recruitment and retention payments, consistent with the transition to managed long-term care;
- eliminate the cap on the maximum number of managed long-term care plans that can be authorized;
- eliminate “spousal refusal” protections for community-based long-term care and managed long-term care enrollees;
- authorize capital debt reimbursement for certain adult homes which convert to assisted living programs;
- extend certain income disregards related to costs for eligible adult home residents who transition into managed long term care plans; and
- allow the OPWDD to perform a Fully Integrated Duals Advantage program in order to provide comprehensive health services to targeted populations of Medicare/Medicaid dually eligible persons. The program will be called Developmental Disability Individual Support and Care Coordination Organizations (DISCOs).

PART B – Expiring Laws and Cost Containment Actions

The Executive recommends Article VII legislation that would extend several provisions of the Public Health, Social Services and Mental Hygiene laws set to expire and continue cost containment actions.

PART C – Hospital Indigent Care Pool (ICP) Reform

The Executive recommends Article VII legislation that would:

- require DOH to promulgate regulations establishing a new ICP distribution methodology for periods on and after 1/1/2013 through 12/31/2015. For each of those years, the methodology would require distribution of \$139.4 million to major public general hospitals and \$994.9 million to private hospitals, allocated according to the uncompensated care need amount;

- establish a transition pool for the purpose of ensuring that no facility has reduced ICP payments that are greater than set percentages specified in regulations, as compared to the average distribution that each such facility received for the three prior calendar years.;
- provide that one percent of the funds available for distribution would be reserved and set aside in a “Financial Assistance Compliance Pool” and released to individual hospitals based on their substantial compliance with regulations implementing the State Financial Aid Law; and
- reduce Hospital Outpatient Ambulatory Patient Group payments by an aggregate of \$25 million annually to fund Indigent Care Transition Pool Payments

PART D Statutory Changes to Conform with Federal Affordable Care Act (ACA)

The Executive recommends Article VII legislation that would:

- identify the updated Medicaid eligibility categories that will exist as of January 1, 2014, when the Medicaid requirements of the ACA take effect; identify the categories of individuals who will have their financial eligibility determined based on their modified adjusted gross income (MAGI), and identify the categories of individuals whose financial eligibility will be determined under the current rules;
- specify which eligible individuals will receive the current Medicaid benefit package, and which will receive “benchmark coverage” under the new federal requirements;
- define the Medicaid benchmark benefit as the current Medicaid benefit package, with the exception of institutional long term care services, plus any additional federally required benefits;
- allow online and phone Medicaid applications; increase the extent to which Medicaid applications may be submitted to and processed by DOH or its agent;
- require DOH to recertify Medicaid eligibility based on reliable information possessed or available to DOH; eliminate documentation requirements that are inconsistent with federal ACA provisions requiring self-attestation of certain information used to determine Medicaid eligibility;
- restrict applications to enroll in the Family Health Plus (FHP) program to those received through 12/31/2013; provide that FHP coverage for individuals enrolled as of 1/1/14 will terminate once such individuals obtain coverage through the Exchange; and eliminate the FHP program and the FHP employer buy-in program, effective January 1, 2015 as coverage will now be provided through the Exchange;
- define household income for purposes of determining eligibility for Child Health Plus (CHP); require the Enrollment Center to review all information of CHP program applicants for the purpose of making eligibility determinations; eliminate temporary enrollment in CHP; modify CHP program

eligibility categories to conform to MAGI; remove the necessity of personal interviews for recertification of CHP eligibility; and

- make a series of changes to Insurance Law provisions to conform to ACA requirements.

PART E – Early Intervention, Public Health and Other Program Changes

The Executive recommends Article VII legislation that would:

- require persons and initial service coordinators who refer children to the Early Intervention (EI) program to inform parents that of children with diagnosed physical or mental conditions with a high probability of resulting in a developmental delay, that eligibility for the EI program shall be established through a records review;
- modify EI screening and evaluation requirements to follow DOH approved standards and forms;
- provide that if a child who received an EI evaluation was found ineligible, and was referred again due to the same delay in a single developmental area more than three and less than six months later, the child would receive a partial evaluation to assess the same developmental delay in lieu of a second full evaluation of all the developmental areas;
- allow third party coverage representatives to attend Individualized Family Service Plan (IFSP) meetings; require timely implementation of the IFSP;
- modify several insurance related provisions (rate setting, adequate network) to require health insurer coverage of EI services and prohibit HMOs from discriminating against insured individuals receiving EI services;
- modify the process by which counties apply for General Public Health Works (GPHW) funding and update the core public health service requirements for which funding is available, including redefining core public health services by classifying chronic disease prevention as well as emergency preparedness and response independent core services, eliminating health education as a core service, and integrating health education into each of the core services;
- increase the state base grant amount, currently the greater of \$550,000 or 55 cents per capita, to the greater of \$650,000 or 65 cents per capita;
- establish a new statewide incentive performance program for GPHW activities and provide up to \$1 million in annual funding;
- update provisions regarding sexually transmitted diseases (STD) to conform to current clinical practice and to authorize counties to seek third party coverage or indemnification for STD diagnosis and treatment services rendered, where appropriate;

- create a new system of Outcome Based Health Planning by consolidating public health programs and establish outcome based contracting and planning;
- authorize the COH to make grants, awards and disbursements on a competitive basis, pursuant to RFP, for each of the following areas: chronic disease prevention and treatment, environmental health and infectious disease, maternal and child health outcomes, HIV, AIDS, Hepatitis C and STDs, health quality and outcomes and workforce development;
- streamline the Certificate of Need planning process and modify standards used by the Public Health and Health Planning Council (PHHPC) provisions in considering prospective facility operators;
- allow the COH to establish a temporary operator of an adult care facility, a general hospital, a diagnostic and treatment center, or a chemical dependence treatment program on a temporary basis, when a statement of deficiencies has been issued by DOH for that facility and upon a determination by the COH that significant management failures exist in the facility;
- reform the overall planning process for emergency medical services (EMS) by merging the State Emergency Medical Services Council, the State Emergency Medical Advisory Committee, the State Trauma Advisory Committee and the Emergency Medical Services for Children Council into the single State Emergency Medical Services Advisory Board;
- make several modifications to existing scope of practice provisions in Education and Public Health Law that would impact primary care and other service providers (home health aides, dental hygienists, nurse practitioners, physician assistants, radiologic technologists);
- make permanent the exemption from social work and mental health licensure for individuals working in programs that are regulated, operated, funded or approved by OMH, DOH, SOFA, OCFS, DOCCS, OASAS, and OPWDD, and/or local governmental units or social services districts;
- allow for the establishment of retail clinics;
- authorize the COH to establish a pilot program under which the PHHPC would approve one business corporation in Kings County and another elsewhere in the state allowing increased capital investment in health care facilities; and
- limit the number of excess medical malpractice policies purchased for physicians using state funds to the number of policies for which the payment of actuarially sound rates can be supported by the amount appropriated in the budget, granting priority to the highest risk specialties and reduce the overall appropriation.

OFFICE OF THE MEDICAID INSPECTOR GENERAL

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	74,791,000	66,534,000	(8,257,000)	-11.0%
Total for AGENCY SUMMARY:	74,791,000	66,534,000	(8,257,000)	-11.0%

Agency Mission

The Office of the Medicaid Inspector General (OMIG) was created as an independent entity within the Department of Health (DOH) by Chapter 442 of the Laws of 2006. OMIG is responsible for improving and preserving the integrity of the Medicaid program by conducting and coordinating fraud, abuse and waste control activities for all state agencies responsible for services funded by Medicaid. In carrying out its mission, OMIG conducts and supervises all prevention, detection, audit and investigation efforts and coordinates such activities with DOH, the Office for Mental Health, the Office for People with Developmental Disabilities and the Office of Alcoholism and Substance Abuse Services.

Budget Summary

The Executive proposes an All Funds State Operations appropriation of \$66.5 million, a net decrease of \$8.3 million, or 11 percent, from State Fiscal Year (SFY) 2012-13 levels. The Executive provides funding support for 486 full-time equivalent (FTE) positions, and increase of 10 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$66.5 million, a net decrease of \$8.3 million, or 11 percent, from SFY 2012-13 levels.

The Executive proposes \$1.44 million in savings related to reduced equipment and contractual services costs offset by an increase of \$540,000 related to the addition of ten FTEs. This additional staffing would assist in supporting the operations of the OMIG.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	238	243	5
All Other Funds:	238	243	5
TOTAL:	476	486	10

DEPARTMENT OF MENTAL HYGIENE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	600,000,000	600,000,000	0	0.0%
Total for AGENCY SUMMARY:	600,000,000	600,000,000	0	0.0%

Agency Mission

The Department of Mental Hygiene (DMH) operates through three independent agencies: the Office of Mental Health, the Office for People With Developmental Disabilities, and the Office of Alcoholism and Substance Abuse Services. All three agencies, as direct providers of care, are funded in part by Medicaid, Medicare, third-party insurance, and private payments. Patient revenues in the Patient Income Account (PIA) are pledged first to the payment of debt service on outstanding Mental Hygiene bonds. Anticipated PIA revenue is appropriated within the budgets of the mental hygiene agencies. During the course of the fiscal year, however, additional unanticipated revenue may be received or bond refinancing might decrease debt service requirements. Unanticipated revenue is appropriated to the DMH and then allocated in proportion to the appropriate mental hygiene agency.

State Operations Appropriations

(A. 3000)

The Executive proposes a Special Revenue Fund appropriation of \$600 million, reflecting no change from State Fiscal Year 2012-13.

OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	116,951,000	117,866,000	915,000	0.8%
AID TO LOCALITIES	457,496,000	457,496,000	0	0.0%
CAPITAL PROJECTS	97,606,000	97,606,000	0	0.0%
Total for AGENCY SUMMARY:	672,053,000	672,968,000	915,000	0.1%

Agency Mission

The Office of Alcoholism and Substance Abuse Services (OASAS) is responsible for the development and management of the state system of addiction services for prevention, treatment, and recovery. OASAS exercises these responsibilities directly as a provider of treatment services through a statewide system of Addiction Treatment Centers; through the regulation and oversight of over 1,550 chemical dependence and problem gambling prevention, treatment, and recovery service providers; and as a conduit for federal and state financial assistance.

Budget Summary

The Executive proposes All Funds appropriations of \$672.97 million, a net increase of \$915,000, or 0.13 percent, from State Fiscal Year (SFY) 2012-13 levels. The Executive recommends funding support of 764 full-time equivalent positions representing no change from SFY 2012-13 levels.

State Operations Appropriations

(A. 3000)

The Executive recommends All Funds State Operations appropriations of \$117.87 million, an increase of \$915,000, or 0.78 percent, from SFY 2012-13 levels.

The Executive proposes state share increases of \$4.5 million including \$1.9 million to support salary changes from collective bargaining agreements; \$1.3 million for fringe benefit and indirect cost rate adjustments; and \$1.3 million for inflationary adjustments. These increases would be offset by \$1.9 million in state share reductions related to various administrative efficiencies including system-wide administrative consolidation activities.

The Executive proposes a federal funds increase of \$2.5 million related to fringe benefit and indirect cost rate adjustments offset by a \$100,000 downward adjustments in federal grants.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	764	764	0
TOTAL:	764	764	0

Aid to Localities Appropriations

(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$457.5 million, unchanged from SFY 2012-13 levels.

The Executive proposes an increase of \$5.3 million related to continuing community based chemical dependence and compulsive gambling services, which includes support for new permanent supportive housing units for homeless families and families at risk of becoming homeless.

The Executive proposes state share reductions of \$8.85 million, including a \$6.29 million reduction related to the proposal to defer the planned 1.4 percent Cost of Living Adjustment (COLA) for OASAS programs; and a \$2.60 million reduction related to the maximization of federal Substance Abuse Prevention and Treatment Block Grant support to offset state expenditures.

Capital Projects Appropriations

(A. 3004)

The Executive proposes capital appropriations of \$97.61 million, unchanged from the SFY 2012-13 budget.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- would make permanent the current exemption from certain social work and mental health professional licensure requirements for individuals employed by multiple state agencies, and by programs or services operated, regulated, funded or approved by OASAS;
- require that the Methadone Registry collect and maintain data regarding dosage delivery for patients enrolled in opioid treatment programs;
- clarify that OASAS can continue its current method of funding provider programs by making technical changes to the Mental Hygiene Law and eliminating an article of Mental Hygiene Law; and
- defer the Human Services COLA for one year and extend its application to March 31, 2017.

OFFICE OF MENTAL HEALTH

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	2,077,530,000	2,077,130,000	(400,000)	-0.02%
AID TO LOCALITIES	1,300,634,000	1,298,434,000	(2,200,000)	-0.2%
CAPITAL PROJECTS	189,665,000	196,955,000	7,290,000	3.8%
Total for AGENCY SUMMARY:	3,567,829,000	3,572,519,000	4,690,000	0.1%

Agency Mission

The Office of Mental Health (OMH) works to promote the mental health of all New Yorkers, with a particular focus on providing treatment and recovery services for adults and children with serious mental illness or emotional disturbances. The agency oversees all mental health services in New York State by acting as a direct provider of medium and long-term care at state-run psychiatric centers for both adults and children, by providing diagnostic and treatment services to persons involved in the criminal justice system at state-run forensic psychiatric centers, and by providing funding, oversight, and certification to community programs operated by local governments, not-for-profit providers, and proprietary providers.

Budget Summary

The Executive proposes an All Funds appropriation of \$3.57 billion, a net increase of \$4.69 million, or 0.13 percent, from the State Fiscal Year (SFY) 2012-13 levels. The Executive recommends funding support to 14,580 full-time equivalent (FTE) positions, representing an increase of 127 FTEs from SFY 2012-13. These additional FTEs are provided to support Sex Offender Management Treatment (SOMTA) Program.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$2.08 billion, a net decrease of \$400,000 million from SFY 2012-13 levels.

OMH Regionalization and Restructuring

The Executive anticipates \$25 million in savings from the restructuring of State Operated Psychiatric Centers and the development of regional centers of excellence for the diagnosis and treatment of behavioral health issues.

To effectuate this action, the Executive would waive the existing one-year notice requirement and would permit OMH to close, consolidate, or make service reductions to State-run facilities with 45 days public notice of a ward closure or 75 days notice for a facility closure. The Executive includes specific criteria to be evaluated when OMH is determining its closure plan.

Sex Offender Management Treatment Program (SOMTA)

The Executive proposes a net increase of \$11.6 million related to SOMTA program, including \$16.2 million to support program growth and annualization of prior year initiatives which is offset by \$4.6 million in program re-estimates and adjustments due to slower than expected growth of the SOMTA population.

Other OMH State Operations Actions

The Executive proposes an increase of \$56.4 million for fringe and indirect rate adjustments and nonpersonal services spending and \$20.7 million to support underlying program growth re-estimates. These costs would be offset by \$12.9 million in reductions related to central office efficiencies, and \$4.6 million in reductions related to salary changes from collective bargaining agreements.

ALL FUNDS PERSONNEL BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	14,453	14,580	127
TOTAL:	14,453	14,580	127

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an All Fund Aid to Localities appropriation of \$1.3 billion, a net decrease of \$2.2 million, or 0.2 percent, from the SFY 2012-13 level.

Investments for Community Based Services

The Executive proposes an increase of \$31 million for community based services to support the following actions:

- \$18 million is provided for additional beds for patients transitioning from nursing homes and adult homes to community based settings;
- \$8 million for bed development due to the end of the bed freeze and growth of NY/NY III; and
- \$5 million for community services supported by the saving achieved from the closures and restructuring of State-operated facilities.

Other OMH Actions

The Executive proposes reduction of \$53.9 million, resulting from the following actions:

- \$27.2 million from enhanced federal funding related to Health Homes;
- \$16.37 million related to deferring of Cost of Living Adjustments (COLAs) and residential treatment facility trend factors for one year;
- \$10 million from the annualization of prior year savings actions; and
- \$332,000 related to the elimination of certain line items in the SFY 2012-13 budget.

Capital Projects Appropriations

(A. 3004)

The Executive proposes a Capital projects appropriation of \$196.96 million representing an increase of \$7.3 million, or 3.84 percent from SFY 2012-13. This increase is related to an \$8 million investment for ongoing development of NY/NY III housing development and a \$28,000 investment for reconfiguration of a long-term inpatient building at Hutchings Psychiatric Center.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- make permanent certain exemptions from social work and mental health licensure requirements for individuals working programs that are regulated, operated, funded or approved by OMH;

- permit OMH to close, consolidate, or make service reductions to state run facilities, after considering certain criteria, with 45 days public notice of a ward closure or 75 days notice for a facility closure;
- extend the Community Mental Health and Workforce Reinvestment Program for an additional year to March 31, 2014;
- extend permanently the authorization of OMH to recover exempt income for community residences;
- grant the Commissioner of OMH the authority to appoint and remove employees at OMH facilities and remove this authority from facility directors;
- clarify the date when annual review for sex offenders must be completed as one year from the date on which the court last ordered or confirmed the need for confinement;
- establish mental health incident review panels to improve State and local response to violent incidents involving persons with mental illness;
- eliminate certain reporting requirements for OMH related to the annual comprehensive psychiatric emergency (CPEP) program; and
- defer the Human Services COLA for one year and extend the COLA to March 31, 2017.

OFFICE FOR PEOPLE WITH DEVELOPMENTAL DISABILITIES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	2,144,907,000	2,083,756,000	(61,151,000)	-2.9%
AID TO LOCALITIES	2,479,141,000	2,480,091,000	950,000	0.04%
CAPITAL PROJECTS	163,540,000	168,950,000	5,410,000	3.3%
Total for AGENCY SUMMARY:	4,787,588,000	4,732,797,000	(54,791,000)	-1.1%

Agency Mission

The Office for People with Developmental Disabilities (OPWDD) aims to help people with developmental disabilities live and fully participate in the communities of their choice. OPWDD currently operates through 13 district offices called Developmental Disabilities Services Offices (DDSOs), which are overseen through the central office. OPWDD also operates the Institute for Basic Research in Developmental Disabilities (IBR) on Staten Island. OPWDD serves approximately 37,000 individuals with developmental disabilities residing in community settings, 300 individuals living in developmental centers, and 1,000 individuals in special units.

Budget Summary

The Executive proposes All Funds appropriations of \$4.73 billion, a net decrease of \$54.8 million or 0.5 percent from the State Fiscal Year (SFY) 2012-13 level. The Executive proposes funding support of 18,567 full-time equivalent (FTE) positions, a decrease of 1,249 FTEs from SFY 2012-13. This proposed reduction includes a 625 FTE reduction from the previously-noticed closure of Taconic and Finger Lakes DDSOs; 621 FTEs related to attrition; and the transfer of three FTEs to the Office of General Services (OGS) related to the statewide consolidation of print shop operations.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	19,816	18,567	(1,249)
TOTAL:	19,816	18,567	(1,249)

State Operations Appropriations
(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$2.08 billion, a reduction of \$31.15 million or 1.5 percent from SFY 2012-13 levels.

Facility Consolidation

The Executive proposes \$26.93 million in savings related to OPWDD reforms, including deinstitutionalization efforts and the elimination of 163 beds due to the closure of Taconic and Finger Lakes DDSOs. The Executive provided notice to close these facilities in 2012.

Other OPWDD Actions

The Executive proposes \$75.68 million in increases to support fringe rates increases (\$48.74 million); collective bargaining agreements (\$23.4 million); increased direct costs (\$2.66 million); and \$876,000 related to increases in nonpersonal service costs.

These increases are offset by \$442,000 in savings for the transfer of three FTE positions to OGS.

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$2.48 billion, an increase of \$950,000 from SFY 2012-13 levels.

Community Residential and Non-Residential Service/De-Institutionalization

The Executive proposes \$58 million in investments associated with ongoing deinstitutionalization efforts and re-estimates of base expenses offset by \$58.0 million of local efficiencies savings.

Other OPWDD Actions

The Executive proposes to shift \$243.97 million in Special Revenue Fund support to the General Fund to make OPWDD program funding comparable with other State agencies receiving Medicaid reimbursement.

The Executive proposal achieves \$31.285 million in savings through deferring the 1.4 percent Cost of Living Adjustments (COLA) and Medicaid trend factor for OPWDD facilities.

Capital Projects Appropriations

(A. 3004)

The Executive proposal includes an All Fund Capital appropriation of \$168.95 million, an increase of \$5.41 million, or 3.3 percent, from SFY 2012-13 levels.

The Executive proposes investments of \$5.41 million, including \$3.79 million to support an increase in fire safety projects and \$1.62 million to support minor maintenance projects at State-operated and voluntary-operated facilities.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- make permanent the current exemption from certain social work and mental health professional licensure requirements for individuals employed across multiple State Agencies, including programs or services operated, regulated, funded or approved by OPWDD;
- eliminate certain reporting requirements for OPWDD related to annual reporting on activities at family care homes and other community residences;
- defer the Human Services COLA for one year and extend the COLA to March 31, 2017;

- allow public employees, who are direct care, clinical care, case management, and service coordination workers, to leave state service and provide the same services to the individuals they cared for in state service;
- allow OPWDD to establish a Fully Integrated Duals Advantage program in order to provide comprehensive health services to targeted populations of Medicare/Medicaid dually eligible persons; and
- allow OPWDD to establish Developmental Disabilities Individual Services and Supports Coordination Organizations (DISCOs) to transition care for developmentally disabled individuals from a fee-for-service model to a managed care environment.

COMMISSION ON QUALITY OF CARE AND ADVOCACY FOR PERSONS WITH DISABILITIES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	18,729,000	10,745,000	(7,984,000)	-42.6%
AID TO LOCALITIES	648,000	162,000	(486,000)	-75.0%
Total for AGENCY SUMMARY:	19,377,000	10,907,000	(8,470,000)	-43.7%

Agency Mission

The Commission on Quality of Care and Advocacy for Persons with Disabilities (CQCAPD) provides support and advocacy for individuals with disabilities by working to protect their rights and by promoting the interests and agenda of New Yorkers with disabilities. The Commission provides community outreach, information, referral, and advocacy services, and administers the Surrogate Decision-Making Committee program, which acts on behalf of individuals in the mental hygiene system who are deemed unable to make medical care decisions independently. Additionally, CQCAPD is responsible for exercising independent oversight of the three mental hygiene agencies: the Office of Mental Health (OMH), the Office for People with Developmental Disabilities (OPWDD), and the Office for Alcoholism and Substance Abuse Services (OASAS). CQCAPD also conducts investigations of allegations of abuse or neglect and any reports of injuries or deaths of persons served within the mental hygiene system.

Effective June 30, 2013, the Commission will cease to exist and its functions, duties and responsibilities will transition to the Justice Center for the Protection of People with Special Needs pursuant to Chapter 501 of the Laws of 2012.

Budget Summary

The Executive proposes an All Funds appropriation of \$10.91 million, a reduction of \$8.47 million, or 43.7 percent from State Fiscal Year (SFY) 2012-13 levels. The Executive recommends zero full-time equivalent (FTE) positions and proposes to transfer the entire workforce of 80 FTE positions currently at the CQCAPD to the Justice Center for the Protection of People with Special Needs.

The Executive Budget provides three months of funding for the Commission as its activities will be subsumed by the Justice Center when it is operational by June 30, 2013.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$10.75 million, a net decrease of \$7.98 million, or 42.6 percent, from SFY 2012-13 levels.

Transfers to the Justice Center

The Executive proposes \$7.27 million in State Operations transfers to support the establishment of the Justice Center for the Protection of People with Special Needs, which is expected to be operational by June 30, 2013.

Other Actions

The Executive proposes investments of \$457,000 for personal and nonpersonal services increases, offset by \$500,000 in reductions related to diminished suballocations to the Department of Health and \$283,000 in reductions associated with managed attrition and administrative efficiencies.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	80	0	(80)
TOTAL:	80	0	(80)

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$162,000, a net decrease of \$486,000, or 75 percent, from SFY 2012-13 levels. This reduction reflects a proposed transfer of \$486,000 in transfers to the Justice Center for the Protection of People with Special Needs.

JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	0	44,526,000	44,526,000	--
AID TO LOCALITIES	0	487,000	487,000	--
Total for AGENCY SUMMARY:	0	45,013,000	45,013,000	--

Agency Mission

The Justice Center for the Protection of People with Special Needs (Justice Center) was enacted by Chapter 501 of the Laws of 2012 and becomes effective June 30, 2013. The core mission of the Justice Center will be to protect the health and safety of vulnerable individuals in the State's care. The Justice Center will have primary responsibility for tracking, investigating and pursuing serious abuse and neglect complaints at State facilities and provider-operated facilities that are certified or licensed by the following six agencies: Office of Mental Health, Office for People with Developmental Disabilities, Office for Alcoholism and Substance Abuse Services, the Department of Health, the Office of Children and Family Services (OCFS), and the State Education Department (SED).

Budget Summary

The Executive recommends All Funds appropriations of \$45.01 million as a result of a transfer of \$7.27 million in appropriations and functions from the Commission on the Quality of Care (CQC) and Advocacy for Person with Disabilities and a transfer of \$31.6 million from OCFS to support the operation and start-up of the Justice Center.

State Operations Appropriations (A. 3000)

The Executive recommends All Funds State Operations appropriations of \$44.53 million for this newly created agency, which includes \$31.6 million in transfers from OCFS and \$6.78 million in transfers from CQC which will be subsumed by the Justice Center on June 30, 2013.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	0	253	253
All Other Funds:	0	27	27
TOTAL:	0	280	280

Aid to Localities Appropriations
(A. 3003)

The Executive recommends an All Funds Aid to Localities appropriations of \$487,000 as a result of transfers from the CQC which will be subsumed by the Justice Center on June 30, 2013.

TRANSPORTATION, ECONOMIC DEVELOPMENT & ENVIRONMENTAL CONSERVATION

**Summary of Recommended Appropriations
By Agency**

ADIRONDACK PARK AGENCY

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	5,086,000	5,085,400	(600)	-0.01%
CAPITAL PROJECTS	500,000	0	(500,000)	-100.0%
Total for AGENCY SUMMARY:	5,586,000	5,085,400	(500,600)	-9.0%

Agency Mission

The Adirondack Park Agency (APA) is charged with ensuring the overall protection, development, and use of the unique scenic, aesthetic, wildlife, recreational, open space, ecological, and natural resources of the Adirondack Park. The APA is responsible for the administration of the Adirondack State Land Master Plan and the Adirondack Park Land Use and Development Plan. Within the Adirondack Park, the APA administers the State's Wild, Scenic and Recreational Rivers System and the New York State Freshwater Wetlands Act, operates two visitor interpretive centers, and helps local governments develop land use plans consistent with the State Land Master Plan.

Budget Summary

The Executive proposes an All Funds appropriation of \$5.09 million, a decrease of \$500,600 or 9.0 percent, below the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 54 full-time equivalent positions, reflecting no change from the SFY 2012-13 staffing level.

State Operations Appropriations

(A. 3000)

The Executive proposes a State Operations appropriation of \$5.09 million, a decrease of \$600 or 0.01 percent, below the SFY 2012-13 level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	54	54	0
TOTAL:	54	54	0

Capital Projects Appropriations
(A. 3004)

The Executive proposal eliminates a \$500,000 appropriation which provided for the preservation of facilities.

DEPARTMENT OF AGRICULTURE AND MARKETS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	118,561,000	119,704,000	1,143,000	1.0%
AID TO LOCALITIES	41,601,000	36,670,000	(4,931,000)	-11.9%
CAPITAL PROJECTS	3,000,000	3,000,000	0	0.0%
Total for AGENCY SUMMARY:	163,162,000	159,374,000	(3,788,000)	-2.3%

Agency Mission

The Department of Agriculture and Markets (Department) is charged with fostering a competitive and safe New York food and agriculture industry to benefit producers and consumers. Its major responsibilities include encouraging the growth and prosperity of the state's agriculture and food industry, conducting various inspection and testing programs to enforce laws on food safety and animal and plant health, and accuracy in labeling. The Department also acts to preserve the use of agriculture resources and foster agricultural environmental stewardship, to improve soil and water quality, and to operate the annual State Fair.

Budget Summary

The Executive proposes All Funds appropriations of \$159.37 million, a decrease of \$3.79 million or 2.3 percent, below the SFY 2012-13 level. The Executive recommends funding support of 471 full-time equivalent positions, reflecting no change from SFY 2012-13 staffing level.

State Operations Appropriations

(A. 3000)

The Executive proposes State Operations appropriations of \$119.70 million, an increase of \$1.14 million, or 1 percent, over the SFY 2012-13 level.

Laboratory Consolidation and Coordination

The Executive Budget includes interchange language that would coordinate State environmental and public health lab activities among five agencies: the Department of Agriculture and Markets, the

Department of Environmental Conservation, the Department of Health, the Office of Mental Health, and the Office for People with Developmental Disabilities. This action would allow the agencies to coordinate and consolidate procurement of certain services and items.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	345	345	0
All Other Funds:	126	126	0
TOTAL:	471	471	0

Aid to Localities Appropriations
(A. 3003)

The Executive proposes Aid to Localities appropriations of \$36.67 million, a decrease of \$4.93 million, or 11.9 percent, below the SFY 2012-13 level.

The Executive Budget eliminates last year’s \$3 million appropriation for agricultural economic development. Additionally, it eliminates \$1.97 million in discrete appropriations for the following programs:

Program	2012-13 Appropriation
Farm Viability Institute	\$821,000*
Long Island Rabies	\$100,000
Farm Net (Farm Family Assistance)	\$100,000
Northern NY Agriculture Development	\$500,000
Equine Encephalitis	\$150,000
Tractor Rollover Program	\$100,000
Cornell Rabies	\$100,000
Maple Producers	\$100,000

* \$400,000 remains in the Executive Budget for the Farm Viability Institute as a separate item.

The Executive Budget includes a new \$40,000 a new appropriation for a new hops evaluation and field testing program.

Capital Projects Appropriations

(A. 3004)

The Executive proposes Capital Projects appropriation of \$3 million, reflecting no change from SFY 2012-13 levels.

State Fairgrounds Infrastructure Improvements

In addition to the Department of Agriculture and Markets' Capital Projects appropriations, the Executive Budget includes \$2.5 million under the Office of Parks, Recreation and Historic Preservation to address critical capital needs at the New York State Fair, including roof and façade replacement and other infrastructure improvements.

DEPARTMENT OF ECONOMIC DEVELOPMENT

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	26,985,000	30,703,000	3,718,000	13.8%
AID TO LOCALITIES	48,222,000	48,619,000	397,000	0.8%
Total for AGENCY SUMMARY:	75,207,000	79,322,000	4,115,000	5.5%

Agency Mission

The mission of the Department of Economic Development is to provide a network of technical and financial assistance for businesses and to coordinate with other state agencies, authorities, organizations, and local governments to develop successful state economic strategies.

Budget Summary

The Executive proposes an All Funds appropriation of \$79.32 million, an increase of \$4.12 million or 5.5 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 151 full-time equivalent (FTE) positions, a decrease of one position.

State Operations Appropriations

(A. 3000)

The Executive proposes an All Funds State Operations appropriation of \$30.7 million, an increase of \$3.72 million or 13.8 percent over the SFY 2012-13 level.

Marketing Programs

The Executive proposal includes \$2 million for a new "Taste-NY" program. This program is intended to promote tourism and help endorse locally grown and produced products throughout the state. The Executive proposes to decrease funding for the I Love NY Program by \$330,000, or 21.71 percent, providing \$1.19 million in SFY 2013-14.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	152	151	(1)
TOTAL:	152	151	(1)

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$48.62 million, an increase of \$397,000 over the SFY 2012-13 level.

Education and Universities/High Technology Programs

The Executive proposes to maintain \$32.16 million in appropriations consisting of the:

- Centers for Advanced Technology (\$13.8 million);
- Centers of Excellence (\$5.23 million);
- High Technology Matching Grants (\$4.61 million);
- Focus Center (\$3.01 million);
- Training and Business Assistance Program (\$1.47 million);
- Technology Development Organization Matching Grants (\$1.38 million);
- Industrial Technology Extension Services (\$921,000);
- RPI Smart Lighting Systems Engineering Research Center (\$500,000);
- Cornell University/NSF National Nanotechnology Infrastructure Network (\$490,000);
- Cornell University/NSF Materials Research Science and Engineering Center (\$392,000); and
- the Science and Technology Law Center (\$343,000).

In addition, the Executive proposes to eliminate \$2.68 million in appropriations consisting of:

- College of Nanoscale Science and Engineering Institute for Nanoelectronics Discovery and Exploration (\$775,000);
- College of Nanoscale Science and Engineering Center for Advanced Interconnect Systems Technologies (\$713,000);

- Stony Brook Center of Excellence in Advanced Energy Research (\$500,000);
- Rochester Center of Excellence in Sustainable Manufacturing (\$250,000);
- Columbia University/NSF Materials Research Science and Engineering Center (\$245,000); and
- University at Buffalo Center of Excellence in Materials Informatics (\$200,000).

Innovation Hot Spots

The Executive proposes \$1.25 million for a new “Innovation Hot Spots” program that would create tax free zones to promote an entrepreneurial environment. The Regional Economic Development Councils would designate ten newly created incubators as Innovation Hot Spots over a two year period. Once this program is fully actualized, funding will be increased to \$5 million.

Local Tourism

The Executive proposes \$5 million for a new Competitive Tourism Advertising Funds program for regions to collaborate and demonstrate tourism marketing plans that best promote regional attractions. The Executive also proposes the elimination of \$3 million for tourism marketing, and reduces support for the Local Tourism Matching Grants Program by \$170,000 to \$3.82 million. Last, the Executive Budget proposes to maintain \$392,000 for each of the Gateway Information Centers at Binghamton and Beekmantown.

Other Actions

The Executive proposes to maintain SFY 2012-13 funding levels for the Manufacturing Extension Partnership Program (\$6 million) and for matching funds in support of the Federal Manufacturing Extension Partnership Program (\$1.47 million).

Article VII Proposals

The Executive recommends Article VII legislation that would:

- establish the New York Innovation Hot Spots Program; and
- establish tax-free sales of alcoholic beverages at Taste-NY Facilities.

NYS ENERGY RESEARCH AND DEVELOPMENT AUTHORITY

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	8,090,000	8,791,000	701,000	8.7%
AID TO LOCALITIES	8,140,000	7,439,000	(701,000)	-8.6%
CAPITAL PROJECTS	14,000,000	37,000,000	23,000,000	164.3%
Total for AGENCY SUMMARY:	30,230,000	53,230,000	23,000,000	76.1%

Agency Mission

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation that is responsible for the management of energy research, development and demonstration programs funded by assessments on gas and electric utilities. NYSEDA also administers federal grant programs related to energy efficiency, issues tax-exempt bonds on behalf of private energy supply companies for environmental improvements, and carries out the programmatic and regulatory functions of the former State Energy Office. In addition, NYSEDA administers the System Benefit Charge and manages the former nuclear fuel reprocessing plant at West Valley in Cattaraugus County and the Saratoga Technology and Energy Park in Saratoga County.

Budget Summary

The Executive proposes an All Funds appropriation of \$53.23 million, an increase of \$23 million or 76.1 percent, over the State Fiscal Year (SFY) 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes a State Operations appropriation of \$8.79 million, an increase of \$701,000 or 8.7 percent, above the SFY 2012-13 level.

Research, Demonstration and Development

The Executive budget shifts \$701,000 in appropriations from Aid to Localities to State Operations to maintain year-to-year support for the Authority's research, demonstration and development programs

(\$16.2 million). These programs fund energy analysis and planning activities and a competitive research and development grant program.

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an Aid to Localities appropriation of \$7.44 million, a decrease of \$701,000, or 8.6 percent, below the SFY 2012-13 level.

Capital Projects Appropriations

(A. 3004)

The Executive proposes a Capital Projects appropriation of \$37 million, an increase of \$23 million, or 164.3 percent, above the SFY 2012-13 level.

Cleaner, Greener Communities

The Executive Budget proposes a \$10 million net increase for the Cleaner, Greener Communities program. The Executive proposes to move \$15 million from the Regional Greenhouse Gas Initiative, where this program is funded, into the General Fund and would in turn provide \$25 million in bonding authority for the Cleaner, Greener Communities Program, which provides grants to fund new energy efficiency and renewable energy projects. This action would bring total proposed funding for the Cleaner, Greener Communities Program from \$100 million to \$110 million.

West Valley

The Executive Budget decreases funding by \$2 million for ongoing cleanup at West Valley as a result of federal matching grant requirements.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- authorize and direct the Comptroller to receive for deposit to the credit of the General Fund a payment of up to \$913,000 from NYSEDA to offset New York State's debt service requirements for West Valley;
- continue the authorization for NYSEDA to finance a portion of its research, development and other programs, and to finance the Department of Environmental Conservation's climate change program, from an assessment on gas and electric corporations; and
- continue to authorize the Department of Health to finance public service education activities with revenues generated from an assessment on cable companies.

DEPARTMENT OF ENVIRONMENTAL CONSERVATION

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	473,507,000	451,805,000	(21,702,000)	-4.6%
AID TO LOCALITIES	2,576,000	1,676,000	(900,000)	-34.9%
CAPITAL PROJECTS	609,143,000	444,300,000	(164,843,000)	-27.1%
Total for AGENCY SUMMARY:	1,085,226,000	897,781,000	(187,445,000)	-17.3%

Agency Mission

The mission of the Department of Environmental Conservation (DEC) is to conserve and improve the state's natural resources and environment and to prevent, abate and control water, land, and air pollution. DEC's responsibilities include the administration of a portion of the state's Environmental Protection Fund (EPF) and the Clean Water/Clean Air Bond Act of 1996.

Budget Summary

The Executive proposes All Funds appropriations of \$897.78 million, a decrease of \$187.45 million or 17.3 percent below the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 2,916 full-time equivalent positions reflecting no change from SFY 2012-13 staffing levels.

State Operations Appropriations

(A. 3000)

The Executive proposes State Operations appropriations of \$451.81 million, a decrease of \$21.70 million, or 4.6 percent, below the SFY 2012-13 level. This decrease would align appropriations to personal service spending. The Executive proposal includes a \$24.56 million decrease in various Personal Service appropriations below SFY 2012-13 levels. This reflects adjusting appropriations to actual spending levels due to collective bargaining agreements reached in 2012.

Laboratory Consolidation and Coordination

The Executive Budget recommends interchange language to coordinate state environmental and public health lab activities among five agencies: the Department of Agriculture and Markets, the Department

of Environmental Conservation, the Department of Health, the Office of Mental Health, and the Office for People with Developmental Disabilities. This action is intended to allow for consolidation of certain purchasing functions.

Waste Management

The Executive Budget recommends to eliminate General Fund support for waste tire cleanup activities and to transfer these activities to the Waste Management and Cleanup Account appropriation which would in turn be increased by \$1.99 million. A proposal to permanently extend the current Waste Tire Fee would be used to support this appropriation.

ALL FUNDS PERSONNEL			
BUDGETED FILL LEVELS			
Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	1,178	1,172	(6)
All Other Funds:	1,738	1,744	6
TOTAL:	2,916	2,916	0

Aid to Localities Appropriations

(A. 3003)

The Executive proposes Aid to Localities appropriations of \$1.68 million, a decrease of \$900,000 or 34.9 percent below the SFY 2012-13 level.

The Executive proposes to eliminate the Cornell Integrated Pest Management (\$400,000) and Invasive Species (\$500,000) appropriations that were included in the SFY 2012-13 Budget.

Capital Projects Appropriations

(A. 3004)

The Executive proposes Capital Projects appropriations of \$444.30 million, a decrease of \$164.84 million or 27.1 percent below the SFY 2012-13 level.

Environmental Protection Fund and Bottle Deposit Receipts

The Executive Budget proposes appropriations of \$153 million for programs financed under the Environmental Protection Fund (EPF), an increase of \$19 million above the SFY 2012-13 funding level.

The increase would be supported by the transfer of \$15 million in unclaimed bottle deposit receipts and \$4 million from new enforcement provisions of the unclaimed deposit program into the EPF. EPF appropriations include \$12.7 million for solid waste programs, \$58.3 million for parks and recreation and \$82 million for open space programs (see following table).

Superfund

The Executive Budget would eliminate a \$120 million appropriation for the Hazardous Waste Remedial Fund (HWRF) and reduce the appropriation for oversight and assistance from \$10 million to \$6 million. The HWRF was originally funded at \$1.2 billion by the Environmental Quality Bond Act of 1996. As of SFY 2012-13 these funds have been fully appropriated.

New York Works

The Executive Budget includes an appropriation of \$40 million in capital for the Department under the New York Works statewide capital infrastructure program. This represents a 60.7 percent decrease from SFY 2012-13's appropriation of \$101.74 million. Funds will be used for the Brownfields Environmental Restoration grant program, recreational facilities updates and health and safety repairs, wastewater treatment infrastructure, the plugging and remediation of abandoned oil and gas wells, and e-business initiatives to allow DEC customers to have updated online services.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- permanently extend the current Waste Tire Fee of \$2.50 to expire in December 2013; and
- modify the enforcement and penalty provisions of the Bottle Bill law and would increase revenues deposited to the Environmental Protection Fund (EPF) by depositing \$15 million plus an additional portion of the unclaimed bottle deposit receipts to the EPF.

2013-14 Environmental Protection Fund				
(\$ in thousands)				
	12-13	13-14	Change	Percent Change
	Enacted	Executive	12-13 vs Executive	12-13 vs Executive
SOLID WASTE				
Landfill Closure/Gas Management	270	250	(20)	-7.4%
Municipal Recycling	6,435	7,000	565	8.8%
Pollution Prevention Institute	2,100	3,250	1,150	54.8%
Secondary Marketing	1,000	1,000	0	0.0%
Natural Resource Damages	175	155	(20)	-11.4%
Pesticide Database	960	1,000	40	4.2%
Solid Waste	10,940	12,655	1,715	15.7%
PARKS & REC				
Waterfront Revitalization	11,500	12,500	1,000	8.7%
<i>Inner City/Underserved</i>	5,750	6,250	500	8.7%
<i>Jefferson and St. Lawrence</i>	60	0	(60)	-100.0%
<i>Niagara/Erie Waterfront Revitalization</i>	400	0	(400)	-100.0%
Municipal Parks	13,000	15,500	2,500	19.2%
<i>Inner-city/Underserved</i>	6,500	7,750	1,250	19.2%
<i>Buffalo-area Parks</i>	425	0	(425)	-100.0%
<i>Niagara/Erie Historic Preservation</i>	300	0	(300)	-100.0%
<i>Ulster County Rail Trail*</i>	0	2,000	2,000	--
Hudson River Park (HRP)	3,000	3,000	0	0.0%
Public Access Stewardship	16,000	18,000	2,000	12.5%
<i>OPRHP</i>	7,886	8,750	864	11.0%
<i>DEC</i>	7,614	8,750	1,136	14.9%
<i>ORDA (Belleayre)</i>	500	500	0	0.0%
ZBGA	9,000	9,250	250	2.8%
Parks & Rec	52,500	58,250	5,750	11.0%
OPEN SPACE				
Land Acquisition	17,500	20,000	2,500	14.3%
<i>Land Trust Alliance</i>	1,575	1,575	0	0.0%
<i>Urban Forestry</i>	500	500	0	0.0%
Smart Growth	300	300	0	0.0%
Farmland Protection	12,000	13,000	1,000	8.3%
Agricultural Waste Management	700	1,000	300	42.9%
Biodiversity Stewardship	500	500	0	0.0%
Albany Pine Bush Commission	2,000	2,000	0	0.0%
Invasive Species	3,400	3,600	200	5.9%
<i>Lake George</i>	100	100	0	0.0%
LI Pine Barrens Commission	1,100	1,100	0	0.0%
Oceans Great Lakes Initiative	4,728	4,750	22	0.5%
Water Quality Improvement Program	2,932	7,945	5,013	171.0%
<i>Climate Change/Flood Resiliency*</i>	0	5,000	5,000	--
<i>Maximum Daily Load Study</i>	300	0	(300)	-100.0%
LI South Shore Estuary Reserve	900	900	0	0.0%
Non-Point Source Pollution Cont	17,000	18,700	1,700	10.0%
<i>Agricultural</i>	13,000	14,200	1,200	9.2%
<i>Non-Agricultural</i>	4,000	4,500	500	12.5%
Soil Water Conservation Districts	3,500	3,500	0	0.0%
Finger Lake-Lake Ontario Watershed	1,000	1,000	0	0.0%
Hudson River Estuary Plan	3,000	3,800	800	26.7%
<i>Mohawk River*</i>	0	800	800	--
Open Space	70,560	82,095	11,535	16.35%
TOTAL EPF	134,000	153,000	19,000	14.18%
* 2013-2014 New Categories				

HUDSON RIVER PARK TRUST

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
Total for AGENCY SUMMARY:	0	0	0	0%

Agency Mission

The Hudson River Park Trust (Trust) is a public benefit corporation with a mission to encourage, promote and expand public access to the Hudson River, to promote water-based recreation, and enhance the natural, cultural, and historic aspects of the river from Battery Place to West 59th Street in New York City for residents and visitors to the area. The Trust has authority over the planning, construction, operation and maintenance of the 550-acre Hudson River Park (Park), running for five miles along Manhattan's West Side from Battery Park to 59th Street.

Budget Summary

Historically, appropriations for the Trust represented advance payments for New York City's share of costs associated with the Park. The Executive does not include a New York City advance, as was the case in State Fiscal Year (SFY) SFY 2012-13. The Trust is, however, funded in the Environmental Protection Fund (EPF) at \$3 million, reflecting no change from the SFY 2012-13 funding level in EPF.

Capital Projects Appropriations

(A. 3004)

The Executive Budget does not include appropriations for the Hudson River Park Trust, reflecting no change from SFY 2012-13.

NEW YORK STATE GAMING COMMISSION

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	125,357,700	111,604,700	(13,753,000)	-11.0%
Total for AGENCY SUMMARY:	125,357,700	111,604,700	(13,753,000)	-11.0%

Agency Mission

Effective February 1, 2013, Chapter 60 of the Laws of 2012 created the New York State Gaming Commission (Commission), which will merge the functions and responsibilities of the former Division of the Lottery and the former Racing and Wagering Board. The Commission supervises four divisions that were created to carry out responsibilities related to the regulation and enforcement of various gaming activities, including the Division of the Lottery, Charitable Gaming, Gaming (including Indian Gaming and Video Lottery Gaming), and Horse Racing and Pari-Mutuel Wagering.

Budget Summary

The Executive recommends All Funds appropriations of \$111.6 million, a decrease of \$13.75 million or 11 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 434 full-time equivalent (FTE) positions, which reflects no change from SFY 2012-13 levels.

State Operations Appropriations

(A. 3000)

Gaming

The Executive proposes a decrease of \$19.18 million due to the lapse of a one-time SFY 2012-13 appropriation to reimburse the Genting Group for environmental remediation costs at the Aqueduct Raceway (\$15.6 million) and a shift of appropriation authority from Indian Gaming to the Racing program (\$3.6 million).

Horse Racing and Pari-Mutuel

The Executive proposes an increase of \$5.44 million due to a shift of appropriation authority from Indian Gaming to the Racing Program (\$3.6 million) and costs associated with recommendations by the

Task Force on Racehorse Health and Safety report (\$1.85 million). Specifically, the Commission would implement the Task Force’s recommendations by hiring a medical director, and funding increased costs associated with laboratory testing inspectors and veterinarians.

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	434	434	0
TOTAL:	434	434	0

Article VII Proposals

The Executive recommends Article VII legislation that would:

- authorize the development of up to three casinos, but exclude development of casinos in downstate New York. The proposal would also establish an Office of Casino Gambling Regulation within the Gaming Commission and would provide for gambling regulation, selection of casino developers and local governmental and community support where a facility is to be located;
- eliminate the restrictions on the sale of Quick Draw tickets in order to increase revenue earned for aid to education in the state;
- extend for one year the current commission rate paid to the Monticello Video Lottery Terminal facility;
- make the current disbursement of simulcasting revenue permanent which would otherwise expire in SFY 2013 and result in a tax increase on winnings;
- redirect a portion of purse money to fund costs associated with recommendations of the Task Force on Racehorse Health and Safety; and
- create a new account to finance an administration program in the New York State Gaming Commission.

DEPARTMENT OF MOTOR VEHICLES

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	119,514,000	123,586,000	4,072,000	3.4%
AID TO LOCALITIES	20,800,000	20,880,000	80,000	0.4%
CAPITAL PROJECTS	194,171,000	205,759,000	11,588,000	6.0%
Total for AGENCY SUMMARY:	334,485,000	350,225,000	15,740,000	4.7%

Agency Mission

The Department of Motor Vehicles (DMV) is responsible for registering vehicles to identify and authorize use, providing vehicle titles to establish vehicle ownership, licensing and regulating the motor vehicle industry, and licensing drivers to protect consumers and promote traffic safety. The DMV Traffic Violations Bureau also helps to adjudicate traffic infractions. The DMV collects fees and generates non-tax revenues to support these objectives.

Budget Summary

The Executive proposes All Funds appropriations of \$350.23 million, an increase of \$15.74 million or 4.49 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 2,215 full-time equivalent (FTE) positions, a decrease of four positions.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$123.59 million, an increase of \$4.07 million or 3.29 percent over the SFY 2012-13 level.

The Executive proposal includes \$4.5 million to fund a new DMV customer service initiative. This would include mobile device apps and a website redesign, self-service kiosks, technological improvements for the call center, the offering of appointments, and offering Saturday hours in certain offices.

Special Revenue Funds

The DMV funds most of its programs through the collection of fees. The following proposed appropriation increases reflect revenue increases anticipated by the Executive for SFY 2013-14:

Appropriation	SFY 2012-13	SFY 2013-14	Change	
	Enacted	Proposal	Amount	Percent
Administrative Adjudication Program	\$43,067,000	\$44,261,000	\$1,194,000	2.77%
Clean Air Program	23,308,000	24,642,000	1,334,000	5.72%
Compulsory Insurance Program	16,755,000	17,657,000	902,000	5.38%
Governor's Traffic Safety Committee				
Highway Safety Programs	12,887,000	13,426,000	539,000	4.18%
Highway Safety Research and Development	4,800,000	4,800,000	\$0	0.00%
Transportation Safety Program				
Motorcycle Safety Account	1,655,000	1,736,000	81,000	4.89%
Internet Point Insurance Reduction Program Account	642,000	664,000	<u>22,000</u>	3.43%
TOTAL			4,072,000	3.41%

**ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS**

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	731	711	(20)
All Other Funds:	1,488	1,504	16
TOTAL:	2,219	2,215	(4)

Aid to Localities Appropriations
(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$20.88 million, an increase of \$80,000 over the SFY 2012-13 level.

Governor's Traffic Safety Committee

The Executive proposes an increase of \$80,000 in federal appropriations for the Governor's Traffic Safety Committee (GTSC) to reflect a projected increase in Federal funding. The GTSC awards federal highway safety grant funds to local, state and not-for-profit agencies for projects to improve highway safety and reduce deaths and serious injuries due to traffic accidents.

Capital Projects Appropriations

(A. 3004)

The Executive proposes All Funds Capital Projects appropriations of \$205.76 million from the Dedicated Highway and Bridge Trust Fund, representing an increase of \$11.59 million, or 6 percent, from the SFY 2012-13 level. These appropriations fund the DMV's operations.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- modify the cell phone and texting while driving laws, and impose license sanctions for violations of these laws by commercial motor vehicle operators;
- allow the DMV to designate certain branch offices to be open on Saturdays;
- limit plea bargaining of traffic tickets, extend state surcharges to new offenses, and establish higher fines for violations of laws prohibiting texting and cell phone use while driving; and
- suspend the drivers' license of taxpayers with past-due tax liabilities of \$10,000 or more.

OLYMPIC REGIONAL DEVELOPMENT AUTHORITY

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	4,733,000	5,417,000	684,000	14.5%
Total for AGENCY SUMMARY:	4,733,000	5,417,000	684,000	14.5%

Agency Mission

The Olympic Regional Development Authority (ORDA) mission has been to maximize visitation to the Adirondack region by operating its venues (Olympic Center, Olympic Sports Complex, Olympic Jumping Complex, Whiteface Mountain, Gore Mountain) to promote environmental awareness and safe recreation. ORDA administers the post-Olympic program for the sports facilities used to host the 1980 Olympic Winter Games, and it manages Gore Mountain in Warren County, and, as of 2012, Bellayre Mountain in the Catskills.

Budget Summary

The Executive proposes All Funds appropriations of \$5.42 million, an increase of \$684,000, or 14.5 percent, over the State Fiscal Year (SFY) 2012-13 level.

State Operations Appropriations

(A. 3000)

The Executive proposes State Operations appropriations of \$5.42 million, an increase of \$684,000, or 14.5 percent, above the SFY 2012-13 level. The increase results from additional spending anticipated from the Winter Sports Education Trust Fund.

New York Works Program

The Executive Budget proposal includes an appropriation to the Office of Parks, Recreation and Historic Preservation that provides \$2.5 million to the Olympic Regional Development Authority for infrastructure projects, including ski lift and building maintenance.

OFFICE OF PARKS, RECREATION AND HISTORIC PRESERVATION

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	224,965,500	224,338,500	(627,000)	-0.3%
AID TO LOCALITIES	14,825,000	11,725,000	(3,100,000)	-20.9%
CAPITAL PROJECTS	156,071,000	106,200,000	(49,871,000)	-32.0%
Total for AGENCY SUMMARY:	395,861,500	342,263,500	(53,598,000)	-13.5%

Agency Mission

The Office of Parks, Recreation and Historic Preservation (OPRHP) is responsible for the conservation, protection, and enhancement of New York State's natural, historic and cultural resources. OPRHP provides recreational and interpretive opportunities for New York State residents and visitors at 178 parks and 35 historic sites across the state. Within OPRHP, the State Historic Preservation Office (SHPO) is tasked with helping communities identify, evaluate, preserve, and revitalize their historic, archeological, and cultural resources.

Budget Summary

The Executive proposes All Funds appropriations of \$342.26 million, a decrease of \$53.60 million or 13.5 percent below the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 1,719 full-time equivalent positions, reflecting no change from SFY 2012-13 staffing levels.

State Operations Appropriations

(A. 3000)

The Executive proposes a State Operations appropriation of \$224.34 million, a decrease of \$627,000 from the SFY 2012-13 level. The savings reflected in the proposal is attributed to decreases in non-personal service and overtime resulting from the hiring of a new class of State Park Police in SFY 2012-13.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	1,419	1,419	0
All Other Funds:	300	300	0
TOTAL:	1,719	1,719	0

Aid to Localities Appropriations
(A. 3003)

The Executive proposes an Aid to Localities appropriation of \$11.73 million, a decrease of \$3.1 million, or 20.9 percent, from the SFY 2012-13 level.

Natural Heritage Trust Program

The Executive recommends the elimination of an appropriation for the Natural Heritage Trust Program, which was funded at \$3.1 million in SFY 2012-13.

Capital Projects Appropriations
(A. 3004)

The Executive proposes a Capital Projects appropriation of \$106.2 million, a decrease of \$49.87 million or 32 percent below the SFY 2012-13 level.

New York Works Program

The Executive Budget would allocate \$50 million of capital funding through New York Works, which is a \$44.27 million decrease from the SFY 2012-13 level. The current appropriation would provide:

- \$45 million for health and safety projects and critical infrastructure rehabilitation at OPRHP sites;
- \$2.5 million to the Olympic Regional Development Authority for infrastructure projects; and
- \$2.5 million to the Department of Agriculture and Markets for State Fairground rehabilitation.

State Park Infrastructure

The Executive also proposes a \$52.2 million appropriation for maintenance and improvement of existing facilities. This proposal would decrease funding for alterations, improvements and rehabilitation projects at OPRHP-owned sites by \$5.62 million, while increasing funding for health and safety projects by \$17,000.

DEPARTMENT OF PUBLIC SERVICE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	78,892,000	79,892,000	1,000,000	1.3%
AID TO LOCALITIES	3,500,000	6,750,000	3,250,000	92.9%
Total for AGENCY SUMMARY:	82,392,000	86,642,000	4,250,000	5.2%

Agency Mission

The Department of Public Service (Department) is the staff arm of the Public Service Commission (PSC), and has the mandate of ensuring New Yorkers access to reliable utility services at just and reasonable rates. The PSC is responsible for regulating the rates and services of the state's public utilities, overseeing the siting of major electric and gas transmission lines and facilities, and ensuring the safety of natural gas and liquid petroleum pipelines. The Department is also responsible for the oversight and regulation of the cable television and telecommunications industry.

Budget Summary

The Executive proposes an All Funds appropriation of \$86.64 million, an increase of \$4.25 million or 5.2 percent from the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 496 full-time equivalent positions reflecting no change from SFY 2012-13 staffing level.

State Operations Appropriations

(A. 3000)

The Executive proposes State Operations appropriations totaling of \$79.89 million, an increase of \$1 million, or 1.3 percent, above the SFY 2012-13 level.

Wholesale Consumer Advocacy Funding

The Executive Budget proposes a new \$1 million appropriation reflecting a settlement between the Federal Energy Regulatory Commission and a private corporation. Funds would be used to provide advocacy on behalf of New York's electric consumers on utility rate issues. This amount would be the first of 10 annual \$1 million payments for this purpose.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
All Other Funds:	496	496	0
TOTAL:	496	496	0

Aid to Localities Appropriations
(A. 3003)

The Executive proposes Aid to Localities appropriations totaling \$6.75 million, an increase of \$3.25 million or 92.9 percent from the SFY 2012-13 level.

Energy Highway Initiative Intervener Funds

The Executive Budget proposes a new appropriation of \$3.25 million in local assistance intervener funds in anticipation of transmission line-siting proposals to be submitted as part of the Energy Highway Initiative. This appropriation would be funded by the payments required of private entities submitting such proposals.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- continue the current 18(a) utility assessment through March 31, 2019 which is set to expire on March 31, 2014;
- strengthen oversight and enforcement mechanisms of the PSC to ensure that public utility companies are held accountable and responsive to regulators and customers; and
- continue to authorize the Department of Health to finance certain activities with revenues generated from an assessment on cable television companies.

DEPARTMENT OF STATE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	68,170,828	71,407,000	3,236,172	4.7%
AID TO LOCALITIES	69,884,000	65,379,000	(4,505,000)	-6.4%
CAPITAL PROJECTS	0	10,000,000	10,000,000	--
Total for AGENCY SUMMARY:	138,054,828	146,786,000	8,731,172	6.3%

Agency Mission

The Department of State (DOS) is responsible for programs relating to services to local governments and community-based organizations. In addition, DOS administers programs for community development and local government service activities and supports businesses through various licensing and registration activities.

Budget Summary

The Executive proposes All Funds appropriations of \$146.78 million, an increase of \$8.73 million or 6.3 percent over the State Fiscal Year (SFY) 2012-13 level. The Executive recommends funding support of 567 full-time equivalent (FTE) positions, an increase of 30 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$71.41 million, an increase of \$3.24 million or 4.7 percent over the SFY 2012-13 level.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	537	567	30
TOTAL:	537	567	30

Business and Licensing Program

In SFY 2012-13, there was a shift in non-personal service funds from the General Fund to the Business and Licensing Program in order to assist the program in achieving its core mission. The Executive proposes an increase of \$2.8 million in SFY 2013-14 related to the full annual costs of that shift. In addition, the Executive proposes an increase of \$1 million related to personal service costs.

Aid to Localities Appropriations

(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$65.38 million, a decrease of \$4.51 million or 6.4 percent from the SFY 2012-13 level.

Local Government & Community Services

The Executive proposes the elimination of \$505,000 in funding for the Public Utility Law Project and \$4 million in funding for the Local Waterfront Revitalization Program.

Capital Projects Appropriations

(A. 3004)

The Executive proposes a new Capital Projects appropriation of \$10 million, or a 100 percent increase over the SFY 2012-13 level.

Solid and Hazardous Waste Management

The Executive proposes a \$10 million appropriation for the Brownfield Opportunity Areas Program, which funds competitive grants to municipalities and community-based organizations for the clean-up of brownfields.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- extend the authority of the Secretary of State to charge increased fees for expedited handling of documents issued by or requested from the Department's Division of Corporations; and
- facilitate an online corporate filing system that would eliminate categories of corporation types, and various filing requirements for businesses and not-for-profit corporations.

DEPARTMENT OF TAXATION AND FINANCE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	422,697,000	483,859,400	61,162,400	14.5%
AID TO LOCALITIES	926,000	926,000	0	0.0%
Total for AGENCY SUMMARY:	423,623,000	484,785,400	61,162,400	14.4%

Agency Mission

The Department of Taxation and Finance (DTF) is responsible for the administration and collection of various state taxes, as well as numerous local taxes. In addition, the Department also manages the State Treasury and provides investment and cash management services to various state agencies.

Budget Summary

The Executive proposes \$484.79 million in All Funds appropriations for the Department of Taxation and Finance. This is an increase of \$61.2 million or 14.4 percent from the State Fiscal Year (SFY) 2012-13 levels. The Executive recommends a workforce of 4,379 full-time equivalent (FTE) positions, an increase of 204 FTEs from the SFY 2012-13 budget. Two hundred new FTEs are proposed for the Audit, Collections, and Enforcement program and an increase of four FTEs is proposed for the Revenue, Processing, and Reconciliation program.

State Operations Appropriations

(A. 3000)

The Executive proposes \$483.86 million in State Operations appropriations, an increase of \$61.16 million over SFY 2012-13. The Executive proposes an increase of \$9.1 million for the Audit, Collections, and Enforcement program in order to hire new auditors and an increase of \$52.06 million for the Revenue, Processing, and Reconciliation program to facilitate the call center consolidation project.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	3,474	3,678	204
All Other Funds:	701	701	0
TOTAL:	4,175	4,379	204

Aid to Localities Appropriations
(A. 3003)

The Executive proposes to maintain the Aid to Localities funding at \$926,000, representing no change from SFY 2012-13.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- provide the DTF the authority to refuse to issue a certificate of registration, required for sale of cigarettes and other tobacco products, to retailers with unpaid tax delinquencies;
- increase the civil penalty for possessing unstamped cigarettes from \$150 to \$600 per carton;
- expand criteria for refusal to issue sales tax Certificates of Authority to include all delinquent taxes and increase penalties for operating without one;
- enforce past-due tax liabilities by suspending, with certain exceptions, the New York State driver's license of a taxpayer who owes in excess of \$10,000;
- allow DTF to garnish wages of delinquent taxpayers without filing a warrant with the Department of State or appropriate County Clerk; and
- make permanent the tax modernization provisions enacted in 2011 and extended in 2012.

DIVISION OF TAX APPEALS

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	3,121,000	3,121,000	0	0.0%
Total for AGENCY SUMMARY:	3,121,000	3,121,000	0	0.0%

Agency Mission

The Division of Tax Appeals provides taxpayers with a system of due process for resolving disputes with the Department of Taxation and Finance. The separation of tax administration from tax adjudication promotes impartial and timely hearing of taxpayer disputes.

Budget Summary

The Executive proposes an All Funds appropriation of \$3.12 million with a workforce of 27 full-time equivalent positions for the State Fiscal Year (SFY) 2013-14. This represents no change in funding or workforce from SFY 2012-13.

State Operations Appropriations

(A. 3000)

The Executive proposes to maintain State Operations appropriations at \$3.12 million, representing no change from SFY 2012-13.

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	27	27	0
TOTAL:	27	27	0

NEW YORK STATE THRUWAY AUTHORITY

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	0	24,000,000	24,000,000	--
CAPITAL PROJECTS	2,000,000	2,000,000	0	0.0%
Total for AGENCY SUMMARY:	2,000,000	26,000,000	24,000,000	1200.0%

Agency Mission

The New York State Thruway Authority (Authority) is responsible for operating a 570-mile toll highway system, along with the New York State Canal System. Through its subsidiary, the New York State Canal Corporation, the Authority maintains, operates, develops, and makes capital improvements to the 524 mile canal system which includes 57 locks, 16 lift bridges, and numerous dams, reservoirs, and water control structures.

The Authority is funded primarily through various off-budget revenues. Most programs are therefore not included in the Executive Budget. The two exceptions are the Canal Development Program and a new State Operations appropriation in State Fiscal Year (SFY) 2013-14 which would help to eliminate the need for a previously proposed commercial toll increase.

Budget Summary

The Executive proposes an All Funds appropriation of \$26 million, an increase of \$24 million over the SFY 2012-13 level.

State Operations Appropriations

(A.3000)

Thruway Authority Relief

The Executive recommends a new appropriation of \$24 million from the General Fund to eliminate the need for a previously proposed 45 percent commercial toll increase.

Capital Projects Appropriations

(A.3004)

Canal Development Program

The Executive recommends an appropriation of \$2 million for the Canal Development Program, unchanged from the SFY 2012-13 funding level. The revenues deposited into the Canal System Development Fund (CSDF) are generated by canal tolls and other user fees. Revenues from the CSDF are available strictly for the development, promotion, maintenance, and construction of the canals.

Article VII Proposals

The Executive recommends Article VII legislation that would provide a state takeover of personnel costs of the Division of State Police Troop T that patrols the Thruway (\$55.22 million transferred to a General Fund appropriation in the Division of State Police budget); create an exemption from an annual assessment due from the Authority to the State (\$5.20 million); and establish a system for spending the above appropriation (\$24 million). Together these actions would provide \$84.42 million in support for the Authority and would eliminate the need for a previously proposed commercial toll increase.

DEPARTMENT OF TRANSPORTATION

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	35,774,000	36,032,000	258,000	0.7%
AID TO LOCALITIES	4,482,419,700	4,808,914,700	326,495,000	7.3%
CAPITAL PROJECTS	5,099,105,000	4,341,385,000	(757,720,000)	-14.9%
Total for AGENCY SUMMARY:	9,617,298,700	9,186,331,700	(430,967,000)	-4.5%

Agency Mission

The Department of Transportation (DOT) maintains and improves the state's more than 40,000 highway lane miles and 7,500 bridges. In addition, DOT partially funds locally operated transit systems, local government highway and bridge construction, as well as rail and aviation programs. DOT closely coordinates with other state transportation agencies and authorities with the goal of creating an interconnected statewide transportation system that addresses environmental and community concerns and efficiently moves people and goods throughout the state.

Budget Summary

The Executive proposes All Funds appropriations of \$9.19 billion, a decrease of \$430.97 million or 4.48 percent from the SFY 2012-13 level. The Executive recommends funding support of 8,337 full-time equivalent (FTE) positions, a decrease of 22 positions.

State Operations Appropriations

(A. 3000)

The Executive proposes All Funds State Operations appropriations of \$36.03 million, an increase of \$258,000 from the SFY 2012-13 level.

Office of Passenger and Freight Transportation Program

The Executive recommends appropriation increases of \$258,000 to reflect increased revenues from assessments on freight rail (\$12,000) and increased revenues from registration fees for the regulation of motor carriers and interstate commerce (\$246,000).

ALL FUNDS PERSONNEL
BUDGETED FILL LEVELS

Fund	Current 2012-13	Requested 2013-14	Change
General Fund:	825	825	0
All Other Funds:	7,534	7,512	(22)
TOTAL:	8,359	8,337	(22)

Aid to Localities Appropriations
(A. 3003)

The Executive proposes All Funds Aid to Localities appropriations of \$4.81 billion, an increase of \$326.5 million or 7.28 percent from the SFY 2012-13 level. The Executive proposal maintains capital support to local governments for highway and bridge projects at SFY 2012-13 levels, with \$363.1 million provided for the Consolidated Highway Improvement Program (CHIPS) and \$39.7 million for the Marchiselli program.

Dedicated Public Transit Special Revenue Funds

Most transit aid is appropriated from three dedicated special revenue funds.

- **Mass Transportation Operating Assistance (MTOA) fund program (\$1.86 billion):** The Executive Budget proposes a net increase of \$196.85 million or 1.89 percent, to MTOA to reflect projected increases in dedicated tax revenues in the Metropolitan Mass Transportation Operating Assistance Account to support downstate transit (\$200.64 million), offset by decreased tax revenues in the Public Transportation Systems Operating Assistance account to support upstate transit (a \$3.80 million reduction).
 - **Dedicated Revenue Transfer:** The Executive recommends a sweep of \$20 million in dedicated tax revenue from MTOA to pay for a portion of the debt service associated with previously-issued MTA service contract bonds.
 - **Metropolitan Mass Transportation Operating Assistance Account (MMTOA):** The MMTOA account includes a new appropriation of \$2.51 million to reimburse the MTA for lost toll revenue on the Rockaway bridges during November 2012. The tolls were suspended on the Marine Parkway and Cross Bay Bridges to assist the Rockaways storm recovery.

- **Dedicated Mass Transportation Trust Fund (DMTTF) (\$662.19 million):** The Executive Budget increases appropriations by \$3.94 million from the DMTTF to reflect projected increases in fees and dedicated tax revenues primarily to support the MTA as well as upstate transit.
- **Metropolitan Transportation Authority Support Program (\$1.93 billion):** The Executive Budget increases appropriations by \$118 million, or 6.11 percent, to reflect projected increases in fees and dedicated tax revenues in the Mobility Tax Trust Account (\$100 million) and the Metropolitan Transportation Authority Aid Trust Account (\$18 million) to support MTA transit aid.

The three dedicated special revenue funds (MTOA, DMTFF and MTA Support), plus \$97.55 million from the General Fund, support the following transit systems:

Transit Operating Assistance – Executive Budget Appropriations SFY 2013-14				
(\$ in millions)				
	All Funds 2012-13	All Funds 2013-14	Change \$	Change %
MTA	3,992.15	4,287.40	295.25	7.40
Non-MTA Downstate	261.23	284.77	23.54	9.01
Upstate	175.51	175.51	0.0	0.0
Total	4,428.88	4,747.67	318.79	7.2

In addition, the Executive recommends an appropriation increase of \$7.71 million, or 84.74 percent, in the Federal Transit Authority Program Management Account to reflect increased federal operating grants.

Capital Projects Appropriations

(A. 3004)

The Executive proposes All Funds Capital Projects appropriations of \$4.34 billion, a decrease of \$757.72 million or 14.86 percent, from the SFY 2012-13 level.

Dedicated Highway and Bridge Trust Fund (DHBTF)

- **Non-Federally Aided Highway Capital Projects:** The Executive recommends a net appropriation increase of \$77.95 million, or 4.39 percent, in the DHBTF. Reductions are made to appropriations for engineering (\$23.55 million) and Administration (\$5.22 million). Increases are provided to construction (\$79.25 million), maintenance (\$21.97 million), capital plan management (\$4.03 million), real estate (\$1.27 million), and bus inspections (\$202,000). The level of recommended appropriations reflects an additional \$100 million of core program spending agreed to in the SFY 2012-13 budget.
- **Other Fund Actions:**

- The Executive Budget reflects the non-recurrence of New York Works spending in the DHBTF with \$232.05 million of reduced appropriations.
- The Executive proposes to shift last year's \$3 million appropriation from the Regional Aviation Fund back into the DHBTF where it had traditionally resided.
- The Executive proposal also includes transfer authority of \$624.69 million from the General Fund to the Dedicated Highway and Bridge Trust Fund to fill an expected capital funding shortfall of \$568 million in SFY 2013-14.

New York Works and Regional Economic Development Projects

The Executive proposes Road and Bridge Capital Plan obligations of \$3.68 billion in SFY 2013-14, a decrease of \$0.85 billion or 18.84 percent. This net year-to-year decrease primarily reflects the non-recurrence of 2012-13 New York Works infrastructure funding (\$1.16 billion). The year-to-year reduction is mitigated by \$200 million in new funding under the New York Works program and \$100 million in new commitments to be awarded competitively through the Regional Economic Development Councils. The plan continues to spend last year's New York Works infrastructure funding and reflects an additional \$100 million of core program spending authorized in last years enacted budget.

Savings Actions

The Executive's proposed level of funding reflects \$32.2 million in reductions to be achieved through operational and administrative efficiencies, such as staff; attrition; restacking and shared services; reductions in maintenance non-personal services; and savings from prior estimates of needed Amtrak corridor subsidies.

Mass Transportation and Rail Freight

The Executive Budget appropriates \$54.33 million for the Mass Transportation and Rail Freight program, an increase of \$27.71 million or 105 percent, from the SFY 2012-13 level. The appropriation includes \$10 million for DOT rail projects and \$44.33 million for Amtrak service subsidies required by the Federal Passenger Rail Improvement and Investment Act (PRIIA).

Engineering Services Program

The Executive provides \$18.32 million to the New York City Metropolitan Transportation Council to support planning activities required for the distribution of federal funds. This is \$423,000, or 2.36 percent, above SFY 2012-13 levels and reflects increased federal funding.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- provide the annual authorization for the CHIPS and Marchiselli programs;
- make permanent the current distribution of Transmission Tax revenues; and
- transfer \$307 million from the General Fund to the MTA financial Assistance Fund, Mobility Tax Trust Account, to fully offset revenue reductions enacted during the December 2011 Special Legislative Session.

URBAN DEVELOPMENT CORPORATION

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
AID TO LOCALITIES	89,615,000	42,885,000	(46,730,000)	-52.1%
CAPITAL PROJECTS	705,000,000	556,057,000	(148,943,000)	-21.1%
Total for AGENCY SUMMARY:	794,615,000	598,942,000	(195,673,000)	-24.6%

Agency Mission

The Empire State Development Corporation (ESDC) – formerly the Urban Development Corporation – is a New York State public benefit corporation. The mission of ESDC is to promote economic and real estate development by providing financial assistance to local governments, businesses and not-for-profit corporations engaged in economic development activities.

Budget Summary

The Executive proposes an All Funds appropriation of \$598.94 million, a decrease of \$195.67 million or 24.6 percent from the State Fiscal Year (SFY) 2012-13 level.

Aid to Localities Appropriations

(A. 3003)

The Executive proposes an All Funds Aid to Localities appropriation of \$42.89 million, a decrease of \$46.73 million or 52.1 percent from the SFY 2012-13 level.

Community and Business Assistance

The Executive Budget would maintain a total of \$3.9 million in appropriations for the following: Entrepreneurial Assistance Program (\$1.76 million); Community Development Financial Institutions (\$1.5 million); and base funding for the Minority- and Women-Owned Business Development and Lending Program - MWBDLP (\$635,000).

The Executive proposes the elimination of \$17.6 million in appropriations for the Jobs Now Program (\$16.2 million); additional MWBDLP funding (\$365,000); and the Center State Corporation for Economic Opportunity (\$1 million).

The Executive proposes a reduction of \$19.22 million for the Empire State Economic Development Fund, reflecting a decrease of 38.13 percent resulting in an appropriation of \$31.2 million, and a reduction of \$4 million for the Urban and Community Development Program, reflecting a total net decrease of 54.0 percent.

Other Program Eliminations:

The Executive Budget would also eliminate appropriations totaling \$7.41 million including:

- Military Base Retention (\$5 million);
- College of Nanoscale Science and Engineering (CNSE)
- Institute for Nanoelectronics Discovery and Exploration (INDEX) (\$1.01 million);
- Military Base Redevelopment Efforts (\$600,000);
- Brooklyn Chamber of Commerce (\$350,000);
- Rochester Technology and Manufacturing Association (\$200,000);
- Adirondack North Country Association (\$100,000);
- Canisius Women’s Business Center (\$100,000); and a
- redevelopment study at Belmont Park (\$50,000).

Capital Projects Appropriations

(A. 3004)

The Executive proposes an All Funds Capital Projects appropriation of \$556.1 million, a decrease of \$148.9 million or 21.1 percent under the SFY 2012-13 level.

Regional Economic Development Councils

The Executive Budget would maintain a \$150 million appropriation for a third round of competitive funding for the Regional Economic Development Councils. In addition, \$70 million in Excelsior tax credits would be made available for allocation by the Councils on a competitive basis.

Buffalo/Western New York Revitalization

The Executive proposes a second installment to a multi-year \$1 billion commitment to the Buffalo Regional Innovation Cluster which includes \$75 million in capital and an additional \$25 million in Excelsior Tax Credits. The Executive also proposes \$53.9 million for capital improvements to the Ralph Wilson Stadium and an additional \$2.17 million for the retention of football in Western New York. Coupled with an Aid to Localities appropriation of \$4.41 million, support for retention efforts totals \$6.57 million.

SUNY/CUNY Programs

The Executive proposes a combined total of \$110 million for the NYSUNY 2020 Grant Program and the new NYCUNY 2020 Grant Program. The State University of New York (SUNY) would receive \$55 million to be used for a third round of funding, while The City University of New York would receive \$55 million for its initial round of funding.

New York Works Economic Development Fund

The Executive proposes \$165 million for the New York Works Economic Development Fund for a total increase of \$90 million or 120 percent over SFY 2012-13.

Off-Budget Initiatives

The Mitchell-Lama affordable housing asset portfolio would be transferred from the Empire State Development Corporation to Division of Housing and Community Renewal in an effort to preserve over 8,600 units of affordable rental housing throughout the State.

The Executive proposes \$50 million in support for a new NYS Innovation Venture Capital Fund which would provide resources for new business creation and growth, as well as to spur commercialization. This fund would be supported by a \$40 million transfer from the New York Power Authority, an \$8 million suballocation from the State Small Business Credit Initiative, and a \$2 million allotment from the Small Business Technology Investment Fund.

Additionally, the Executive proposes a new “Innovate NY Network” to foster collaboration between academics, business leaders and professionals in order to enhance the commercialization process.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- make permanent the general loan powers of the New York State Urban Development Corporation; and
- provide general grant-making power for the New York State Urban Development Corporation.

MISCELLANEOUS: TRANSPORTATION, ECONOMIC DEVELOPMENT & ENVIRONMENTAL

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
CONSERVATION				
AGENCY SUMMARY				
STATE OPERATIONS	322,182,000	322,182,000	0	0.0%
AID TO LOCALITIES	54,136,000	50,936,000	(3,200,000)	-5.9%
CAPITAL PROJECTS	0	720,000,000	720,000,000	--
Total for AGENCY SUMMARY:	376,318,000	1,093,118,000	716,800,000	190.5%

State Operations Appropriations
(A. 3000)

Green Thumb

The Executive proposes a State Operations appropriation of \$2.83 million for the Green Thumb Program, which is the same level of funding as in State Fiscal Year (SFY) 2012-13. The Green Thumb Program provides part-time employment in State agencies for income-eligible seniors.

Greenway Heritage Conservancy of the Hudson River Valley

The Executive Budget proposes a State Operations appropriation of \$166,000 for the Greenway Heritage Conservancy of the Hudson River Valley, reflecting no change from SFY 2012-13 funding levels. The Greenway Heritage Conservancy of the Hudson River Valley promotes the preservation of natural and cultural resources in the Valley, serves as a land trust in the acquisition of lands important to the Greenway, and designates and develops the Hudson River Valley Greenway Trail.

Hudson River Valley Greenway Communities Council

The Executive Budget proposes a State Operations appropriation of \$185,000 for the Hudson River Valley Greenway Communities Council, reflecting no change from SFY 2012-13 funding levels. The Hudson River Valley Greenway Communities Council is a 25-member advisory board which is responsible for promoting the preservation of natural and cultural resources in the Hudson River Valley.

New York Work Task Force

The Executive proposes a State Operations appropriation of \$1 million for the New York Works Task Force, which is the same level of funding as in SFY 2012-13. The New York Works Task Force coordinates capital infrastructure plans across State agencies and authorities.

Aid to Localities Appropriations

(A. 3003)

Hudson River Valley Greenway Communities Council

The Executive Budget proposes an Aid to Localities appropriation of \$136,000 for the Hudson River Valley Greenway Communities Council, reflecting no change from SFY 2012-13 funding levels. The Hudson River Valley Greenway Communities Council is a 25-member advisory board which is responsible for promoting the preservation of natural and cultural resources in the Hudson River Valley.

Metropolitan Transportation Authority

The Executive proposes contingency Aid to Localities appropriations of \$2.28 billion, an increase of \$98.17 million, or 4.49 percent, from the SFY 2012-13 budget. This includes an appropriation of \$638.48 million, an increase of \$4.48 million, from the Dedicated Mass Transportation Trust Fund and an appropriation of \$1.65 billion, an increase of \$93.69 million, from the Metropolitan Transportation Authority Support Program (Mobility Tax Trust Account). This contingency appropriation can be used to support operating costs as well as debt service payments for the MTA in SFY 2014-15 in the event that the state budget for that fiscal year is not enacted by April 1, 2014.

Capital Projects Appropriations

(A. 3004)

Transformative Initiatives

The Executive proposal includes a \$720 million appropriation to promote transformative economic development and infrastructure initiatives, and may support projects that adapt infrastructure to extreme weather events and climate change. A minimum of \$360 million of the appropriation would be made available for competitive allocation by the Regional Economic Development Councils.

LEGISLATURE & JUDICIARY

Summary of Recommended Appropriations By Agency

LEGISLATURE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	219,944,801	219,944,801	0	0.0%
Total for AGENCY SUMMARY:	219,944,801	219,944,801	0	0.0%

JUDICIARY

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
STATE OPERATIONS	1,870,349,975	1,870,858,374	508,399	0.03%
AID TO LOCALITIES	101,644,040	102,377,495	733,455	0.7%
Total for AGENCY SUMMARY:	1,971,994,015	1,973,235,869	1,241,854	0.1%

Agency Mission

The New York State courts are established and administered as an independent branch of government pursuant to Article VI of the State Constitution. The cost of operating the courts (excluding town and village courts) is borne by the state pursuant to the Unified Court Budget Act. The mission of the Unified Court System is to promote the rule of law and to serve the public by providing just and timely resolutions of all matters before the courts. The New York State Judiciary (Judiciary) carries out its mission through 11 different trial courts (courts of original jurisdiction), its intermediate appellate courts and its highest court, the Court of Appeals.

Budget Summary

The Executive proposes All Funds appropriations of \$1.97 billion, an increase of \$1.24 million or 0.1 percent, over the State Fiscal Year (SFY) 2012-13 level.

The Judiciary's budget includes a \$40 million appropriation to support the recommendations of the Chief Judge's task force to expand civil legal services, which is a \$15 million increase from the SFY 2012-13 funding level. In addition, the request continues a \$15 million sub-allocation to the Interest on Lawyers Account (IOLA) fund in support of civil legal service programs.

DEBT SERVICE

Summary of Recommended Appropriations By Agency

DEBT SERVICE

	Adjusted Appropriation 2012-13	Executive Request 2013-14	Change	Percent Change
AGENCY SUMMARY				
General Fund	245,000,000	245,000,000	0	0%
Fiduciary	30,500,000	25,600,000	(4,900,000)	-19.1%
Debt Service Funds	6,665,660,000	7,223,260,000	557,600,000	7.7%
Capital Projects Funds	960,300,000	980,300,000	20,000,000	2%
Contingency Appropriation	1,400,000,000	1,500,000,000	100,000,000	6.7%
Total for AGENCY SUMMARY:	9,301,460,000	9,974,160,000	672,700,000	7.2

Programmatic Highlights

The State Fiscal Year (SFY) 2013-14 Executive Budget includes \$9,997,160,000 in Debt Service Appropriations, an increase \$72.7 million or 7.2 percent over SFY 2012-13.

Article VII Proposals

The Executive recommends Article VII legislation that would:

- authorize the Comptroller to make required certifications in relation to the 1986 Environmental Quality Bond Act to assure the continuation of the tax-exempt status of the bonds;
- authorize use of Mental Health Services Fund to make arbitrage rebate payments to the federal government, if necessary;
- reimburse certain capital spending from appropriations into the correctional facilities capital improvement fund;
- authorize \$1 billion from the General Fund to the debt reduction reserve fund;
- authorize Dormitory Authority of the State of New York (DASNY) and Empire State Development Corporation to issue bonds for any other issuers' authorized purposes under the Personal Income Tax (PIT) credit structure;
- amend the statute governing the Board of the Local Government Assistance Corporation, allowing bond issues to be approved by a unanimous vote of all directors;

- authorize PIT bonds to be issued for any purposes that state-supported debt can be issued, except General Obligation bonds;
- reimburse new appropriations and reappropriations from the Capital Projects Fund with the authority bond proceeds;
- authorize the creation of the New York State Transformative Capital Fund which would consist of two accounts; one to finance Federal Emergency Management Agency and a transformative capital account to finance transformative economic development and infrastructure initiatives;
- authorize the creation of a new Sales Tax Revenue Bond Tax Fund to replicate PIT and Local Government Assistance Corporation revenue bonds, to lower the costs of borrowing. The Sales Tax Revenue Bond will be secured by the pledge of payments from the General Debt Service Fund which will receive one percent of the state's four percent sales and use tax receipts. The bonds will be used interchangeably with PIT bonds to finance state capital needs; and
- authorize a new self-supporting bonding program State University of New York (SUNY) Dormitory Facilities supported by third party revenues generated by student rents. These revenues will flow directly to DASNY for the payment of debt service without an appropriation. Future bonds of SUNY dorms will not count as debt of the state.

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