

# ***DEPARTMENT OF STATE***

## ***MISSION***

Established in 1788, the Department of State (DOS) is the State's oldest agency. Historically serving as the State's general recording officer and custodian of the State's "Great Seal", the Department's mission has grown to include a broad range of activities that coordinate programs with, and provide services to, local governments and businesses. The Department protects public safety by managing arson investigation, fire prevention, building and energy code programs; administers programs for community development and local government service activities; and supports businesses through various licensing and registration activities.

## ***ORGANIZATION AND STAFFING***

The Department is headed by the Secretary of State, who is appointed by the Governor and confirmed by the Senate. The Department's central office is located in Albany. It also has 18 regional offices across the State and operates the Academy of Fire Science in Montour Falls, Schuyler County. The Department of State will have a workforce of 1,108 positions for 2003-04.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

Approximately 42 percent of the Department's operations and local aid programs are funded from fees and other income, 48 percent from Federal grants, and 10 percent from State tax dollars from the General Fund. The Executive Budget recommends funding of \$157.4 million for the Department of State: \$141.8 million in Federal funding and fee revenues, and \$15.6 million in General Fund support. The Department has achieved savings for SFY 2003-04 through personnel controls and implementation of various management efficiencies.

The Department will continue recent technology improvements to provide enhanced internet access and online applications to better serve the State's business customers and ease the filing of documents. Grant funding is also continued for downtown revitalization projects as part of the Governor's Quality Communities Program.

## ***PROGRAM HIGHLIGHTS***

- The responsibilities of the Department of State are carried out through three programs:
- The Local Government and Community Services Program consists of several functions, including the Office of Fire Prevention and Control (OFPC), which works with both paid and volunteer firefighters by providing training, technical support and assistance with arson investigations, and conducts fire safety inspections of colleges and state-owned buildings. OFPC trains and equips an urban search and rescue team based in the Capital Region, which joined with the Fire Department of New York in rescue efforts at the World Trade Center disaster site. OFPC also provides low interest loans to fire and ambulance companies through the Emergency Services Revolving Loan Program. The Division of Code Enforcement and Administration manages New York's building and energy code. In addition to these activities, Local Government and Community Services program staff provide ombudsman services to citizens; offer planning and management services to local governments through the Division of Local Government; support land use planning activities in the New York City/Catskill watershed; coordinate New York's coastal resources and waterfront revitalization activities; and administer the Department's Federal grant programs, including the Appalachian Regional Commission and the State Rural Development

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Council. The federally funded Division of Community Services provides a means for achieving economic self-sufficiency through programs designed to improve opportunities for its low-income participants.

- The Business and Licensing Services Program provides information on credit and debt for individuals, businesses and corporations; tracks all certificates of incorporation; administers qualifying examinations and licensing of 26 occupations; and prepares the State Register and other publications. Beginning in SFY 2003-04, the Business and Licensing Program will be expanded to include the Office of Professions, which is currently part of the State Education Department. As a result, the Business and Licensing Program will now be responsible for the licensing and certification of 39 professions, in addition to the 26 occupations the program currently regulates. This unit also oversees the operation of almost 1,900 cemeteries.
- The Administration Program provides the basic executive direction, fiscal, personnel and electronic data processing activities that support the Department's operations.

Additionally, the Department's appropriations contain funds for the Lake George Park Commission, the State Ethics Commission, the State Athletic Commission, the Committee on Open Government, and the Tug Hill Commission.

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2002-03	Appropriations Recommended 2003-04	Change	Reappropriations Recommended 2003-04
State Operations	62,040,000	78,048,000	16,008,000	15,559,000
Aid To Localities	133,030,135	79,370,000	(53,660,135)	144,635,000
Capital Projects	0	0	0	0
Total	195,070,135	157,418,000	(37,652,135)	160,194,000

## ALL FUND TYPES PROJECTED LEVELS OF EMPLOYMENT BY PROGRAM FILLED ANNUAL SALARIED POSITIONS

### Full-Time Equivalent Positions (FTE)

Program	2002-03 Estimated FTEs 03/31/03	2003-04 Estimated FTEs 03/31/04	FTE Change
Administration			
General Fund	48	47	(1)
Lake George Park Commission			
Special Revenue Funds - Other	9	9	0
Licensing Services			
Special Revenue Funds - Other	399	699	300
Local Government and Community Services			
General Fund	70	78	8
Special Revenue Funds - Federal	66	58	(8)
Special Revenue Funds - Other	176	181	5
Capital Projects Funds - Other	10	0	(10)
State Ethics Commission			
General Fund	21	19	(2)
Tug Hill Commission			
General Fund	17	17	0
Total	816	1,108	292

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<b>Fund Type</b>	<b>Available 2002-03</b>	<b>Recommended 2003-04</b>	<b>Change</b>
General Fund	14,094,000	14,307,000	213,000
Special Revenue Funds - Federal	10,945,000	10,980,000	35,000
Special Revenue Funds - Other	36,801,000	52,561,000	15,760,000
Fiduciary Funds	200,000	200,000	0
Total	<u>62,040,000</u>	<u>78,048,000</u>	<u>16,008,000</u>

Adjustments:			
Transfer(s) To			
General State Charges			
General Fund	2,000,000		
Appropriated 2002-03	<u>64,040,000</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2002-03</b>	<b>Recommended 2003-04</b>	<b>Change</b>
Administration			
General Fund	5,507,000	5,448,000	(59,000)
Lake George Park Commission			
Special Revenue Funds - Other	1,470,000	1,397,000	(73,000)
Licensing Services			
Special Revenue Funds - Other	33,781,000	49,599,000	15,818,000
Local Government and Community Services			
General Fund	5,690,000	6,318,000	628,000
Special Revenue Funds - Federal	10,945,000	10,980,000	35,000
Special Revenue Funds - Other	1,517,000	1,512,000	(5,000)
Fiduciary Funds	200,000	200,000	0
State Ethics Commission			
General Fund	1,939,000	1,591,000	(348,000)
Tug Hill Commission			
General Fund	958,000	950,000	(8,000)
Special Revenue Funds - Other	33,000	53,000	20,000
Total	<u>62,040,000</u>	<u>78,048,000</u>	<u>16,008,000</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2003-04 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	3,773,000	(46,000)	3,715,000	(52,000)
Local Government and Community Services	4,739,000	615,000	4,637,000	545,000
State Ethics Commission	1,137,000	(178,000)	1,137,000	(178,000)
Tug Hill Commission	849,000	(8,000)	841,000	(8,000)
Total	<u>10,498,000</u>	<u>383,000</u>	<u>10,330,000</u>	<u>307,000</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	45,000	0	13,000	6,000
Local Government and Community Services	102,000	70,000	0	0
State Ethics Commission	0	0	0	0
Tug Hill Commission	8,000	0	0	0
Total	<u>155,000</u>	<u>70,000</u>	<u>13,000</u>	<u>6,000</u>

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**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2003-04 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,675,000	(13,000)	170,000	0
Local Government and Community Services	1,579,000	13,000	72,000	27,000
State Ethics Commission	454,000	(170,000)	40,000	20,000
Tug Hill Commission	101,000	0	12,000	0
<b>Total</b>	<b>3,809,000</b>	<b>(170,000)</b>	<b>294,000</b>	<b>47,000</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	60,000	0	1,341,000	(13,000)
Local Government and Community Services	70,000	0	285,000	(21,000)
State Ethics Commission	20,000	0	243,000	(205,000)
Tug Hill Commission	7,000	0	80,000	0
<b>Total</b>	<b>157,000</b>	<b>0</b>	<b>1,949,000</b>	<b>(239,000)</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	104,000	0	0	0
Local Government and Community Services	1,152,000	793,000	0	(786,000)
State Ethics Commission	151,000	15,000	0	0
Tug Hill Commission	2,000	0	0	0
<b>Total</b>	<b>1,409,000</b>	<b>808,000</b>	<b>0</b>	<b>(786,000)</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2003-04 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Lake George Park Commission	1,397,000	(73,000)	578,000	(36,000)
Licensing Services	49,599,000	15,818,000	16,512,000	(2,239,000)
Local Government and Community Services	12,692,000	30,000	4,597,000	22,000
Tug Hill Commission	53,000	20,000	0	0
<b>Total</b>	<b>63,741,000</b>	<b>15,795,000</b>	<b>21,687,000</b>	<b>(2,253,000)</b>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Lake George Park Commission	819,000	(37,000)	0	0
Licensing Services	14,787,000	(243,000)	18,300,000	18,300,000
Local Government and Community Services	7,145,000	8,000	950,000	0
Tug Hill Commission	53,000	20,000	0	0
<b>Total</b>	<b>22,804,000</b>	<b>(252,000)</b>	<b>19,250,000</b>	<b>18,300,000</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<b>Fund Type</b>	<b>Available 2002-03</b>	<b>Recommended 2003-04</b>	<b>Change</b>
General Fund	26,630,135	1,270,000	(25,360,135)
Special Revenue Funds - Federal	82,000,000	63,700,000	(18,300,000)
Special Revenue Funds - Other	20,300,000	10,300,000	(10,000,000)
Fiduciary Funds	4,100,000	4,100,000	0
Total	<u>133,030,135</u>	<u>79,370,000</u>	<u>(53,660,135)</u>

## Adjustments:

Prior Year Deficiency			
State, Department of			
Special Revenue Funds - Federal	4,500,000		
Appropriated 2002-03	<u>137,530,135</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2002-03</b>	<b>Recommended 2003-04</b>	<b>Change</b>
Licensing Services			
Special Revenue Funds - Other	300,000	300,000	0
Local Government and Community Services			
General Fund	0	1,270,000	1,270,000
Special Revenue Funds - Federal	82,000,000	63,700,000	(18,300,000)
Special Revenue Funds - Other	20,000,000	10,000,000	(10,000,000)
Fiduciary Funds	4,100,000	4,100,000	0
Community Projects			
General Fund	26,630,135	0	(26,630,135)
Total	<u>133,030,135</u>	<u>79,370,000</u>	<u>(53,660,135)</u>