

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 supports public safety through the administration of 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 has a central office in Albany and 20 regional offices across the State.

BUDGET HIGHLIGHTS

The Executive Budget recommends **\$183 million All Funds** (\$21 million General Fund; \$162 million Other Funds) for the Department of State. This is a net decrease of **\$18 million All Funds** from the 2009-10 budget. The net decrease is primarily attributable to the transfer of the Office of Fire Prevention and Control, and related fire programs, to the newly established Division of Homeland Security and Emergency Services, the elimination of nonrecurring program additions, and the implementation of various State operations efficiencies.

The Executive Budget recommends a staffing level of **677 FTEs** for the Department of State, a decrease of **130** from the 2009-10 budget. This decrease primarily reflects the impact of the statewide hiring freeze and the transfer of the Office of Fire Prevention and Control, and related fire programs, to the Division of Homeland Security and Emergency Services. Additional staffing is recommended for the Athletic Commission to regulate the conduct of professional mixed martial arts competitions in the State. Staff increases resulting from the inclusion of the Authorities Budget Office appropriation in the Department's budget are also included in 2010-11 staffing levels.

PROGRAM HIGHLIGHTS

The responsibilities of the Department of State are carried out through three programs:

- The Local Government and Community Services Program manages New York's building and energy codes; offers planning and management services to local governments; supports land use planning activities in the New York City/Catskill watershed; coordinates New York's coastal resources and waterfront revitalization activities; provides technical assistance and grant administration for the Brownfield Opportunity Areas Program; administers the Department's Federal grant programs, including the Appalachian Regional Commission; and provides a means for achieving economic self-sufficiency through programs designed to improve opportunities for low-income participants.

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- The Business and Licensing Services Program maintains all certificates on file for businesses and corporations; administers qualifying examinations and licensing of 26 occupations; and prepares the State Register and other publications.
- The Administration Program provides the basic executive direction, fiscal, personnel, legal 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 Commission on Uniform State Laws, the State Athletic Commission, the Committee on Open Government, and the Tug Hill Commission.

AUTHORITIES BUDGET OFFICE

The Authorities Budget Office (ABO) was statutorily created by Chapter 506 of the Laws of 2009 as an independent office with administrative support and other host services provided through the Department of State. The Authorities Budget Office is not supported by a General Fund appropriation. Rather, a portion of the assessment the State charges public authorities is used to fund its operations. The Executive Budget recommends a staffing level of **11 FTEs** for the Office.

The Office continues, and builds on, the work initially begun by its predecessor, the Authority Budget Office that was established in 2006 and was hosted by the Division of the Budget. The Authorities Budget Office will study, review and report on State and local public authorities, enforce their compliance with State laws, and promote the principles of effective corporate governance.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2009-10	Appropriations Recommended 2010-11	Change	Reappropriations Recommended 2010-11
State Operations	77,192,500	75,142,309	(2,050,191)	24,609,500
Aid To Localities	121,481,884	105,133,631	(16,348,253)	109,535,911
Capital Projects	2,750,000	2,750,000	0	2,750,000
Total	<u>201,424,384</u>	<u>183,025,940</u>	<u>(18,398,444)</u>	<u>136,895,411</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2009-10	2010-11	FTE Change
	Estimated FTEs 03/31/10	Estimated FTEs 03/31/11	
Administration			
General Fund	58	58	0
Authority Budget Office			
Special Revenue Funds - Other	0	11	11
Lake George Park Commission			
Special Revenue Funds - Other	9	9	0
Licensing Services			
Special Revenue Funds - Other	360	351	(9)
Local Government and Community Services			
General Fund	99	71	(28)
Special Revenue Funds - Federal	58	58	0
Special Revenue Funds - Other	205	101	(104)
Tug Hill Commission			
General Fund	18	18	0
Total	<u>807</u>	<u>677</u>	<u>(130)</u>

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

Fund Type	Available 2009-10	Recommended 2010-11	Change
General Fund	22,923,000	20,907,000	(2,016,000)
Special Revenue Funds - Federal	8,466,500	13,692,309	5,225,809
Special Revenue Funds - Other	45,803,000	40,543,000	(5,260,000)
Total	<u>77,192,500</u>	<u>75,142,309</u>	<u>(2,050,191)</u>

Adjustments:			
Transfer(s) From			
Authority Budget Office			
Special Revenue Funds - Other	(1,326,000)		
Transfer(s) To			
Homeland Security and Emergency Services			
Special Revenue Funds - Federal	3,300,000		
Special Revenue Funds - Other	1,408,000		
Appropriated 2009-10	<u>80,574,500</u>		

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

Program	Available 2009-10	Recommended 2010-11	Change
Administration			
General Fund	11,258,000	9,825,207	(1,432,793)
Authority Budget Office			
Special Revenue Funds - Other	1,326,000	1,826,000	500,000
Lake George Park Commission			
Special Revenue Funds - Other	1,509,000	1,495,000	(14,000)
Licensing Services			
Special Revenue Funds - Other	41,112,000	35,639,000	(5,473,000)
Local Government and Community Services			
General Fund	10,292,000	9,737,793	(554,207)
Special Revenue Funds - Federal	8,466,500	13,692,309	5,225,809
Special Revenue Funds - Other	1,823,000	1,550,000	(273,000)
Tug Hill Commission			
General Fund	1,213,000	1,194,000	(19,000)
Special Revenue Funds - Other	33,000	33,000	0
Uniform State Laws, NY Commission on General Fund	160,000	150,000	(10,000)
Total	<u>77,192,500</u>	<u>75,142,309</u>	<u>(2,050,191)</u>

STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2010-11 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	5,341,207	(92,793)	5,294,207	(92,793)
Local Government and Community Services	8,494,793	(148,207)	8,455,793	(148,207)
Tug Hill Commission	1,084,000	(19,000)	1,084,000	(19,000)
Total	<u>14,920,000</u>	<u>(260,000)</u>	<u>14,834,000</u>	<u>(260,000)</u>
Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	41,000	0	6,000	0
Local Government and Community Services	34,000	0	5,000	0
Tug Hill Commission	0	0	0	0
Total	<u>75,000</u>	<u>0</u>	<u>11,000</u>	<u>0</u>

STATE OPERATIONS - GENERAL AND OFFSET FUNDS
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2010-11 RECOMMENDED
(dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	4,484,000	(1,340,000)	646,000	0
Local Government and Community Services	1,243,000	(406,000)	78,500	0
Tug Hill Commission	110,000	0	13,000	0
Uniform State Laws, NY Commission on	150,000	(10,000)	0	0
Total	5,987,000	(1,756,000)	737,500	0

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	58,500	0	3,065,500	(1,340,000)
Local Government and Community Services	140,300	0	641,100	(406,000)
Tug Hill Commission	8,000	0	87,000	0
Uniform State Laws, NY Commission on	0	0	150,000	(10,000)
Total	206,800	0	3,943,600	(1,756,000)

Program	Equipment	
	Amount	Change
Administration	714,000	0
Local Government and Community Services	383,100	0
Tug Hill Commission	2,000	0
Uniform State Laws, NY Commission on	0	0
Total	1,099,100	0

STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS
SUMMARY OF APPROPRIATIONS AND CHANGES
2010-11 RECOMMENDED
(dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Authority Budget Office	1,826,000	500,000	953,000	273,000
Lake George Park Commission	1,495,000	(14,000)	612,000	(12,000)
Licensing Services	35,639,000	(5,473,000)	19,550,000	(531,000)
Local Government and Community Services	15,242,309	4,952,809	6,570,000	1,628,000
Tug Hill Commission	33,000	0	0	0
Total	54,235,309	(34,191)	27,685,000	1,358,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Authority Budget Office	873,000	227,000	0	0
Lake George Park Commission	883,000	(2,000)	0	0
Licensing Services	16,089,000	(4,942,000)	0	0
Local Government and Community Services	7,636,000	3,320,000	1,036,309	4,809
Tug Hill Commission	33,000	0	0	0
Total	25,514,000	(1,397,000)	1,036,309	4,809

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

<u>Fund Type</u>	<u>Available 2009-10</u>	<u>Recommended 2010-11</u>	<u>Change</u>
General Fund	16,824,384	0	(16,824,384)
Special Revenue Funds - Federal	104,118,500	104,594,631	476,131
Special Revenue Funds - Other	539,000	539,000	0
Total	121,481,884	105,133,631	(16,348,253)
Adjustments:			
Transfer(s) To			
Homeland Security and Emergency Services			
Special Revenue Funds - Other	12,362,700		
Appropriated 2009-10	133,844,584		

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

<u>Program</u>	<u>Available 2009-10</u>	<u>Recommended 2010-11</u>	<u>Change</u>
Licensing Services			
Special Revenue Funds - Other	539,000	539,000	0
Local Government and Community Services			
General Fund	10,616,672	0	(10,616,672)
Special Revenue Funds - Federal	104,118,500	104,594,631	476,131
Community Projects			
General Fund	6,207,712	0	(6,207,712)
Total	121,481,884	105,133,631	(16,348,253)

**CAPITAL PROJECTS
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM
APPROPRIATIONS
(dollars)**

<u>Comprehensive Construction Program</u>	<u>Available 2009-10</u>	<u>Recommended 2010-11</u>	<u>Change</u>	<u>Reappropriations 2010-11</u>
Solid and Hazardous Waste Management				
Hazardous Waste Remedial Fund - Oversight & Assessment	2,750,000	2,750,000	0	2,750,000
Total	2,750,000	2,750,000	0	2,750,000