

3CS: COOPERATION AND CONSOLIDATION CONSULTING SERVICE

(Technical Assistance Program)

Objective: 3CS is a facilitation service designed to help local officials eliminate duplication of effort and provide services more economically and effectively through: (a) cooperation and consolidation within a local government or (b) cooperation and consolidation between two or more local governments.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1996

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Constitution, Article V, Section 1; NY General Municipal Law, Article 3

Regulation: NA

Program Contact:

Ken Madej
Division of Municipal Affairs
NYS Office of the State Comptroller
110 State Street, 12th Fl.
Albany, NY 12236
(518) 486-3163
E-Mail: kmadej@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: All New York State Municipalities, School Districts, Special Districts and Other Local Government Entities may apply for this program.

Type of Program and Special Restrictions: 3CS is a voluntary, cooperative program through which OSC staff assist local officials with their cooperation or consolidation project.

Action Required to Receive Aid: Participation in a 3CS project must be requested by the governing board of the municipal entity.

Description of Aid:

3CS is one of the Office of the State Comptroller's partnership programs designed to help local governments review their operations with the goal of developing efficiency through cooperation and consolidation both within a local government and with other local governments. Specifically 3CS is a voluntary consulting service developed to assist local officials in evaluating and accomplishing a cooperative activity or consolidation by bringing officials together facilitating discussions or meetings and providing technical assistance or support.

*Officially designated in New York State statute as the Department of Audit and Control.

EMERGENCY FINANCIAL ASSISTANCE TO CERTAIN CITIES

Objective: Provides emergency financial assistance to certain cities.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: 60301

Year Established: NA

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Laws of 2001, Chapter 50

Regulation: NA

Program Contact:

Craig Kinns
Data Verification
Division of Municipal Affairs
NYS Office of the State Comptroller
110 State Street, 12th Fl.
Albany, NY 12236
(518) 473-6337
E-Mail: ckinns@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: Certain cities. Funds are available for some cities that received emergency aid during the prior State fiscal year.

Type of Program and Special Restrictions: NA

Action Required to Receive Aid: NA

Description of Aid:

Flow of Funds: State to Local.

Type of Aid: Annual Appropriation

Formula: NA

Matching Requirement: NA

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	26,474,000	NA
SFY 01-02	NA	26,474,000	NA
SFY 02-03	NA	26,474,000	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	26,474,000	NA
SFY 01-02	NA	26,473,913	NA

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EMERGENCY FINANCIAL ASSISTANCE TO ELIGIBLE MUNICIPALITIES

Objective: Provides emergency financial assistance to eligible municipalities.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: 60302

Year Established: 1980

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Laws of 2001, Chapter 50

Regulation: NA

Program Contact:

Craig Kinns
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Division of Municipal Affairs
NYS Office of the State Comptroller
110 State Street, 12th Fl.
Albany, NY 12236
(518) 473-6337
E-Mail: ckinns@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: Counties and Cities. Population is used to determine eligibility.

Type of Program and Special Restrictions: Optional, without any State or Federal mandated requirements. Specific amount earmarked for payment of costs relating to annual debt service requirements and rental payments on certain locally constructed convention centers.

Action Required to Receive Aid: Non-competitive application for aid required.

Description of Aid:

Flow of Funds: State to Local. Monies are provided as a reimbursement.

Type of Aid: Annual Appropriation

Formula: NA

Matching Requirement: NA

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	20,813,800	NA
SFY 01-02	NA	20,813,800	NA
SFY 02-03	NA	20,813,800	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	20,813,800	NA
SFY 01-02	NA	20,813,745	NA

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FAST: FISCAL AWARENESS STRATEGIES TEAM

(Technical Assistance Program)

Objective: Provides an early warning system to identify local governments experiencing fiscal stress conditions and offers services aimed at dealing with causes of fiscal stress.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1997

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Constitution, Article V, Section 1; NY General Municipal Law, Article 3

Regulation: NA

Program Contact:

Jack Dougherty
Chief Examiner
Performance Services and Risk Assessment
Division of Municipal Affairs
NYS Office of the State Comptroller
110 State Street, 12th Fl.
Albany, NY 12236
(518) 474-4247
E-mail: jdougherty@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: Counties, Cities, Towns and Villages

Type of Program and Special Restrictions: Optional, without any State or Federal mandated requirements.

Action Required to Receive Aid: Service is offered by the OSC. Local government officials give approval to receive service.

Description of Aid:

FAST provides a variety of services related to identifying and assisting local governments with financial condition problems. These include: financial analysis of local governments; training to help local officials recognize, cope with and recover from fiscal stress; technical assistance via customized on-site help to municipalities; budget reviews; performance services, i.e., examining local government operations to assess performance and improve economy and efficiency, SMART Reviews to find ways to cut costs/maximize revenues without property tax increases; and reviews of financial conditions and fiscal operations to identify potential improvement opportunities.

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GENERAL PURPOSE LOCAL GOVERNMENT AID

Objective: Provides general purpose revenue for unrestricted use of cities, towns and villages in New York State.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: 60101

Year Established: 1965

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Laws of 2001, Chapter 50

Regulation: NA

Program Contact:

Craig Kinns
Data Verification
Division of Municipal Affairs
NYS Office of the State Comptroller
110 State Street, 12th Fl.
Albany, NY 12236
(518) 473-6337
E-Mail: ckinns@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: Cities, Towns and Villages. Funds are available for any municipalities that received funding during the prior State fiscal year.

Type of Program and Special Restrictions: Optional, without any State or Federal mandated requirements.

Action Required to Receive Aid: No action required, automatic payment.

Description of Aid:

Flow of Funds: State to Local. Payments are made on a scheduled basis.

Type of Aid: Annual Appropriation

Formula: Percentage of prior year payments.

Matching Requirement: NA

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	781,321,597	NA
SFY 01-02	NA	781,322,000	NA
SFY 02-03	NA	781,322,000	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	781,321,597	NA
SFY 01-02	NA	781,233,019	NA

Comments: Beginning in State fiscal 1991-92, the four subprograms; "Per Capita Aid," "Excess Aid," "Needs Based Aid" and "Special City, Town, Village Aid" were merged to form a single "State Revenue Sharing Aid" program.

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LOCAL GOVERNMENT AID TO COUNTIES

Objective: Provides general purpose revenue for unrestricted use to all counties outside the City of New York.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: 60102

Year Established: 2000

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Laws of 2001, Chapter 50

Regulation: NA

Program Contact:

Craig Kinns
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Division of Municipal Affairs
NYS Office of the State Comptroller
110 State Street, 12th Fl.
Albany, NY 12236
(518) 473-6337
E-Mail: ckinns@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: Counties, outside City of New York.

Type of Program and Special Restrictions: Optional, without any State or Federal mandated requirements.

Action Required to Receive Aid: No action required.

Description of Aid:

Flow of Funds: State to Local. Payments are made on a scheduled basis.

Type of Aid: Annual Appropriation

Formula: NA

Matching Requirement: NA

Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	5,000,000	NA
SFY 01-02	NA	17,000,000	NA
SFY 02-03	NA	22,000,000	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	5,000,000	NA
SFY 01-02	NA	17,000,000	NA

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PUBLICATIONS DISTRIBUTED BY THE OFFICE OF THE STATE COMPTROLLER

(Technical Assistance Program)

Objective: Provides a wide variety of reference and instructional publications on topics of interest and concern to local officials/associations and the general public.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: <http://www.osc.state.ny.us/localgov>

NYS Object Code: NA

Year Established: The Comptroller's "Special Report on Municipal Affairs" has been published annually since 1907. Other publications have various establishment dates.

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: Comptroller's "Special Report on Municipal Affairs" authorized by NY General Municipal Law, Section 37. (Other publications may have various legal authorizations.)

Regulation: NA

Program Contact:

Joseph Green
Group Leader - Information Management
NYS Office of the State Comptroller
110 State Street, 12th Floor
Albany, NY 12236
(518) 474-3790
E-Mail: Jgreen@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: Eligibility restrictions do not apply.

Type of Program and Special Restrictions: The Division of Municipal Affairs maintains approximately 20 reference publications, accounting systems for various types of local government entities, and accounting procedure manuals.

Action Required to Receive Aid: Publications are routinely distributed to municipalities twice a year via CD. The publications are also available on the OSC website. All publications are available to the public upon request.

Description of Aid:

Many publications provide a detailed explanation of the legal and accounting procedures to be followed by local offices. Other publications provide comprehensive statistical and financial data on thousands of municipal entities in the State.

Comments: A publications request form may be obtained by contacting the OSC at the address/telephone number shown above.

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**\$SMART: STATE COMPTROLLER'S MUNICIPAL
ADVISORY REVIEW TEAMS**
(Technical Assistance Program)

Objective: Helps local governments find ways to become more efficient by maximizing revenues without tax increases and minimizing expenses while still providing necessary government services.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: NA

Year Established: 1998

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Constitution, Article V, Section 1; NY General Municipal Law, Article 3

Regulation: NA

Program Contact:

Ken Madej
Division of Municipal Affairs
NYS Office of the State Comptroller
110 State Street, 12th Fl.
Albany, NY 12236
(518) 486-3163
E-Mail: kmadej@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: All New York State municipalities, school districts, special districts and other local government entities may apply for this program.

Type of Program and Special Restrictions: \$SMART is a voluntary, cooperative program. A \$SMART review must be requested by the municipal entity. During a \$SMART review, OSC staff works with local officials to review areas of operation chosen by the local government and develops specific recommendations for the Board's consideration. There is also a DIY (Do It Yourself) \$SMART component to this program whereby local governments can self administer this service based on self-help modules.

Action Required to Receive Aid: Participation in \$SMART is initiated by a request from the executive officer or appropriate department head. DIY \$SMART modules are available upon request from Regional or the Central Office, or from the State Comptroller's internet site.

Description of Aid:

OSC, with the assistance of the local government's staff, reviews specific areas of operation to determine where revenues can be enhanced and costs reduced or contained. Current areas include: payroll and personal service costs; intermunicipal cooperation; user fees; cash management; purchasing, debt refinancing, solid waste, utilities and highways. DIY \$SMART has similar objectives with modules currently available for payroll and personal service costs, highway operations, cash management and utility service.

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SUPPLEMENTAL MUNICIPAL AID

Objective: Provides additional emergency financial assistance to eligible municipalities.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: 60305

Year Established: 1999

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY Laws of 2001, Chapter 50

Regulation: NA

Program Contact:

Craig Kinns
 Data Verification
 Division of Municipal Affairs
 NYS Office of the State Comptroller
 110 State Street, 12th Fl.
 Albany, NY 12236
 (518) 473-6337
 E-Mail: ckinns@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: Counties, Cities, Towns and Villages

Type of Program and Special Restrictions: Optional, without any State or Federal mandated requirements.

Action Required to Receive Aid: No action for aid required, automatic payment.

Description of Aid:

Flow of Funds: State to Local.
Type of Aid: Annual Appropriation
Formula: NA
Matching Requirement: NA
Maintenance of Effort: NA

Amounts Appropriated:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	189,034,402	NA
SFY 01-02	NA	189,034,402	NA
SFY 02-03	NA	189,034,402	NA

Amounts Disbursed:

	<u>Federal Funds</u>	<u>State General Funds</u>	<u>State Spec. Rev.</u>
SFY 00-01	NA	189,034,002	NA
SFY 01-02	NA	189,034,002	NA

Comments: This is a combination of three previous programs - Emergency Financial Assistance to Eligible Municipalities - Additional, Special Financial Assistance to Certain Municipalities and Additional Financial Assistance to Certain Municipalities.

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TECHNICAL ASSISTANCE IN FINANCIAL AND ACCOUNTING MATTERS OFFERED BY THE OFFICE OF THE STATE COMPTROLLER

(Technical Assistance Program)

Objective: Provides technical assistance to local officials in conducting the everyday duties and responsibilities of their office.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: NA

NYS Object Code: NA

Year Established: NA

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NY General Municipal Law, Article 3

Regulation: NA

Program Contacts: Program contacts are through OSC regional offices in the following locations:

Buffalo - Office of the State Comptroller, Ellicott Square Building, 295 Main Street, Room 1050, Buffalo, NY 14203; Phone (716) 847-3647; Fax (716) 847-3643; E-Mail: Muni-Buffalo@osc.state.ny.us. Serving: Allegany, Cattaraugus, Chautauqua, Erie, Genesee, Niagara, Orleans, Wyoming Counties.

Rochester - Office of the State Comptroller, The Powers Building, 16 West Main Street, Suite 522, Rochester, NY 14614; Phone (585) 454-2460; Fax (585) 454-3545; E-Mail: Muni-Rochester@osc.state.ny.us. Serving: Cayuga, Chemung, Livingston, Monroe, Ontario, Schuyler, Seneca, Steuben, Wayne, Yates Counties.

Syracuse - Office of the State Comptroller, State Office Building, Room 409, 333 East Washington Street, Syracuse, NY 13202; Phone (315) 428-4192; Fax (315) 426-2119; E-Mail: Muni-Syracuse@osc.state.ny.us. Serving: Herkimer, Jefferson, Lewis, Madison, Oneida, Onondaga, Oswego, St. Lawrence Counties.

Binghamton - Office of the State Comptroller, State Office Building, Room 1701, 44 Hawley Street, Binghamton, NY 13901-4417; Phone (607) 721-8306; Fax (607) 721-8313; E-Mail: Muni-Binghamton@osc.state.ny.us. Serving: Broome, Chenango, Cortland, Delaware, Otsego, Sullivan, Tioga, Tompkins Counties.

Glens Falls - Office of the State Comptroller, One Broad Street Plaza, Glens Falls, NY 12801; Phone (518) 793-0057; Fax (518) 793-5797; E-Mail: Muni-GlensFalls@osc.state.ny.us. Serving: Clinton, Essex, Franklin, Fulton, Hamilton, Montgomery, Rensselaer, Warren, Washington Counties.

Albany - Office of the State Comptroller, 22 Computer Drive West, Albany, NY 12205; Phone (518) 438-0093; Fax (518) 438-0367; E-Mail: Muni-Albany@osc.state.ny.us. Serving: Albany, Columbia, Dutchess, Greene, Orange, Putnam, Saratoga, Schenectady, Schoharie, Ulster Counties.

Hauppauge - Office of the State Comptroller, State Office Building, 3rd Floor, Room 3A-10; Veterans Memorial Highway, Hauppauge, NY 11788-5533; Phone (631) 952-6534; Fax (631) 952-6530; E-Mail: Muni-Hauppauge@osc.state.ny.us. Serving: Nassau, Rockland, Suffolk, Westchester Counties.

Eligibility: Technical assistance is available to all local officials throughout the State.

Type of Program and Special Restrictions: None

Action Required to Receive Aid: Local officials receive technical assistance in financial, accounting and procedural matters through telephone contacts, by way of the Internet, through on-site visits, and through participation in periodic training seminars at various locations throughout the State.

Description of Aid:

OSC staff provide guidance, clarification and instruction to local officials in areas of finance, accounting and procedural matters.

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TRAINING FOR LOCAL GOVERNMENT OFFICIALS AND ORGANIZATIONS OFFERED BY THE OFFICE OF THE STATE COMPTROLLER

(Technical Assistance Program)

Objective: Provides training for local government officials in areas regarding their daily responsibilities for municipal operations such as fiscal management, economy and efficiency, accounting procedures, purchasing and legal issues.

Administering Agency: NYS Office of the State Comptroller*

Specific Program URL: <http://www.osc.state.ny.us>

NYS Object Code: NA

Year Established: NA

Catalog of Federal Domestic Assistance No.: NA

Legal Authority:

Law: NA

Regulation: NA

Program Contact:

Sandra Powell
Training Coordination: Intergovernmental Relations
Division of Municipal Affairs
NYS Office of the State Comptroller
110 State Street, 12th Fl.
Albany, NY 12236
(518) 473-0005
E-Mail: training_request@osc.state.ny.us

Fiscal Contact:

NA

Eligibility: Training is available to all local officials representing cities, counties, towns, villages, school and fire districts.

Type of Program and Special Restrictions: Training is available in areas dealing primarily with local government fiscal operations. This includes fiscal management, economy and efficiency, accounting procedures, purchasing and legal issues.

Action Required to Receive Aid: Local officials are invited to attend training offered by OSC staff through periodic publications such as the quarterly "Municipal Affairs" newsletter, direct mail, on-site visits and through working with statewide and regional local official organizations. Training can also be initiated by a request to OSC from one or more local officials or organizations. A calendar of local official training is maintained at the Municipal Government Partnership on OSC's website: <http://www.osc.state.ny.us>.

Description of Aid:

Training is offered in a variety of formats including: several annual "schools" for local officials, periodic instruction programs in double-entry accounting, regional seminars and workshops, customized presentations for specific local governments, and OSC participation in statewide and regional conferences. An addition to the OSC training program has been the use of live, interactive, statewide satellite teleconferences. Videotapes of these two hour evening programs are available for \$15 which includes handout materials, postage and handling. A complete list of OSC publications and teleconference videos is available upon request or by visiting OSC's website: <http://www.osc.state.ny.us>. OSC staff are also available upon request as speakers at other meetings and seminars. Beginning in 2001 OSC will offer training through a newly created institute. A link to this institute will be available from the OSC website.

Comments: Questions or requests about training opportunities should be directed to OSC's Training Coordination unit at the address, telephone number, and e-mail shown above.

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