SUNY Buffalo State

New York State Annual Budget Simulation

2020 Edition Simulating the 2021 Budget

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Part I: New York State Budget Background

Introduction

If you want to learn about the priorities of a state government, look first at its budget. A budget is often thought of as a simple measure of revenue and expenditures—a series of line items to be balanced. However, a state budget is a complex and dynamic “document” created through an inherently political process involving all aspects of government, private, and public interests. The resulting budget plan is the product of a complex balance of power between the governor, legislators, and other stakeholders. It must be understood within the context of the temporal, geographic, economic, and political conditions under which it was created.

New York State Budget Process

New York State (NYS) uses an executive budget model for its budget process. Under this system, the Executive (Governor) is responsible for developing and preparing a comprehensive, balanced budget proposal, which the Legislature reviews, modifies, and enacts into law. NYS State can (and often) passes legislation through the budget. This means that significant policy proposals are included in the annual budget rather than as standalone legislation. NYS has a strong executive who sets the agenda. (See Pecorella & Stonecash, Chapter 5.)

Article VII “State Finances”1 of the New York State Constitution sets the rules for the state’s Executive Budget process. Article VII, along with established NYS law and practice requires the Governor “seek” and coordinate funding requests from state agencies, prepare a complete plan of proposed expenditures and available revenues, and present a balanced Executive Budget plan to the Legislature, along with any legislation (appropriations bills and non-appropriation budget language bills) needed to enact the budget plan by “…the second Tuesday following the first day of the annual meeting of the Legislature” in January, or by February 1st if the budget follows a gubernatorial election year.

The formal budget cycle begins when the Budget Director, at the request of the Governor issues a “call letter” policy memorandum to the state agencies outlining the Governor’s priorities for the upcoming budget year. The call letter also outlines any expected fiscal constraints (whether to expect flat funding, a cut, or increase), and provides a timeline of when agencies can expect to have their requests completed and sent to the Division of the Budget. The requests are then analyzed by the Division of the Budget and together with other members of the Governor’s team, the draft executive budget takes shape.

The draft Executive Budget is released to appropriate committees of the legislature and shortly thereafter to the broader public through the State of the State (SOS) and budget address. The Legislature then has about 10 weeks until the start of the fiscal year (April 1st) to review, critique, revise, and enact the state budget. The Governor’s spending proposals and revenue estimates are primarily reviewed through the Legislature’s fiscal committees—Senate Finance and Assembly Ways and Means. The committees hold public hearings on major programs, and seek information

1 Article VII in its entirety can be read at https://www.dos.ny.gov/info/constitution/article_7_state_finances.html
from the Division of the Budget and other State agencies. There are specific rules that regulate how the Legislature reviews the Executive Budget proposed by the Governor. Passed in 2007, budget reform legislation requires the Legislature to follow a conference committee process between the two houses to organize its deliberations, set priorities, and reach agreement on the budget. The legislature may reduce the amount of money requested by the Governor on a line item but cannot increase a request. If the Legislature chooses to add funding, it must be on a separate line, and is subject to a veto by the Governor.

There is no constitutional requirement for the Legislature to deliver a budget, much less a balanced one, by the start of the fiscal year, but the Assembly and Senate are under political and financial pressure to do so as no new funds can be spent until the finalized budget is adopted.

The NYS Budget process is continuous. Once adopted, the Legislature is charged with overseeing the process while the Governor is charged with implementing the final budget plan. The plan is adjusted throughout the year. All the while, planning for next year’s budget continues.

NYS has a complex fund system with 5 funds making up the general NYS budget plan. They are;

- **the General Fund**, which receives most State tax receipts and income not specifically earmarked for a program or activity;
- **State Special Revenue Funds**, into which certain dedicated taxes, fees and other revenues used for a specified purpose are received;
- **Federal Special Revenue Funds**, receives certain Federal grants;
- **State and Federal Capital Projects Funds**, for costs incurred in road construction and maintenance, as well as bridges, prisons, university infrastructure, and other infrastructure projects;
- **and Debt Service Funds**, covering payment of principal, interest, and other expenses for debt issued by the State (and by public authorities on the State’s behalf).

However, it may be simpler to summarize the various funds of the NYS budget as the **State Operating Funds** and **Capital** funds. State Operating Funds are a broader measure of spending than the General Fund and include all activity from the General Fund, State-funded Special Revenue Funds and Debt Service Funds. Capital Project Funds and Federal Funds are excluded from the State Operating Funds Category. See Table 1 for a summary of the annual timeline for the NYS budget.

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2 “the [NYS budget] is considered balanced if sufficient resources are, or are expected to be, available during the fiscal year for the State to: (a) make all planned payments, including Personal Income Tax (PIT) refunds, without the issuance of deficit notes or bonds, or extraordinary cash management actions, (b) restore the balances in the Tax Stabilization Reserve and Rainy Day Reserve to levels at or above the levels on deposit when the fiscal year began, and (c) maintain other reserves, as required by law.”

### Table 1 Timeline of NYS Budget Process

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Agency Budget Preparation</td>
<td>June - September/October</td>
</tr>
<tr>
<td>2.</td>
<td>Budget Division Review</td>
<td>September/October - December</td>
</tr>
<tr>
<td>3.</td>
<td>Governor’s Decisions</td>
<td>November - January</td>
</tr>
<tr>
<td>4.</td>
<td>Legislative Action</td>
<td>January - March</td>
</tr>
<tr>
<td>5.</td>
<td>Budget Execution</td>
<td>April - March</td>
</tr>
</tbody>
</table>

Source: NYS Government

### NYS Government Relationship to the Federal Government

Federal spending is an essential component of the state budget, making up roughly one-third of all state budget revenue sources (projected $59.5 billion for Fiscal Year 2021), a percentage which has been consistent over many years. The Federal Government influences the state budget (and economy) through grants and mandates on spending through programs such as Medicaid and Social Security, education, and federal tax policy. In effect, federal policymakers (Congress and the Executive branch consisting of the President and the many executive branch agencies) seek to encourage (or discourage) the behavior of states by mandating certain state actions, through legislation preempting state laws, and by influencing state regulatory agencies and private industry through Federal regulatory action. The federal government provides mandatory grants (see Table 2) and discretionary grants to NYS (see Table 3).

### Table 2 Mandatory Federal Grants to States and Localities

<table>
<thead>
<tr>
<th>Grant</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medicaid</td>
<td>Provides health coverage to low-income families and individuals.</td>
</tr>
<tr>
<td>Children’s Health Insurance Program (CHIP)</td>
<td>Covers uninsured children up to age 19 in families with incomes too high to qualify for Medicaid.</td>
</tr>
<tr>
<td>Child nutrition programs</td>
<td>Provide breakfast and lunch to low-income students in schools.</td>
</tr>
<tr>
<td>Supplemental Nutrition Assistance Program (SNAP)</td>
<td>Formerly the Food Stamp Program, provides food-purchasing assistance to low-income families and individuals.</td>
</tr>
<tr>
<td>Child support enforcement programs</td>
<td>Provide grants to states and tribes for outreach, referral, and case management to increase parents’ ability to support their children.</td>
</tr>
<tr>
<td>Child Care and Development Block Grant</td>
<td>Finances high-quality child care for children with very low incomes whose parents work, are training for work, or attend school, and for children with special needs. It consists of both mandatory and discretionary funding.</td>
</tr>
<tr>
<td>Adoption and Foster Care Program</td>
<td>Helps to provide safe, stable out-of-home care for children until they are safely returned home, placed permanently with adoptive families, or placed in other permanent arrangements.</td>
</tr>
<tr>
<td>Temporary Assistance for Needy Families (TANF)</td>
<td>Provides cash assistance or other services such as child care assistance to poor families with children, and helps support related programs such as foster care.</td>
</tr>
<tr>
<td>Social Services Block Grant</td>
<td>Provides flexible funds states may use to support a variety of social services activities. Child care, foster care, and special services for people with abilities are the largest categories of expenditures under this grant.</td>
</tr>
</tbody>
</table>

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Table 3 Discretionary Federal Grants to States and Localities

<table>
<thead>
<tr>
<th>Grant</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title I funding to high-poor</td>
<td>Provides formula grants for schools with high numbers or proportions of</td>
</tr>
<tr>
<td>poverty schools</td>
<td>disadvantaged children to help such children meet academic standards.</td>
</tr>
<tr>
<td>Special education in schools</td>
<td>Provides formula grants to help schools pay for the additional costs</td>
</tr>
<tr>
<td>(individuals with disabilities</td>
<td>associated with teaching students with disabilities.</td>
</tr>
<tr>
<td>or IDEA)</td>
<td></td>
</tr>
<tr>
<td>Head Start</td>
<td>Offers pre-kindergarten to children from low-income families.</td>
</tr>
<tr>
<td>Special Supplemental Nutrition</td>
<td>Provides nutritious food and nutritional education to expecting low-income</td>
</tr>
<tr>
<td>Program for Women, Infants,</td>
<td>mothers and those with children under age 5.</td>
</tr>
<tr>
<td>and Children (WIC)</td>
<td></td>
</tr>
<tr>
<td>Low Income Home Energy</td>
<td>Helps people in need pay their home energy bills.</td>
</tr>
<tr>
<td>Assistance Program (LIHEAP)</td>
<td></td>
</tr>
<tr>
<td>Section 8 housing vouchers</td>
<td>Defray part of the rent on a modest apartment or other home in the private</td>
</tr>
<tr>
<td>(Housing Choice Voucher</td>
<td>market. Roughly half of the low-income households benefiting include seniors</td>
</tr>
<tr>
<td>Program and Project-Based</td>
<td>or people with disabilities, most of the rest are families with children.</td>
</tr>
<tr>
<td>Rental Program)</td>
<td></td>
</tr>
<tr>
<td>Community Development Block</td>
<td>Provides grants to states, cities, and counties to revitalize neighborhoods,</td>
</tr>
<tr>
<td>Grant</td>
<td>create jobs through the expansion and retention of businesses, improve water</td>
</tr>
<tr>
<td></td>
<td>and sewer systems, and build community centers, youth centers, and libraries,</td>
</tr>
<tr>
<td></td>
<td>as well as other public infrastructure projects.</td>
</tr>
<tr>
<td>Training and employment</td>
<td>Provide employment assistance, labor market information, and job training</td>
</tr>
<tr>
<td>services</td>
<td>through programs such as the Workforce Investment and Opportunity Act, Job</td>
</tr>
<tr>
<td></td>
<td>Corps, and apprenticeships.</td>
</tr>
<tr>
<td>Public safety grants</td>
<td>Support state and local law enforcement, juvenile justice programs,</td>
</tr>
<tr>
<td></td>
<td>community-oriented policing programs, prevention and prosecution of</td>
</tr>
<tr>
<td></td>
<td>violence against women, and combating drug trafficking.</td>
</tr>
</tbody>
</table>

As illustrated in Figure 1, the majority of federal government transfers to the states are related to social policy (Health and Human Services – Social Security, Medicare, Medicaid, TANF, CHIP). The U.S. Department of Agriculture oversees the SNAP (food stamps) program.

Figure 1 Federal Aid to State and Local Governments, Amounts and Percentages by Major Agency: Fiscal Year 2010

Source: U.S. Census Bureau, Federal Aid to States for Fiscal Year 2010. Data are not subject to sampling error, but for information on processing and response error, see the Reliability of the Data section in the Introduction.
Table 4 charts federal spending by budget category in NYS in FYs 2017-(projected) FY 2021. Note the large allocation for Medicaid. As of January 2020, NYS is running a $4 billion deficit in its Medicaid program.4

**Table 4 Federal Disbursements by Program Area in NYS (FY 2021)**

<table>
<thead>
<tr>
<th>(Millions of Dollars) Category</th>
<th>FY 2017</th>
<th>FY 2018</th>
<th>FY 2019</th>
<th>FY 2020</th>
<th>FY 2021</th>
<th>5 Year Change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Dollars</td>
<td>Dollars</td>
<td>Dollars</td>
<td>Dollars</td>
<td>Dollars</td>
<td>Percent</td>
</tr>
<tr>
<td>Medicaid</td>
<td>34,461</td>
<td>37,557</td>
<td>40,181</td>
<td>41,018</td>
<td>39,931</td>
<td>5,470</td>
</tr>
<tr>
<td>Other Health &amp; Social Welfare</td>
<td>10,310</td>
<td>11,839</td>
<td>12,368</td>
<td>11,954</td>
<td>12,204</td>
<td>1,894</td>
</tr>
<tr>
<td>Education</td>
<td>4,035</td>
<td>3,691</td>
<td>4,360</td>
<td>4,070</td>
<td>4,128</td>
<td>93</td>
</tr>
<tr>
<td>Transportation</td>
<td>2,092</td>
<td>1,683</td>
<td>1,698</td>
<td>1,614</td>
<td>1,567</td>
<td>(525)</td>
</tr>
<tr>
<td>Public Protection</td>
<td>1,460</td>
<td>1,552</td>
<td>1,283</td>
<td>1,362</td>
<td>1,282</td>
<td>(178)</td>
</tr>
<tr>
<td>All Other</td>
<td>628</td>
<td>485</td>
<td>530</td>
<td>386</td>
<td>412</td>
<td>(216)</td>
</tr>
<tr>
<td>Total</td>
<td>52,985</td>
<td>56,806</td>
<td>60,417</td>
<td>60,400</td>
<td>59,519</td>
<td>6,534</td>
</tr>
</tbody>
</table>


**Balance of Payments with the Federal Government: A long-standing concern for NYS policymakers**

The amount the federal government collects from each state varies enormously—for examples, in the 2017 fiscal year $5.6 billion from Vermont and $435.6 billion from California. Money the federal government receives from personal income and corporate taxes is returned to the states through grants, needs-based aid programs (such as Medicaid, SNAP, and TANF), benefits programs (especially Medicare and Social Security), military bases, and through contracting (e.g. defense contracts to companies located within the state). Former New York Senator Daniel Patrick Moynihan famously released his annual *Fisc* report demonstrating that NY taxpayers send more to the federal government than they receive in return. The SUNY Rockefeller Institute of Government continues this tradition with an annual report of the balance of payments between the federal government and the states.5 The 2020 report finds that 42 states get back more than they return, but New Yorkers continue to pay more to Washington, D.C. (See Figure 2.) Thus, there is a negative balance of payments between NYS and the federal government – that is, New Yorker contributions through taxes and other means is over $116 billion since fiscal year 2015 ($22 billion deficit in 2018, the most recent year for which data are available), and this has been the largest aggregate balance of payments deficit of the 50 states.6 On a per capita basis, this means every New Yorker has a balance of payments deficit with the federal government of $1,125.7 The Federal Tax Cuts and Job Acts of 2017 (TCJA) seems to have had a significantly negative impact on NYS’s balance of payments with the federal government. In other words, NYS pays a

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6 Ibid, p. 4.
7 Ibid, p. 6.
“disproportionate amount of Federal taxes” due to its high-income earners, rather than federal spending in NYS (although per capita federal spending is $101 lower in NYS than the federal average). However, federal spending in NYS is mainly accounted for by Medicaid and other needs-based social programs rather than wages from federal jobs or federal procurement dollars. (Payments for Social Security and Medicare to New Yorkers approximate the national average.)

Federal funding also plays an important role in intrastate politics and the relationship between NYS government and local governments.

A vast majority of federal money flows through grants to the state government, not local governments. In fiscal year 2009, 88 percent of federal grants were disbursed to the state, and only 12 percent paid directly to local governments. Politically, this can create tension between state and local governments and increases the influence of the state over local government budgets. Furthermore, the negative balance of payments between the federal government and NYS can create difficulty in the state budget. Medicaid is one of the largest expenditures and driver of costs in the state budget. Since NYS has a relatively high per-capita income relative to many other states, the federal government provides the lowest match rate (at 50%) for the Medicaid program. Some analysts have argued this is unfair as the formula only considers NYS’ capacity to pay, not its need or actual poverty rate.

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8 Ibid, p. 10.

NYS Government Relationship to County and Local Government

There are 62 counties and over 3,000 local governments in NYS. New York has been considered a strong “home-rule” state, granting significant autonomy over many matters to local governments. Historically, counties have been more the “administrative arm” of the state, with less flexibility than local governments. However, in matters of the budget, the relationship between state, county, and local government is a complicated one with mandates, contingencies, carrots and sticks. Roughly 66 percent to 70 percent of the state budget is earmarked for aid to local governments. State aid, and the provisions often attached, impact local government fiscal and policy decisions in social services, health, education, transportation and other areas. Currently, the largest component of state aid to local governments is to school districts, accounting for more than 60 percent of state aid. Other top categories include STAR (School Tax Relief), Medicaid, Human Services, and Transportation. (See Table 5.)

11 Office of the State Comptroller
Furthermore, NYS influences local governments by limiting their ability to enact tax policy. There is benefit to local governments by having NYS set tax policy and collect taxes. The state can streamline tax law and open up new revenue sources for local government. For example, the FY2020 Budget included rules impacting the collection of internet sales tax (known as the Wayfair regulations) which according to NYS, will result in $160 million in additional revenue for local government in 2020. However, the state can also constrain local spending through tax law. Perhaps most well-known and controversial to local governments is the so-called “2 percent Property tax Cap” (PTC) enacted in 2011, widely perceived as a major victory for the newly elected Governor Andrew Cuomo. The PTC sought to constrain local government spending and provide “relief” for property owners by limiting the growth of the property tax levy for local governments to 2 percent annual or inflation. The PTC constraints, coupled with the rising costs of government gives NYS greater say in the function of local government. However, this dynamic creates intergovernmental tension and impacts other stakeholders as well, increasing the importance of influencing the state budget process for local officials, private and public interests.

### NYS Budget Resources

1. Office of the New York State Comptroller - Forms for State Agencies and Employees

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2. New York State Division of the Budget – Users’ Guide to the Budget Documents
3. Citizen’s Guide to the New York State Budget
4. State Government structure

Executive Budget Agency Presentations

- Agency Appropriations for 2021 Executive Budget
- FY 2021 Executive Budget – one stop shopping for all budget documents
Part II: New York State Budget Simulation

Introduction

The New York State Budget is a negotiated plan – there are winners and losers. If you are a state agency, you want to make sure you have the resources to undertake your mission. The Governor can set an overall agenda or seek to constrain costs by cutting spending. Legislators can pursue their own agenda items and either support or cut from the Governor’s priorities. Taking an example, if you represent a public higher education employee union you want to make sure your members receive their negotiated raises, staffing levels are fully funded, and resources are allocated for programming to conduct your educational mission. If you represent any type of interest – whether a corporation, trade association, civil society organization (such as NYPIRG or Sierra Club), labor union, or NGO (nonprofit organization) you want to advocate for the inclusion of funding (or defunding) for programs, projects or agencies, or influence where certain pots of money are spent (such as infrastructure projects, workforce development, environment, medical, business conditions). Importantly, the NYS budget process is not just about the allocation of money to specific programs. It is a legislative process where agendas can be pursued by the Governor, Legislators and interest groups. Recent examples of budget agenda items for NYS have been: ending cash bail, a Green New Deal, changing election law, and attempts to legalize cannabis.

Furthermore, budget negotiations between stakeholders do not happen inside a vacuum. The Budget Plan is subject to the condition of the state and national economies, international and national events, regulatory changes, consumer spending, and even the weather. It must be understood within the specific temporal, geographic, economic, and socio-political constraints it is created in. Key questions for the stakeholders will be – Is this agenda achievable? How will it be funded? What are the obstacles? Who will I need in order to get this passed?

Objective of the NYS Budget Simulation

The major objective of this NYS Budget Simulation is for students to learn the politics and mechanics of budgeting in the State of New York. Participants will gain an understanding of the complexities of the NYS budget process, and hone skills in resource planning, negotiation and collective decision-making, and political and economic analysis that will benefit them as they prepare for (or continue in) a role in public service, nonprofit management, or in the private sector. The simulation is also designed for students to hone their public speaking and debating skills. The NYS budget reflects the priorities of the government and community. Finally, whether acting in a public or private capacity, we are all stakeholders and need to understand how to realistically advocate for a budget that reflects our values.

This guidebook is not designed to provide the reader with a comprehensive analysis and description of all aspects of the budget process. Nor does it dictate the fiscal, economic, and

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14 There is a section in the FY 2020 Enacted Budget Financial Plan titled “Other Matters Affecting the Financial Plan” that does an excellent job describing the various factors from federal issues to pension funding that impact the projections of the Budget.
political conditions under which the simulated budget will be created. Instead, the authors of this manual aim to review for the simulation participants and fascinators the complexities of the NYS Budget, describe the roles of the various stakeholders in the budget process, and guide the reader as they research and step into their roles, be it as a member of the Executive Branch, legislator, lobbyist, council member, or agency head. Furthermore, this guidebook provides a suggested general framework and timeline for implementing a state budget simulation in a 15-week semester.

Guidelines

The NYS Budget Simulation Scenario is designed to accompany classroom instruction and will take place over the course of a semester. The simulation is designed to take place over the entire semester (15 weeks) through a combination of in-class meetings and outside study, formal hearings, and a simulated Legislative review and passage of the State Budget. In order to successfully participate in the model NYS Budget Scenario, participants must become knowledgeable not only on the NYS budget process and procedures, but the larger policy issues, the NYS economy, and the political and social context of NYS that will inform their roles in the simulation. It is expected that participants will use this manual and the background materials provided as a reference and starting point for their own research to successfully participate in the simulation.

This manual will provide the framework for simulating the timeline, players, and decision-making process of the New York State Budget. The simulation will provide an opportunity for participants to be the “alter egos” of state government officials or interest group members. The simulation will follow an abbreviated schedule and condense or simplify some aspects of the budgeting process to keep the spirit of the overall learning objectives. Importantly, the Simulation Scenario will involve one major theme for participants to focus on during the simulated budget process. NYS budget categories often change very little from year to year, with many of the funding lines and programs changing only a small percentage or not at all. Roughly three-quarters of the state’s operating funds are not subject to change (such as K-12 Education and Medicaid). That still leaves a sizable portion of the budget up for negotiation. And from time to time, opportunities can open for expansive changes in the priorities of government that can be reflected in the State Budget Plan, such as occurred due to Democrats gained control of the Senate with the end of the Independent Democratic Caucus in 2019.

The simulation facilitator\textsuperscript{15} will set the stage so to speak with a specific theme to be considered through the budget process and provide an overview of the fiscal and political conditions under which the simulated budget will be created.

\textsuperscript{15} Course instructors
*For the 2020 simulation the topic will be the budget to support the Green New Deal/Green Economy as articulated in the New York State Climate Leadership and Community Protection Act.*

Model of the New York State Economy

When setting the conditions under which participants will negotiate the state budget, there are important variables to consider.

- **State Forecast** – A state forecast is a projection revenues and expenditures for the coming year. Numerous factors influence state expenditures and receipts. The forecast attempts to predict how these factors will collectively impact the state budget during the forecast period. The Legislature and Governor use the forecasts to develop and enact a balanced general fund budget.
  - **Revenue** – The sum of revenue or money coming into the state from various sources such as tax collections, fees, aid, and investments.
  - **Expenditures** – The sum of the money spent on governmental functions and programs and servicing state debt.
- **Political Environment** – If revenues do not keep pace with expenditures, a state may need to raise taxes, cut services, borrow money, or a combination of the three. What is the composition of the state government? The will of the people and the constraints of the environment under which the budget is being deliberated? What objectives are achievable? What are the obstacles? What coalitions will need to be built?

At each stage of the scenario it is important to build tangible deliverables and assessment points that provide opportunity for review and intervention to keep everyone on track during the simulation.

**The final “deliverable” for the simulation is a passed State Budget Plan for the budgetary policy being considered.**

**Stages and Phases**

The simulation is divided into four stages, consisting of 13 phases:

Stage I: Agency Budget Preparation

Stage II: Drafting and Release of Executive Budget

Stage III: Legislative Review, Action, and

Stage IV: Enactment of the final NYS Budget
Alter Egos

Roles or “alter egos” are grouped into categories by Executive, Legislative, and Interest Group. Furthermore, the intent of the simulation guidebook is to provide for an understanding of the budget as a negotiated process. The alter egos for this simulation are summarized in Table 6.

Table 6 Summary of Alter Egos

These roles are listed in the order they should be filled.

<table>
<thead>
<tr>
<th>#</th>
<th>Alter Ego</th>
<th>Relevant Website</th>
<th>Alter ego &amp; website</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>NYS Governor</td>
<td><a href="https://www.governor.ny.gov/">https://www.governor.ny.gov/</a></td>
<td>Andrew M. Cuomo <a href="https://www.governor.ny.gov/about">https://www.governor.ny.gov/about</a></td>
</tr>
<tr>
<td>2</td>
<td>Director of the Division of the Budget</td>
<td><a href="https://www.budget.ny.gov/">https://www.budget.ny.gov/</a></td>
<td>Robert Mujica <a href="https://www.linkedin.com/in/robert-mujica-87bd34123">https://www.linkedin.com/in/robert-mujica-87bd34123</a></td>
</tr>
<tr>
<td>6</td>
<td>Chair of the Assembly Ways &amp; Means Committee (Dem)</td>
<td><a href="https://nyassembly.gov/comm/?id=41">https://nyassembly.gov/comm/?id=41</a></td>
<td>Assemblymember Helene E. Weinstein (D- District 41) <a href="https://nyassembly.gov/mem/Helene-E-Weinstein">https://nyassembly.gov/mem/Helene-E-Weinstein</a></td>
</tr>
<tr>
<td>7</td>
<td>Lobbyist</td>
<td>Alliance for Clean Energy New York <a href="https://www.aceny.org/">https://www.aceny.org/</a></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Lobbyist</td>
<td>Independent Power Producers of New York <a href="http://www.ippny.org/">http://www.ippny.org/</a></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Climate Action Council</td>
<td>New York Power Authority</td>
<td>Gil C. Quiniones, President &amp; CEO <a href="https://www.nypa.gov/about/leadership/gil-quiniones">https://www.nypa.gov/about/leadership/gil-quiniones</a></td>
</tr>
<tr>
<td>No.</td>
<td>Role Description</td>
<td>Committee/Authority</td>
<td>Contact/Website</td>
</tr>
<tr>
<td>-----</td>
<td>----------------------------------------------------------------------------------</td>
<td>------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>11</td>
<td>Ranking Member of the Senate Finance Committee (Rep)</td>
<td>Standing Committee</td>
<td>Senator James L. Seward (R/C/I/Ref – District 51 Oneonta) <a href="https://www.nysenate.gov/senators/james-l-seward">https://www.nysenate.gov/senators/james-l-seward</a></td>
</tr>
<tr>
<td>13</td>
<td>New York State Energy Research and Development Authority (NYSERDA)</td>
<td><a href="https://www.nyserda.ny.gov/">https://www.nyserda.ny.gov/</a></td>
<td>Alicia Barton, President and Chief Executive Officer <a href="https://www.nyserda.ny.gov/About/Executive-Staff/Alicia-Barton">https://www.nyserda.ny.gov/About/Executive-Staff/Alicia-Barton</a></td>
</tr>
<tr>
<td>15</td>
<td>Speaker of the Assembly (Dem)</td>
<td><a href="https://nyassembly.gov/">https://nyassembly.gov/</a></td>
<td>Assembymember Carl E. Heastie (D – District 83) <a href="https://nyassembly.gov/mem/Carl-E-Heastie">https://nyassembly.gov/mem/Carl-E-Heastie</a></td>
</tr>
</tbody>
</table>

Additional roles, if needed:
Executive Branch Actors

The Governor is the chief executive of New York State and the head of the state executive branch. They work with the leadership of departments and agencies of the state. In most cases, agency heads are appointed by the Governor with the Senate’s consent. These appointed policymakers in the executive branch are responsible for implementing state laws, creating and revising policies and programs, and developing the state budget.\(^\text{16}\)

Role #1: Governor

The Governor guides and submits a yearly State Executive Budget to the Legislature. To do this, the Executive must work with the different NYS agencies to plan the expenditures and revenues for the upcoming year. The Governor monitors and makes adjustments to the Executive Budget as needed.\(^\text{17}\)

The Governor is elected by popular vote in the State of New York along with a Lieutenant Governor. They run in separate party primaries, but are elected together on the same ballot during the election. They have a four-year term limit. If the Governor is removed from office or no longer able to serve as Governor, the Lieutenant Governor will take over the role of Governor.\(^\text{18}\)

Article VII “State Finances”\(^\text{19}\) of the New York State Constitution sets the rules for the state’s Executive Budget process. Article VII, along with established NYS law and practice requires the Governor “seek” and coordinate funding requests from state agencies, prepare a complete plan of proposed expenditures and available revenues, and present a balanced Executive Budget plan to the Legislature, along with any legislation (appropriations bills and non-appropriation budget language bills) needed to enact the budget plan by “…the second Tuesday following the first day of the annual meeting of the Legislature” in January, or by February 1\(^\text{st}\) if the budget follows a gubernatorial election year.

Documents and Deliverables Associated with Role:

- Role Request
- Call Letter Policy Memorandum
- Executive Budget

Role #2 Director of the Budget

The Governor will work directly with the Budget Director in the Division of the Budget on the drafting and completion of the Executive Budget. The Governor will set the overall agenda with guidance from executive staff and work closely with them throughout the process. They will meet with the leadership of the Legislature, seek information from executive staff, and interact

\(^{16}\) [https://www.nga.org/consulting/powers-and-authority/](https://www.nga.org/consulting/powers-and-authority/)


\(^{19}\) Article VII in its entirety can be read at [https://www.dos.ny.gov/info/constitution/article_7_state_fi](https://www.dos.ny.gov/info/constitution/article_7_state_finances.html)
with interest groups either in person or through staff. Most communication will be done through memos.

The Budget Director is a member of the Executive Branch appointed by the Governor. The Director issues a policy memorandum, or “call letter,” to agency heads to start the formal budget cycle. This call letter outlines any fiscal issues or constraints and the Governor’s priorities for the year. They will provide economic projections, revenue forecasts, and review the impacts of State and Federal laws to revenue. They will also prepare the Financial Plan that describes the State’s fiscal condition and are integral to the Executive Budget process.

The formal budget cycle begins when the Budget Director, at the request of the Governor issues the call letter policy memorandum to the state agencies outlining the Governor’s priorities for the upcoming budget year. The call letter also outlines any expected fiscal constraints (whether to expect flat funding, a cut, or increase), and provides a timeline of when agencies can expect to have their requests completed and sent to the Division of the Budget. The requests are then analyzed by the Division of the Budget and together with other members of the Governor’s team, the draft executive budget takes shape.

The current Budget Director is Robert Mujica who worked in state politics for years on behalf of the GOP. He was appointed by the current Governor Cuomo. He has a fiscally conservative philosophy in his approach to state finances and has sought to reduce spending. This year, he would like to close the nearly $4 billion budget shortfall the state currently has. While he doesn’t project a recession within the next year, he is cautious for when one may come, knowing that spending for the state increases during recessions. He has also been very vocal on the federal tax law change, known as SALT or the state and local tax exemptions, which caps at $10,000 the exemptions that people can claim on their federal return. This money is then moved to other States within the nation, accounting for around $15 billion in income. Mujica believes that more affluent New Yorkers will move to a different state less affected by SALT, and with the top 5% of income earners paying close to 60% of all income taxes in the state, this could have a significant negative effect on state revenues.

Documents and Deliverables Associated with Role:

- Call Letter Policy Memorandum
- Executive Budget
- Notice of Budget Hearing Memo
- Role Request

The Budget Director will work directly with the Governor as an advisor work closely with them throughout the Executive Budget process. After releasing the “call letter,” the Budget Director will seek resource requests from state agencies, have a direct role in integrating requests and

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drafting the Executive Budget. They will request and host a formal budget hearing, guide executive staff and meet with legislative leadership.

Roles #3 & 4 Agency Heads

By constitutional mandate, there are 20 different agencies permitted in New York State.\(^\text{23}\) Agencies typically analyze their budget requirements in May or June and submit their budget requests to the Division of the Budget in early-to-mid fall. Copies of the budget request are also provided to the legislative fiscal committees, the Senate Finance and Assembly Ways and Means committees who analyze the requests. Legislators may request more information from agency heads and hold informal hearings to clarify any resource or programmatic needs or purposes. \(^\text{24}\)

The relevant agencies for the GND and the Green Economy are the Department of Environmental Conservation (DEC) and the Department of State (economic development, sustainability).

Documents and Deliverables Associated with Role

- All Funds Budget Request
- Agency Worksheet
- Role Request

The Agency Heads will prepare the Agency Worksheet/All Funds Budget Requests required by the Division of the Budget. The Agency head must guide agency staff and have a strong understanding of the mission and resource needs of the agency they head. They will advocate through their budget requests for their agency needs, provide testimony at budget hearings and public hearings. They will informally and formally meet with legislators, members of the Executive Branch, and Interest Groups.

The Legislative Branch

The Legislative Branch of the NYS government is the body that creates state laws. The Legislature is bicameral with two different chambers, the Senate, consisting of 62 members, and the Assembly, with 150 members. Members of both the Senate and Assembly are elected by the public to two-year terms. Since they are up for election every two years, the political pressure to fundraise and accommodate constituents is fully felt as they must continue to build voter support and be responsive the various stakeholders and interest groups affected by state government.\(^\text{25}\)

\(^\text{23}\) Governing New York, Pg. 119
Both bodies have almost total control over the law-making process but are influenced by the public, interest groups, local governments, and other areas of the government and their respective political parties. The Governor has veto power over legislation. The New York State Constitution provides the NYS Legislature with the power to raise and spend funds. The New York State Constitution also gives the legislature the right to reduce the number of departments, or the amount of power agencies of the state has.

The Legislature passes formal statements of opinion on many different matters called resolutions. They can be used for changes for internal rule, constitutional amendments, and even for praise for accomplishments of others. The Legislature exercises oversight activities including auditing agency programs and implementation. Legislators work on behalf of their constituents, making sure they are responsive to their needs and concerns. Legislators work through committees and subcommittees. The Legislature may override a veto by the Governor through a two-thirds majority vote of each house.

The Governor’s annual budget must be reviewed by both the Senate and Assembly primarily through its fiscal committees: the Senate Finance and Assembly Ways and Means committees. Mandated by law, the Senate and Assembly use a Conference Committee process to reach an agreement on a budget between the two houses. They must agree on recommendations of proposed expenditures and revenues which are used to amend the Governor’s proposed appropriation bills and related legislation. They may reduce requested amounts but are not permitted to increase any amounts. If they wish to increase funding, a separate line item which is subject to veto by the Governor must be passed. The appropriation bills, except the items added by the legislature for the Legislature and Judiciary, will automatically become laws without the need to return to the Governor. The Governor may use line-item vetoes which the Legislature added to the appropriation bills and can approve or deny parts or the entirety of the bill. The Governor’s actions may be overridden by a two-thirds vote of the members of each house.

The draft Executive Budget is released to appropriate committees of the Legislature and shortly thereafter to the broader public through the State of the State (SOS) and budget address. The Legislature then has about 10 weeks until the start of the fiscal year (April 1st) to review, critique, revise, and enact the state budget.

The Governor’s spending proposals and revenue estimates are primarily reviewed through the Legislature’s fiscal committees (see above). These committees hold public hearings on major programs and seek information from the DOB and other State agencies. There are specific rules that regulate how the Legislature reviews the Executive Budget brought forth by the Governor. Budget reform legislation requires the Legislature to follow a conference committee process.
between the two houses to organize its deliberations, set priorities, and reach agreement on a Budget.

There is no constitutional requirement for the Legislature to deliver a budget, much less a balanced\textsuperscript{30} one, by the start of the fiscal year, but the Assembly and Senate are under political and financial pressure to do so as no new funds can be spent until the finalized budget is adopted.

The NYS Budget process is continuous. Once adopted, the Legislature is charged with overseeing the process while the Governor is charged with implementing the final budget plan. The plan is adjusted throughout the year. All the while, planning for next year’s budget continues.

\textit{Senate}

The Senate is led by the Senate Majority Leader who is in charge of most of the important functions of the senate including appointing chairpersons of the senate standing committees. After the Governor, this is one of the most important roles within the State, along with the Assembly Leader, The Speaker of the Assembly.\textsuperscript{31} The senate approves the governor’s appointments of the heads of State agencies, members of different boards and judges of the court of appeals and court of claims.\textsuperscript{32}

\textbf{Role #5 Chair of Senate Finance Committee}

The main alter egos for the Senate are as member of the Senate leadership or as a member of the Senate Finance Committee. Senators will be responsible for interacting with other Legislators, members of the executive branch (staff, Governor, Budget Director) and other stakeholders (public/private interest groups and lobbyists) through formal and informal meetings, and collaborate with other members of the Legislature during the budget review and conference committee process. They will attend formal budget hearings, host a public hearing, and review the Executive Budget, issuing a summary through their respective committees. Ultimately, they will present their own amended budget plan to the Governor at the end of the budget process.

Together, the Senate and Assembly Committees draft a Report on the Fiscal Committees on the Executive Budget (Green Book) issued jointly shortly after the enactment of the State Budget by the Legislature. The Green Book describes Legislative intent with respect to the Budget and the changes the Legislature has made to the Executive Budget.

For Stage II of the simulation, members of the Legislative committees will meet with Agency heads and Interest Groups as they start to prepare their plans for the budget process.

\begin{itemize}
\item \textsuperscript{30} “the [NYS budget] is considered balanced if sufficient resources are, or are expected to be, available during the fiscal year for the State to: (a) make all planned payments, including Personal Income Tax (PIT) refunds, without the issuance of deficit notes or bonds, or extraordinary cash management actions, (b) restore the balances in the Tax Stabilization Reserve and Rainy Day Reserve to levels at or above the levels on deposit when the fiscal year began, and (c) maintain other reserves, as required by law.”
\item \textsuperscript{31} The Legislature, By Robert B Ward, Pg. 80
\item \textsuperscript{32} State Government Structure
\end{itemize}
Legislative leaders may also seek meetings with the Executive to ensure communication throughout the process so there are no large surprises.

**Documents and Deliverables Associated with Role:**

- Summary of Recommended Changes to the Executive Budget (Blue Book)
- Notice of Public Hearing Memo
- Summary of Recommended Changes to the Executive Budget (Green Book)

**The Assembly**

The Assembly is the lower house of the legislature and is led by the Speaker of the Assembly who controls most of the important functions and organization of the house. After the Governor, this is one of the most important roles within the State, along with the leader of the Senate, the Senate Majority Leader.  

The main alter egos for the Assembly are as member of the Assembly leadership or as a member of the Assembly Ways and Means Committee. Assembly members will be responsible for interacting with other legislators, members of the executive branch (staff, Governor, Budget Director) and other stakeholders (public/private interest groups and lobbyists) through formal and informal meetings, and collaborate with other members of the legislature during the budget review and conference committee process. They will attend formal budget hearings, host a public hearing, and review the Executive Budget, issuing a summary through their respective committees. Ultimately, they will present their own amended budget plan to the Governor at the end of the budget process.

**Role #6 Chair of the Assembly Ways & Means Committee**

The NYS Assembly Ways and Means Committee reports on topics of fiscal concern to the state. It issues regular reports throughout the year on the state’s economy and financial plan. For the budget, the Ways and Means Committee issues a Statistical and Narrative Summary of the Executive Budget (Yellow Book) shortly after the release of the Executive Budget.

Together, the Senate and Assembly Committees draft a Summary of Recommended Changes to the Executive Budget (Green Book) issued jointly shortly after the enactment of the State Budget by the Legislature. The Green Book describes Legislative intent with respect to the Budget and the changes the Legislature has made to the Executive Budget.

For Stage II of the simulation, members of the Legislative committees will meet with Agency heads and Interest Groups as they start to prepare their plans for the budget process. The Legislative leaders may also seek meetings with the Executive to ensure communication throughout the process so there are no large surprises.

**Documents and Deliverables Associated with Role:**

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33 The Legislature, By Robert B Ward, Pg. 80
Public/Private Sector Interest Groups and Lobbyists

For lobbyists and interest groups there are multiple opportunities to influence state public policy. Lobbying can be thought of in terms of organized groups seeking to influence government.\(^{34}\) Lobbying in NYS is defined as any attempt to influence specific legislation, a specific Executive Order, a specific rule or regulation, ratemaking or procurement\(^{35}\).

New York State’s Lobbying Act (part of NYS Legislative Law) seeks to specifically define lobbying and its role in the NYS Governments decision making process. The act states that “…the operation of responsible democratic government requires that the fullest opportunity be afforded to the people to petition their government for the redress of grievances and to express freely to appropriate officials their opinions on legislation and governmental operations.” Furthermore, “…to preserve and maintain the integrity of the governmental decision-making process in this state, it is necessary [to ensure disclosure of] the identity, expenditures, and activities of anyone who seeks to influence legislation or the regulatory activity of state government.”\(^{36}\)

Under federal law, 501(c)(3)s (except for churches and private foundations) can lobby so long as it does not constitute a substantial part of the organization’s overall activities.\(^{37}\)

Overview of Public/Private Sector Interest Groups and Lobbying Roles/Alter egos

A lobbyist or advocate spends much of their time researching specific policy issues, planning legislative strategy, reporting back to clients or bosses, informing lawmakers and staff on policy or providing “strategic advice,” doing opposition research and examining which stakeholders (influencers and decision makers) can affect the outcome of their policy goals. Popular conceptions of lobbyists may view them as funneling money into campaigns and the pockets of legislators, but this is a simplified and somewhat disingenuous conception of lobbying. Though money is a part of lobbying, the peddling of information of politics and policy is a much larger and influential component.\(^{38}\)

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\(^{35}\) NY Legislative Law 1-c.


\(^{37}\) For more information on 501(c)(3) activities go to the IRS website section on charities and non-profits. There you can also find out more information on how to measure how much of your 501c3 activities can be directed towards lobbying through an activity and expenditure test. Stonecash, J. M. (Ed.). (2001). Governing New York State. SUNY Press.

Table 7 is a calendar with opportunities for lobbying groups to influence the NYS budget.

Table 7 Opportunities to Influence the NYS Budget Process

<table>
<thead>
<tr>
<th>Timeline</th>
<th>NYS Budget Process/Event</th>
<th>Examples of Tactics</th>
</tr>
</thead>
<tbody>
<tr>
<td>January-February</td>
<td>Governor State of the State Message; Release of Executive Budget; Senate and Assembly</td>
<td>Media- Op/Ed, meetings with Editorial Boards; Activating Membership and Public; Draft</td>
</tr>
<tr>
<td></td>
<td>reconvene.</td>
<td>Policy Memos and Talking Points to share.</td>
</tr>
<tr>
<td>February-March</td>
<td>Fiscal Committees (Senate Finance and Assembly Ways and Means); Budget Conference</td>
<td>Meet with Relevant Committee Staff; budget testimony (policy memo).</td>
</tr>
<tr>
<td></td>
<td>Committees (Joint Public Hearings).</td>
<td></td>
</tr>
<tr>
<td>March-April</td>
<td>Budget Conference Committees continue to meet and report out to the leadership</td>
<td>Action Alerts and Quick Responses to increase public/membership pressure on</td>
</tr>
<tr>
<td></td>
<td>committee; Leadership 3-way meetings (Executive, Assembly and Senate) to reach</td>
<td>legislators and Governor; Grassroots Advocacy Days; Continue meetings with</td>
</tr>
<tr>
<td></td>
<td>agreement and avoid veto.</td>
<td>Legislators and Staff.</td>
</tr>
<tr>
<td>April-May</td>
<td>Legislature must pass budget to meet April 1 deadline (Governor has 10 days to act once</td>
<td>Seek continuous meetings with Leadership (Executive, Assembly and Senate).</td>
</tr>
<tr>
<td></td>
<td>sent).</td>
<td></td>
</tr>
<tr>
<td>May-June</td>
<td>If the Governor Issues a Veto, Legislature must act by end of session with 2/3 vote</td>
<td>Seek continuous meetings with Leadership.</td>
</tr>
<tr>
<td></td>
<td>for overrides.</td>
<td></td>
</tr>
<tr>
<td>Summer/Fall</td>
<td>State agency budgeting and programs package is assembled and submitted to the Division</td>
<td>Meet with Legislator in District; Arrange Tours of Programs and Projects; Meet</td>
</tr>
<tr>
<td></td>
<td>of the Budget</td>
<td>with Agency Staff; Start new Talking points and formulate a legislative agenda, and</td>
</tr>
<tr>
<td></td>
<td></td>
<td>education programs for members and public.</td>
</tr>
</tbody>
</table>

Types of Lobbyists/Interest Groups:

- **Private Sector Interest Groups** - Ex. Private lobbying firm, business or corporations, builders associations, trade associations
- **Public Advocates and Interest Groups** – Ex. Labor unions, non-profit groups, public health concerns, environmental protection, religious organizations

Roles # 7 & 8 Lobbyists

**Pro Alter Egos**

Lobbyists and interest groups should base their roles on real groups that are relevant to the selected budget topic. Your goal as a pro interest group – whether representing a private (Business, Trade Association, etc) or public interest group (Union, Non-Profit, etc) is to make sure the proposed budget topic is added and passed with the least damage or modification by the opposing stakeholders and influence the executive and legislative alter egos to achieve your goals.
Opposing Alter Egos

Lobbyists and interest groups should base their roles on real groups that are relevant to the selected budget topic. Your goal as an opposing interest group – whether representing a particular private sector business or group, or public interest group (Union, Concerned Citizen, Non-Profit, etc) is to present an “alternative view” to shift the power or narrative back into your desired direction and influence the executive and legislative alter egos to achieve your goals. Or at the very least, block a bill or mitigate the impact of laws, regulations, or funding to your interests. You will be against the proposed budget topics.

Documents and Deliverables Associated with Role:

- Internal Campaign Strategy
- Talking Points
- Policy Memo
- Role Request

There are two important deliverables for achieving your goals. First, you will draft a Campaign Strategy Document – this is where you identify your issue, your goals, assess the political landscape and identify your political targets and stakeholders. Importantly, this is also where you develop your strategy to win. The campaign strategy document will be used to inform your Policy Memo.

The Policy Memo will be a formal document that you develop to share with Legislators and the Governor’s Team. Policy memos are straightforward documents that analyze an issue and offer recommendations to inform and guide a decision-maker. In the Policy Memo you will identify the problem or issue, provide context and background information, summarize your findings and recommendations, analyze each option (cost-benefit analysis), address any counterarguments, limitations, or caveats to your proposed recommendations, and draft a conclusion that reminds the target decision-maker of the big picture, the overall goal, and advocates for a specific action. A recommended policy memo format created by the non-partisan Leadership for Educational Equity Organization is provided as in the appendix.

Background Information

Advocacy vs. Lobbying

Lobbying in NYS is defined as any attempt to influence specific legislation, a specific Executive Order, a specific rule or regulation, ratemaking or procurement. Advocacy is distinct from

lobbying in that it is geared towards making the voice of stakeholders heard on issues of public policy, but it does not urge the passage or defeat of specific, pending legislation.

Example of Grassroots Lobbying: “The Executive Budget proposes to cut funding for our state parks by 20%; Call your Assembly member and Senator and URGE them to REJECT this proposal!”

Example of Direct Lobbying: A Lobbyist may give testimony at a joint budget hearing, “ACME urges the Legislature to reject the Governor’s proposal to reduce programming and funding for NYS Parks.”

Example of Advocacy: “Public parks and wildlands are important to people, wildlife and the NYS economy. Call your legislator and urge them to support a strong NYS Public Parks System.” (No targeting of a specific proposal).

Some Strategies for Influencing Policy

- Learn the Issue- Knowledge is Power
- Identify Key Actors and Stakeholders
- Personalize the Issue – Make it relatable
- Assess the Political Landscape
- Get Key Players on Board – Who can give you what you want?

Further Readings – Lobbyists

- How to Track a Bill - https://nyassembly.gov/leg/
- Do Governors Matter? Budgeting Rules and the Politics of State Policymaking

Videos

- Twin Cities PBS - How It Happens - Lobbyists – 4.41 Min
- NowThis World - What Is Lobbying and Can It Be Good? – 3.00 Min
- Khan Academy - Interest groups and lobbying | Political participation | US government and civics - 6.28 Min

Articles

- “Working in Politics,” By Colleen D. Teixeira
- “The Bill That Fell From Grace,” By James Dao
- “D’Amato Uses Clout to Assist Democrats,” By David M. Halbfinger and David Kocieniewski
New York State Climate Action Council

The Climate Leadership & Community Protection Act (CLCPA), which the NYS legislature passed in June 2019 and Governor Cuomo signed into law July 18, 2019, establishes a 22-member Climate Action Council (CAC), whose primarily mission to develop a plan to reduce greenhouse gas (GHG) emissions to net zero. The CLCPA requires all members be nominated by the end of January 2020. The composition of appointments to the CAC are as follows: State agency and public authority heads (12), two non-agency appointees by the governor (2), three appointees from each legislative majority, and one appointee from each minority legislative conference (8).

Roles #9 & #10 Climate Action Council Members

One will be an agency/authority head and the other will be a legislative appointee.
Part III Simulation Program

The NYS Budget scenario will unfold in four stages, each consisting of “phases”, which are depicted in Figure 3 along with the “deliverables” for each stage.

I: Introduction and Role Requests
II: Agency Budget Preparation
III: Drafting and Release of Executive Budget
IV: Legislative Review, Action, and Enactment of the final NYS Budget

Figure 3 NYS Budget Simulation Stages

Stage I: Introduction to the Scenario and Role Requests (Phase I)

At this stage, the facilitator will introduce participants to an overview of the simulation, expectations and role introduction. Participants should be introduced to the requirements of their roles and fill out role request forms (Appendix: I). Participants should prepare an overview of
their understanding of the role they are requesting and a defense on their qualifications. In addition to the role request form, participants should be prepared to present their qualifications for the role in a brief 3-5 minute presentation followed by Q & A.

The facilitator should introduce students to the general theme for the NYS Budget Simulation.

**Deliverables for Stage I:**

**Facilitator:** Facilitator introduces the theme of the simulation

**Class Exercise:** Presentation/Defense of Roles

**Outside of Class:** Begin alter ego research

**Associated Documents:**

- Role Request Form

**Stage II: Call Letter and Agency Budget Preparation (Phases II-V)**

Stage II of the Budget Scenario will model aspects of the fiscal and economic outlook for NYS and the process through which the budget cycle is started and agency budgets created.

The formal budget cycle begins when the Budget Director, at the behest of the Governor issues a “call letter” policy memorandum to the state agencies outlining the Governor’s priorities for the upcoming budget year. The call letter also outlines any expected fiscal constraints (whether to expect flat funding, a cut, or increase), and provides a timeline of when agencies can expect to have their requests completed and sent to the Division of the Budget (DOB). NYS provides a Budget Request Manual to assist agencies. The requests are then analyzed by the DOB and together with other members of the Governor’s team, the draft executive budget takes shape.

**Executive**

**Governor and Budget Director**

The Executive Branch (DOB) will conduct role research and release the “call letter” policy memorandum “call letter” to agency heads. The executive will need to consider their overall agenda, the economic, fiscal and political conditions for the budget year and decide at what level agencies need to be funded at in order to keep the government functioning, while promoting the agenda priorities of the Governor (in this case, the GND).

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41 Information on the Justice Agenda can be found in the Executive Budget Briefing Book contains the Budget Director’s Message, which presents the Governor’s fiscal blueprint for the FY 2020 fiscal year and explains the State’s Financial Plan. It also includes highlights of major initiatives, and a list of the legislative proposals needed to implement the proposed budget.
Agency Heads

Agency heads will conduct role research and put together their budget request memos based on the Governor’s priorities, fiscal conditions, and timeline outlined through the call letter policy memorandum. Agencies will need to advocate for the resources necessary to fulfill their mission. After the agency request is prepared, Agency heads must be prepared to meet and explain their requests with appropriate parties and present at a formal budget hearing.

Lobbyists and Interest Groups

Lobbyists and interest groups should base their roles on real groups that are relevant to the selected budget topic and start to prepare their campaign strategy document and policy memos. There are multiple opportunities to influence the budget process through lobbying and advocacy. Strategies should have a legislative and executive component.

Interest Group FOR

Your role as a public/private interest group or lobbyist for the budget agenda item will be to research and draft a strategy and a policy memo to pass the measure and/or modify the agenda item to the benefit of the organization or group you represent. You will start meeting with legislators and members of the governor’s team. You should have your internal campaign strategy memo and talking points completed prior to your meetings with Legislators and members of the Governor’s team.

Interest Group AGAINST

Your role as a public/private interest group or lobbyist against the budget agenda item will be to do opposition research and draft a strategy and policy memo with a counter narrative to defeat the measure and/or modify the agenda item to the benefit of the organization or group you represent. You will start meeting with legislators and members of the governor’s team. You should have your internal campaign strategy memo and talking points completed prior to your meetings with Legislators and members of the Governor’s team.

Legislators

Legislators will perform as members of either the relevant fiscal committees of the Assembly or Senate or possibly in another leadership role such as Majority or Minority Leader.

Senate Finance – The Senate Finance Standing Committee has the power to investigate the various activities of the state as will aid them in their consideration of the budget submitted by the executive and any further appropriations proposed to the legislature.

Assembly Ways and Means – The NYS Assembly Ways and Means Committee reports on topics of fiscal concern to the state. It issues regular reports throughout the year on the state’s economy and financial plan. For the budget, the Ways and Means Committee issues a Statistical and
Narrative Summary of the Executive Budget (Yellow Book) shortly after the release of the Executive Budget.

Together, the Senate and Assembly Committees draft a Summary of Recommended Changes to the Executive Budget (Green Book) issued jointly shortly after the enactment of the State Budget by the Legislature. The Green Book describes Legislative intent with respect to the Budget and the changes the Legislature has made to the Executive Budget.

For Stage II of the simulation, members of the Legislative committees will meet with Agency heads and Interest Groups as they start to prepare their plans for the budget process. The Legislative leaders may also seek meetings with the Executive to ensure communication throughout the process so there are no large surprises.

**Deliverables for Stage II:**

**Class Exercise:** Agency budgets submitted to Division of the Budget, Senate Finance and Assembly Ways and Means Committees
- Informal meetings held with legislative committees and agency management (15min)
- Lobbyist and Public Interest Group meetings with Legislators (15min)
- Formal Budget Hearing date set by Executive/Budget Division

**Associated Documents:**
- All Funds/Agency Worksheet Forms
- Call Letter Policy Memorandum
- Lobbyist/Interest Group Policy Memo (begin work on this memo)
- Lobbyist/ Interest Group Campaign Strategy Document (begin work on this memo)
- Talking Points (to use during your initial meetings)

**III: Drafting and Release of Executive Budget (Phases VI-VII)**

Stage III of the Budget Simulation will focus on the creation and refinement of the Executive Budget Plan for the GND/Green Economy. Talks between the Governor, agency heads and Legislators and a simulated formal DOB budget hearing will be used to refine the budget narrative and the major recommendations on revenues, expenditures, and associated bills will precede release of the Executive Budget Plan to the Legislature and the broader public through the State of the State and Budget Address.

**Part A.**

**Simulated Formal Budget Hearing with Agency Heads**

The formal hearing will provide agency heads an opportunity to present and discuss their budget requests and provide the staff of the Division of the Budget and the Governor’s office an opportunity to raise critical questions on program, policy and priorities. A constitutional mandate
provides that members of the Legislature are invited to, and, can attend the hearing. The hearing will be formally announced by the DOB through a notice and be led by the Budget Director. Agency heads will provide testimony and answer questions by DOB and Legislators.

Part B.

The Executive Budget Plan Comes Together

Based on the preliminary reports from agency heads and recommendations from the Division of the Budget and the rest of the Governor’s staff on the most current reading of the economic and fiscal environment, the final Executive Budget recommendations are formulated in a series of meetings between Division of Budget staff and the Governor. These sessions focus on major fiscal and policy issues and may lead to significant revisions in agency budgets.

Executive Budget Components:

Narrative: This is the story of the budget. The agenda, describing the political, social, and economic framework for developing the state financial plan.

Appropriations Bills: Provide the legal authorization for all spending from the funds managed by the State. The spending bills are organized into the following major areas: Legislature and Judiciary, Debt Service, Education, Labor and Family Assistance, Transportation, Economic Development, and Environmental Conservation. Public Protection, and General Government, Health, and Mental Hygiene.

Non-Appropriations Bills: “Article VII Bills” are bills that proposed other provisions necessary to implement the Executive Budget. This legislation typically amends existing State laws governing programs and revenues, if they are necessary to execute the budget.

State of the State and Budget

An “Executive Summary” presentation will be prepared by the Governor’s team and “released” with the accompanying Executive Budget Plan to the Legislative Committees and broader public and interest groups.

Deliverables for Stage III:

Class Exercise I:
Division of the Budget Conducts formal Budget Hearing with Legislative committees and agency heads. (30-45min)

Class Exercise II:
Executive Budget Plan preparation and continued meetings among stakeholders (30min)

Class Exercise III:
State of the State and Budget presentation to all stakeholders (30min)
IV: Legislative Review, Action, and Enactment of the final NYS Budget (Phases VII-XII)

After the draft Executive Budget is released to appropriate committees of the legislature to the broader public through the State of the State (SOS) and budget address, the Legislature then has until the start of the fiscal year (April 1st) to review, critique, revise, and enact the state budget. The Governor’s spending proposals and revenue estimates are primarily reviewed through the Legislature’s fiscal committees – Senate Finance and Assembly Ways and. The committees will review the budget and release their own summaries of the executive budget for public release.

The Legislative committees will hold public hearings on major programs and seek information from the Division of the Budget and other State agencies. There are specific rules that regulate how the Legislature reviews the Executive Budget brought forth by the Governor.

Since 2007, the Legislature must follow a conference committee process between the two houses to organize its deliberations, set priorities, and reach agreement on a Budget. The Legislature may reduce the amount of money requested by the Governor on a line item but cannot increase a request. If the Legislature chooses to add funding, it must be on a separate line, and is subject to a veto by the Governor.

Simulated Joint Public Hearing

The simulated public hearing will be hosted by the combined committees of the Assembly Ways and Means and Senate Finance. The Committees will issue a notice of public hearing prior to the hearing, noting the subject and invite members of the government and broader public to testify. At the hearing public interest groups and lobbyists will present their finalized policy memos in presentation form. Agencies will make their final appeal for programming. The Legislative Committees will then use this information, along with the draft Executive Budget to inform their modifications to the executive budget and addition of their own agenda items to create the final budget proposal. For more information on how to host a public hearing, NYS provides a guidebook.44

Simulated Conference Committee held between Assembly and Senate

The Assembly and Senate will utilize a conference committee45 process between the two houses to organize the Legislature’s deliberations, priorities, and reach agreement on the final Budget. Establishing conference committees on the budget sets up a cooperative framework for resolving

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44 See “Conducting Public Meetings and Public Hearings”

the differences between similar versions of budget bills passed by each house. Through this process, the two houses reach agreement on spending and revenue recommendations and amend versions of the Governor’s proposed appropriations bills and legislation. As noted earlier, the Legislature may reduce the amount of money requested by the Governor on a line item but cannot increase a request. If the Legislature chooses to add funding, it must be on a separate line, and is subject to a veto by the Governor. During the conference committee process, Assembly and Senate Leadership may also communicate with the Governor’s team to try and resolve potential conflicts that may lead to a veto. For more information on conference committees see the Permanent Joint Rules of the Senate and Assembly.46

Of important note, Legislators should also communicate with other stakeholders throughout this process to make sure that what is in the amended budget plan will be accepted and they won’t experience unacceptable levels of “blowback,” or be prepared for upcoming arguments. Ultimately, they must consider the political impacts of the content of the amended plan.

Release of Amended Budget and Associated Bills to Governor

Agreed upon appropriations bills (except for those added by the Legislature and appropriations for the legislature and judiciary) become law without further action or consideration by the Governor. The Governor can approve or disapprove all or parts of the appropriations bills related to the Legislature or Judiciary. For items added by the legislature to appropriations bills, the Governor may use their right to a line-item veto to disapprove those items to which the Governor disagrees with. The Governor’s veto can be overridden with a majority vote by 2/3 of the members of the Assembly and Senate.

Congratulations! It’s April 1st and the final passage of the appropriations bills lays the legal foundation for the execution of the budget in the new fiscal year.

Deliverables for Stage IV:

Class Exercise I: Joint Public Hearing

Class Exercise II: Legislative Conference Committee

Class Exercise III: Presentation of the Budget to the Governor

Associated Documents:

- Executive Budget
- Notice of Public Hearing Memo
- Summary of Recommended Changes to the Executive Budget

Figure 4 summarizes the deliverables by roles.

46 See Joint Rules I, II, and III of Permanent Joint Rules of the Senate and Assembly
https://nyassembly.gov/Rules/?sec=jr
### Figure 4 NYS Budget Simulation Deliverables

<table>
<thead>
<tr>
<th>Role</th>
<th>Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Executive</strong></td>
<td>Role Research → Call Letter Policy Memorandum → Executive Budget</td>
</tr>
<tr>
<td><strong>Agency Head</strong></td>
<td>Role Research → All Funds Budget Request &amp; Agency Worksheet → Agency Worksheet</td>
</tr>
<tr>
<td><strong>Budget Director</strong></td>
<td>Role Research → Call Letter Policy Memorandum → Executive Budget → Notice of Budget Hearing Memo</td>
</tr>
<tr>
<td><strong>Chair of the Senate Finance Committee</strong></td>
<td>Role Research → Blue Book (Statistical and Narrative Summary or the Executive Budget) → Notice of Public Hearing Memo → Summary of Recommended Changes to the Executive Budget (Green Book)</td>
</tr>
<tr>
<td><strong>Chair of the Assembly Ways &amp; Means Committee</strong></td>
<td>Role Research → Yellow Book (Statistical and Narrative Summary or the Executive Budget) → Summary of Recommended Changes to the Executive Budget (Green Book)</td>
</tr>
<tr>
<td><strong>Lobbyists</strong></td>
<td>Role Research → Internal Campaign Strategy → Policy Memo → Talking Points</td>
</tr>
</tbody>
</table>
PART IV: Rules for Committees – Debate and Conduct

Normally the Senate and Assembly have specific rules for conducting debate and hearings. Due to the abbreviated nature of the NYS Budget Simulation and potential for small groups, **Rules for Debate in Small Committees** shall be used in place of **Parliamentary Procedure** (Robert’s Rules of Order). Participants should be aware of the norms of debate and follow protocol to the extent possible. Alter-Egos, when performing their role, should conduct themselves in a professional manner. The ranking government Official (Committee Chair or Leader) shall be responsible for ensuring protocols are followed and seek to facilitate the smooth and orderly transaction of business. For hearings, both public and those closed to public testimony, there is a specific agenda and process to follow and guidance is provided through [https://www.dos.ny.gov/lg/publications/conducting_public_meetings_and_public_hearings.pdf](https://www.dos.ny.gov/lg/publications/conducting_public_meetings_and_public_hearings.pdf).
PART V: SIMULATION SCHEDULE
<table>
<thead>
<tr>
<th>Phase I</th>
<th>Alter Ego Role Presentation</th>
<th>Week 2*</th>
<th>February 5</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Governor &amp; DOB</td>
<td>Agency Heads</td>
<td>NYS Legislature</td>
</tr>
<tr>
<td></td>
<td>Alter Ego Request</td>
<td>Alter Ego Request</td>
<td>Alter Ego Request</td>
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<thead>
<tr>
<th>Phase II</th>
<th>Call Letter</th>
<th>Week 3</th>
<th>February 12</th>
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<tbody>
<tr>
<td></td>
<td>Work on Call Letter (outside class)</td>
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<table>
<thead>
<tr>
<th>Call Letter</th>
<th>Week 4</th>
<th>February 19</th>
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<tr>
<td></td>
<td>Release Call Letter to Agency Heads (7:30 p.m.)</td>
<td>Brief internal meetings to discuss call letter (after Call Letter announcement)</td>
</tr>
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<td></td>
<td>Brief internal meetings to discuss call letter (after Call Letter announcement)</td>
<td>Brief internal meetings to discuss call letter (after Call Letter announcement)</td>
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<thead>
<tr>
<th>Phase III</th>
<th>Informal Lobbying</th>
<th>Week 5</th>
<th>February 26</th>
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<tbody>
<tr>
<td></td>
<td>Informal Lobbying of Agencies &amp; Governor</td>
<td>Informal Lobbying of Agencies &amp; Governor</td>
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</tbody>
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<table>
<thead>
<tr>
<th>Phase IV</th>
<th>Agency Budget Preparation &amp; Priority Identification</th>
<th>Week 6</th>
<th>March 4</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>DOB holds a hearing where agency heads express their point of view. Legislators permitted to attend. It is closed to the public, however. DOB makes announcement of this hearing through a memo. Use Notice of Public Hearing</td>
<td>Agency Budget Preparation to Present to Governor</td>
<td>Attend public hearing convened by DOB</td>
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<tr>
<td></td>
<td>Meet to discuss priorities</td>
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<table>
<thead>
<tr>
<th>Phase V</th>
<th>Agencies formally present</th>
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<tbody>
<tr>
<td></td>
<td>Agencies formally present 2021 executive</td>
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<tr>
<th>NYS Budget Simulation Schedule</th>
<th>Governor &amp; DOB</th>
<th>Agency Heads</th>
<th>NYS Legislature</th>
<th>Lobbyists &amp; CAC</th>
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<tbody>
<tr>
<td>Phase I</td>
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<tr>
<td>Alter Ego Role Request</td>
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<td>Week 2*</td>
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<td>February 5</td>
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<tr>
<td>Phase II</td>
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<tr>
<td>Call Letter</td>
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<td>Week 3</td>
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<tr>
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<tr>
<td>Phase IV</td>
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<tr>
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<tr>
<td>Phase V</td>
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<td>Agencies formally present 2021 executive</td>
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<tr>
<td>Phase</td>
<td>Description</td>
<td>Week 7</td>
<td>Week 8</td>
<td>Week 9</td>
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<tr>
<td><strong>Executive Budget</strong></td>
<td></td>
<td>March 11</td>
<td>March 18</td>
<td>April 1</td>
</tr>
<tr>
<td><strong>Phase VI State of the State Address</strong></td>
<td>GovernorDeliversSOS (7:30 p.m.)</td>
<td>After SOS, agency heads discuss with Legislature</td>
<td>After SOS, Legislators Meet to Discuss</td>
<td>After SOS, Lobbyists and Agencies Meet to Discuss</td>
</tr>
<tr>
<td><strong>Phase VII Lobbying</strong></td>
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<td>Lobby Governor &amp; Agency Heads &amp; Leg</td>
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</tr>
<tr>
<td><strong>Phase VIII Preparation of comments on the exec budget</strong></td>
<td></td>
<td>DOB testifies</td>
<td>Agency Heads testify</td>
<td>Notice of Public Hearing</td>
</tr>
<tr>
<td><strong>Phase IX Legislature Public Hearing on the Budget</strong></td>
<td>DOB testifies</td>
<td>Agency Heads testify</td>
<td>Turn in Policy Memo prior to the hearing</td>
<td>Notice of Public Hearing</td>
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<tr>
<td><strong>Phase X Conference Committee presents Green Book</strong></td>
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<td><strong>Phase XI Final Consultation Period</strong></td>
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<td><strong>Phase XII Governor signs or vetoes the budget</strong></td>
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<tr>
<td>May 13</td>
<td>Budget” or Governor explains reason for veto. (6:30 p.m.)</td>
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<tr>
<td>Phase XIII Post Mortem</td>
<td>Class Discussion of the simulation, ideas for improvement, etc.</td>
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<tr>
<td>Week 15</td>
<td>May 13</td>
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Notes:

*Based on 15-week semester. Lecture/Seminar -6:30-7:30 PM
Simulation 7:30-8:15 PM

See Budget Simulation Manual for a description of deliverables.
Deliverables in “red.”
All Deliverables to be uploaded to Blackboard before simulation session.
PART VI: SIMULATION FORMS
Role Request

Upload to “Assessments” in Blackboard

Thank you for your interest in employment with the New York State Government. In a maximum of one page, please describe your interest in public service and your motivation to pursue a position with New York State Government. Outline why you want the role and why you would be ideal in it. The questions below will guide you in this endeavor.

Guidance questions:
What am I for?
What am I against?
Who could I rely on as an ally?
What is outcome I would like?
List of overall objectives?
What are the factors that will influence my decision making?
What are the historical constraints?
What is my role in the budget?

Please take the research you have completed and use this to create a communication on the role’s interests and negotiation strategies.

- Explanation of your position on the GND & Green Economy
- Background information with supporting evidence or facts
- A discussion of both sides of the issue
- Suggested courses of action and possible solutions

Select one of options to deliver your message:

- Mock Podcast – 1-5 minutes in length
- A memo 2 pages in length
- A commercial on your stance 1-3 minutes in length
Summary of Recommended Changes to the Executive Budget

This will be your brief review and analysis of the Executive Budget and Agency Worksheet. Add narratives, charts and figure that will help draft how you want the direction of the Budget to go. Please take the different documents that were created throughout the class and assemble them into this summary. This should include all the budget documents you have created throughout the class. Create a table of contents and cover to go along with the document.

This is a take on the Yellow Book which will list expenditures and budget items for agencies throughout the state and is an analysis of the Executive Budget Proposal, and The Blue Book, the Senate’s Majority Staff Analysis of the Executive Budget Proposal. The Green Book, is the combination of the Senate’s Blue Book and Assembly’s Yellow Book. It is jointly issued by the Senate Finance Committee and the Assembly Ways and Means Committee shortly after the enactment of the State Budget by the Legislature. “It describes Legislative intent with respect to the Budget and the changes the Legislature has made to the Executive Budget.”

Please review the Official Yellow Book, Blue Book and Green Book.
Call Letter

“Although agencies begin to analyze their budget needs as early as May or June, the formal budget cycle begins when the Budget Director issues a policy memorandum - the “call letter” - to agency heads. The call letter outlines, in general terms, the Governor’s priorities for the coming year, alerts the agency heads to expected fiscal constraints and informs agencies of the schedule for submitting requests to the Division of the Budget. The call letter signals the official start of the budget process.”

a. Please work with the Governor’s Office and create a memo that outlines:
   i. The Governor’s priorities for the coming year
   ii. Any expected fiscal constraints
   iii. The schedule for submitting requests to the Division of the Budget.

Budget Hearing Memo Template

DATE AND NOTICE OF AGENCY HEARING

RELEVANT ASSEMBLY/SENATE STANDING COMMITTEE

NOTICE OF AGENCY HEARING

SUBJECT:

DATE:

TIME:

LOCATION:

DESCRIPTION OF PURPOSE OF HEARING:

NAMES AND TITLES OF THOSE CHAIRING MEETING

AGENDA:

PROCEDURES

OPENING STATEMENTS

TESTIMONY AND QUESTIONS

CLOSING
Notice of Public Hearing Memo Template

DATE AND NOTICE OF PUBLIC HEARING TITLE

RELEVANT ASSEMBLY/SENATE STANDING COMMITTEE NOTICE OF PUBLIC HEARING
SUBJECT:
DATE:
TIME:
LOCATION:

DESCRIPTION OF PURPOSE OF HEARING:

NAMES AND TITLES OF THOSE CHARING MEETING

AGENDA:
PROCEDURES
OPENING STATEMENTS
TESTIMONY AND QUESTIONS
CLOSING
Executive Budget Plan Template

Executive Budget

Introduction

EX. The Division of the Budget is responsible for assisting the Governor in the development of the Executive Budget and serves as the Governor's primary advisor on fiscal matters such as local government and public authority finances. To support the Governor's efforts, DOB will continue to reshape its mission and organizational structure to manage program and policy delivery outcomes. This mission includes oversight of agency performance, and an enhanced emphasis on governance to embed a culture of performance throughout the State. The synthesis of management and budget functions within DOB will ensure that the policies, programs and projects contained in the Budget are delivered in a timely, cost-effective manner.

[Insert narrative about the Executive Budget]

Bill Highlights

[Include some proposed appropriation and non-appropriation bills.]

Budget Highlights

EX. The Executive Budget recommends $49.2 million All Funds ($28.3 million General Fund; $20.9 million Other Funds) for the Division of the Budget. Appropriations in FY 2020 were decreased by $827,000 in non-personal service.

[Highlight cuts or increases of note.]

Program Highlights

• Establishing budget policy and agency direction;
• Providing fiscal policy advice in revenue and expenditure forecasting, budget process management, and intergovernmental relations;
• Managing the development of State agency programs and budgets;
• Managing the execution of the enacted budget to ensure timely and cost-effective service delivery; and
• Utilizing performance management tools to provide the most effective services to New Yorkers at the lowest possible cost
[Give some key highlights of what the key priorities of the state are.]

### ALL FUNDS APPROPRIATIONS

*(dollars)*

<table>
<thead>
<tr>
<th>Category</th>
<th>Available FY 2019</th>
<th>Appropriations Recommended FY 2020</th>
<th>Change From FY 2019</th>
<th>Reappropriations Recommended FY 2020</th>
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<tbody>
<tr>
<td>State Operations</td>
<td>30,000,000</td>
<td>30,000,000</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>30,000,000</td>
<td>30,000,000</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
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</table>

### STATE OPERATIONS

ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

*(dollars)*

<table>
<thead>
<tr>
<th>General Fund</th>
<th>Available FY 2019</th>
<th>Recommended FY 2020</th>
<th>Change</th>
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</thead>
<tbody>
<tr>
<td>Assembly</td>
<td>30,000,000</td>
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<tr>
<td>Senate</td>
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<td>(fill in with overall amount from Budget Spreadsheet)</td>
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<tr>
<td>Agency</td>
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<td>(fill in with overall amount from Budget Spreadsheet)</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
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<tr>
<td></td>
<td>Available FY 2019</td>
<td>Recommended FY 2020</td>
<td>Change</td>
</tr>
<tr>
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<tr>
<td><strong>Personal Service</strong></td>
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<tr>
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<tr>
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<tr>
<td>Agency</td>
<td></td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
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<table>
<thead>
<tr>
<th></th>
<th>Available FY 2019</th>
<th>Recommended FY 2020</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Non Personal Service</strong></td>
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<tr>
<td>Assembly</td>
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<td>(fill in with overall amount from Governor Budget Spreadsheet)</td>
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<tr>
<td>Senate</td>
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<td>(fill in with overall amount from Governor Budget Spreadsheet)</td>
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<td>)</td>
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<tr>
<td>Green New Deal Funding</td>
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<td>(fill in with overall amount from Governor Budget Spreadsheet)</td>
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</table>
All Funds Budget Request Template

- All Funds Budget Request Example:

POLICY ADVICE ON REQUEST

New York State
Division of the Budget
All Funds Budget Request FY 2020
Statement of the Commissioner or Agency Head

Agency:

As part of the agency budget request, the commissioner or agency head should complete Schedule A, “Statement of the Commissioner or Agency Head.” The purpose of this schedule is to provide a vehicle for the commissioner to clarify the agency’s mission and highlight the key elements of the agency’s budget request. This statement should cover all appropriation categories (State Operations, Aid to Localities, Capital Projects and Debt Service) for which the agency is requesting funds for the new year and relate requested appropriations to the agency’s mission.

Schedule A should include:

1. a concise statement of the agency’s mission;
2. a description of funding requirements; and
3. a brief synopsis of revenue, funding and programmatic changes anticipated by the budget request for the coming year.

A sample of this schedule follows.

Please use the Agency Worksheet to help complete this request
Mission
EX. The Division of the Budget is responsible for assisting the Governor in the development of the Executive Budget and serves as the Governor's primary advisor on fiscal matters such as local government and public authority finances. To support the Governor's efforts, DOB will continue to reshape its mission and organizational structure to manage program and policy delivery outcomes. This mission includes oversight of agency performance, and an enhanced emphasis on governance to embed a culture of performance throughout the State. The synthesis of management and budget functions within DOB will ensure that the policies, programs and projects contained in the Budget are delivered in a timely, cost-effective manner.

Organization and Staffing
EX. Located in Albany, the Division of the Budget operates under the direction of the Budget Director, who is appointed by the Governor.

Budget Highlights
EX. The Executive Budget recommends $49.2 million All Funds ($28.3 million General Fund; $20.9 million Other Funds) for the Division of the Budget. Appropriations in FY 2020 were decreased by $827,000 in non-personal service.

Program Highlights
Budget Division Program
- Establishing budget policy and agency direction;
- Providing fiscal policy advice in revenue and expenditure forecasting, budget process management, and intergovernmental relations;
- Managing the development of State agency programs and budgets;
- Managing the execution of the enacted budget to ensure timely and cost-effective service.
• Utilizing performance management tools to provide the most effective services to New Yorkers at the lowest possible cost

[Give some key highlights of what your agency accomplished or does.]

### ALL FUNDS APPROPRIATIONS

(dollars)

<table>
<thead>
<tr>
<th>Category</th>
<th>Available FY 2019</th>
<th>Appropriations Recommended FY 2020</th>
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<th>Reappropriations Recommended FY 2020</th>
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<tr>
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<td>49,184,000</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
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</tbody>
</table>
### STATE OPERATIONS

**ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

(dollars)

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<thead>
<tr>
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<th>Recommended FY 2020</th>
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<td>Personal Service</td>
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<td>(fill in with overall amount from Budget Spreadsheet)</td>
<td></td>
</tr>
<tr>
<td>Nonpersonal Service</td>
<td>4,730,000</td>
<td>(fill in with overall amount from Budget Spreadsheet)</td>
<td></td>
</tr>
</tbody>
</table>
Internal Campaign Strategy Template

**OVERALL GOAL:**
What is it I want to accomplish? Your goal(s) should be SMART: **S**pecific - **M**easurable - **A**ttainable - **R**ealistic – **T**imely.

**LEGISLATIVE GOAL:**
Identify and specific legislation you would like created, passed, modified, or blocked.

**PRIMARY TARGET/DECISIONMAKERS(s):**
Things to consider: Who has the power to give me what I want/need? Do I have a connection or relationship with them? Are they on my side, neutral or actively against my position?

**SECONDARY TARGET/INFLUENCER(s):**
Things to Consider: Who has influence with the primary targets? Do I have a connection or relationship with them? Are they on my side, neutral or actively against my position? Make a power map.

**STRATEGIC PARTNERS:**
Who can I ally with to achieve my agenda (groups, people, etc.)?

**RESOURCES:**
What resources (funds, people, supplies, etc.) do I need to accomplish my agenda and support my strategy and tactics?

**STRATEGY:**
“What” am I going to do to move the primary and secondary targets to “action” (give me what I want). Your strategy should be tied to you goals and follow the SMART criteria.

**TACTICS:**
This section is comprised of the “How” I am going to accomplish my goals. This could be meetings, donations, letters to the editor, media, etc.

**TIMELINE:**
Establish a timeline of for the how long your campaign is going to last and when you are going to

**METRICS:**
How am I going to measure success?
NYS Budget Policy Memo Template

Instructions:
- Must be clear, coherent, and concise
- Takes into consideration all stakeholders and parties involved in decision making
- Backed by evidence
- Guidance on Effective Policy Memo Writing