

**PERFORMANCE BASED BUDGET
FISCAL YEAR TO DATE THROUGH MARCH 2008**

MANAGEMENT, ADMINISTRATION, AND COUNSEL

Performance Goal	Status
Achieve 100% participation in the Leadership Training Program. This program is designed for mid- and high-level departmental managers to enhance skills and plan for succession and knowledge transfer in the face of heavy attrition and rapid technological changes.	Through the tenth month of the Leadership Academy year, which runs from June 1, 2007 through May 31, 2008, 81% of managers and leaders have participated in the Leadership Academy Program.
Respond to 95% of Disclosure and Government Exchange requests for information within targeted deadlines.	Requests for information were answered 98.6% of the time within targeted deadlines through March.
Process 99% of travel vouchers within two weeks of receipt.	Travel vouchers were processed within two weeks 100% of the time through March.
Process 98% of accounts payable invoices within 30 days of merchandise invoice receipt date.	Accounts payable invoices were processed within 30 days 98.9% of the time through March.
Identify method of procurement for 98% of requisitions within two weeks of Budget Unit approval.	A method of procurement was identified within two weeks of Budget Unit approval 97.2% of the time through March.
Submit 85% of responses for internal and external requests for legal advice and guidance to Deputy Commissioner and Counsel within 60 days.	Internal and external requests for legal advice were forwarded to the Deputy Commissioner and Counsel within 60 days 63.9% of the time through March.
Prepare tax-related budget bills and amendments accurately and on time.	Tax related budget bills and amendments were prepared accurately and timely 100% of the time through March.
Resolve 95% of legislatively referred constituent problems within 15 days.	Legislatively referred constituent problems were resolved within 15 days 93.7% of the time through March.

AUDIT, COLLECTION, AND ENFORCEMENT

Performance Goal	Status
Collect 100% of the Audit Plan collection target.	During the fiscal year, 165% of the fiscal year Audit Plan collection target was collected.
Complete 100% of planned desk audits.	During the fiscal year, 81% of planned desk audits were completed.
Complete 100% of planned corporation tax and income tax field audits.	During the fiscal year, 107% of planned corporation and income tax field audits were completed.
Complete 100% of planned sales tax field audits.	During the fiscal year, 93% of planned sales tax field audits were completed.
Complete 100% of planned transaction and transfer tax field audits.	During the fiscal year, 81% of planned transaction and transfer tax field audits were completed.
Open 100% of planned multi-tax audits.	During the fiscal year, 118% of multi-tax audits were opened.
Meet or exceed Collection Plan target in total cash collections.	The fiscal year-to-date target for total cash collections was exceeded by 4.4%.
Increase the collections recovery rate by 3% over a 5-year period from 2006-07 baseline levels. The recovery rate is the percentage of average inventory collected on an annual basis.	The 12 month rolling recovery rate for March collections was 27.85% compared to 25.81% baseline level for the same period last year.
Tax Collections Operations: <ul style="list-style-type: none"> • Complete 100% of case contacts as projected in the Tax Collections Plan (Call Center and district office incoming and outgoing telephone contacts and public counter). • File 100% of warrants as projected in the Tax Collections Plan. • Complete 100% of other enforcement actions (levies served, income executions, and business seizures) as projected in the Tax Collections Plan. 	<ul style="list-style-type: none"> • Through March, Collections and Civil Enforcement completed 94.79% of its fiscal year-to-date case contact target. • Tax Collections Operations filed 98.93% of the fiscal year-to-date warrant target. • For other enforcement activities, 150.48% of the fiscal year-to-date target was met.
Child Support Enforcement Operations: <ul style="list-style-type: none"> • File 100% of warrants as projected in the Child Support Operations Plan. • Complete 100% of other enforcement actions (levies served, income executions, and business seizures) as projected in the Child Support Operations Plan. 	<ul style="list-style-type: none"> • Child Support Enforcement Operations filed 159.24% of the fiscal year-to-date warrant target through March. • For other enforcement activities, 135.8% of the fiscal year-to-date target was met.
Achieve an average quality score of more than 90% in annual Call Center Quality Review, an annual customer service/quality review of recorded calls.	The 2007-2008 annual Call Center Quality Review completed by the Operation Analysis Record Management Bureau (OARM), resulted in a total of 270 calls reviewed with an overall score of 91.7% and a confidence level of 90% plus or minus 5%.

CONCILIATION AND MEDIATION

Performance Goal	Status
Acknowledge 95% of: <ul style="list-style-type: none">• accepted cases within 14 days• rejected cases within 14 days• dismissed cases within 22 days	In the Bureau of Conciliation and Mediation Services (BCMS) through March: <ul style="list-style-type: none">• accepted cases were acknowledged within 14 days 99.7% of the time• rejected cases were acknowledged within 14 days 97.2% of the time• dismissed cases were acknowledged within 22 days 96.5% of the time
Schedule 90% of cases for conference within 180 days.	BCMS scheduled 98.4% of the cases for conference within 180 days through March.
Issue 85% of decisions within three months of conference date.	Decisions were issued within three months of the conference date 85.4% of the time through March.

TECHNOLOGY AND INFORMATION SERVICES

Performance Goal	Status
Continue the development, construction, and implementation of the e-MPIRE integrated tax system, thereby allowing complete migration off the existing, antiquated UNISYS platform.	<p>All key functionality is in the user test environment. Of the 10,600 conditions, 50% have been reviewed and passed-- 60 to 90 percent in core areas. Testing of the Case Identification and Selection System (CISS) interface, Workflow Monitor functionality and Annual Cycle conditions for the 2007 Tax Year were initiated in March. Overall, it is expected that e-MPIRE functionality (except Correspondence) will be successfully tested with Tax Year 2006 rules by the end of April. Testing based on Tax Year 2007 rules has begun with functionality to be completed at various points throughout May and June. With these activities complete, staff will shift into the normal annual cycle process for Tax Year 2008.</p> <p>Additional performance testing of the Release 3 e-MPIRE application was conducted in late March. These tests provide very encouraging results in validating the overall flow of returns through the systems and provide Informational Technology Services (ITS) architecture, systems, and other technical staff with the information to continue to fine tune the systems.</p> <p>The transition of the e-MPIRE staff and functions back into the Department's permanent organizational structure are complete.</p>
Ensure access to major online systems during 99% of normal work hours.	Through March, major online systems were available 99% of the time during normal work hours.

Ensure availability of network resources during 99% of normal work hours.	Through March, network resources were available 99% of the time during normal work hours.
Complete and/or advance the portfolio of discrete technology projects within 10% of its final schedule baseline and 10% of its final non-personal service budget.	Through March, sixteen projects were completed. Eleven projects (69%) finished within 10% of the final schedule baseline. Eleven projects did not have any non-personal service costs. Four out of the five projects with non-personal service costs (80%) finished within 10% of the final budgeted non-personal service cost.

TAX POLICY, REVENUE ACCOUNTING, AND TAXPAYER GUIDANCE

Performance Goal	Status
Issue all tax forms and instructions on time with 100% accuracy.	Through March, all tax forms and instructions were issued timely and accurately 100% of the time.
Issue taxpayer guidance on Tax Law and Department policy changes (publications, regulations, notices, TSB-Ms and NYT-Gs) at least 30 days prior to effective date, if applicable, or within six weeks of the Department becoming aware of need.	Publications issued for taxpayer guidance on Tax Law changes were issued timely 100% of the time through March.
Issue advisory opinions within 90 days of receiving a completed petition.	Advisory opinions were issued within 90 days of receiving a completed petition 8.2% of the time through March 2008.
Prepare 100% of fiscal notes within four weeks of request.	Through March 2008, fiscal notes were prepared 96.9% of the time within four weeks of receiving a request.
Continue a multi-year phased program of forms and instructions redesign and simplification.	Through March eight forms were redesigned.
Develop and pursue a multi-year work plan for the issuance of more publications for all taxes, especially new industry-specific sales tax publications, and guidance.	<p>The following publications have been issued:</p> <ul style="list-style-type: none"> • 825-Guide to Sales Tax for Broadcasters • 848-A Guide to Sales Tax for Hotel and Motel Operators <p>The following 18 documents have been issued:</p> <ul style="list-style-type: none"> • TSB-M on sales tax on telecommunications purchased by Internet service providers • TSB-M on sales tax on wood pellets for home heating • TSB-M on Listed Transactions, Certain Charitable Deductions • TSB-M on sales, excise, and petroleum business tax treatment of Nonroad, Locomotive, and Marine Diesel Fuels • TSB-M on requirements for Certificates of Registration for Highway Use Tax • TSB-M on combined reporting • TSB-M on changes to the New York City local sales and use taxes on clothing • TSB-M on policy regarding surrender of Highway Use Tax Certificates of Registration • TSB-M summary of budget bill personal income tax changes enacted in 2007 • Regulation: income from repurchase agreements and securities lending agreements • TSB-M: supplemental summary of PIT legislative changes enacted in 2007 • TSB-M: summary of corporation tax legislative changes for 2007 • TSB-M: Sales Tax Treatment of TV Converter Box Coupons • Regulation: Income from repurchase agreements

and securities lending agreements

- Regulation: Wholesale Tobacco Products Dealers Must File Monthly Informational Returns
- TSB-M: Wholesale Tobacco Products Dealers Must File Monthly Informational Returns
- TSB-M: Combined Reporting – revision
- TSB-M: Sale of Subsidiary Stock (Bausch & Lomb decision)

CENTRALIZED OPERATIONS SUPPORT

Performance Goal	Status
One hundred percent (100%) of under-utilized or overlapping telecommunication services will have orders written for disconnection within two weeks of identification.	Under-utilized or overlapping telecommunication services had orders written for disconnection within two weeks of identification 100% of the time through March.
One hundred percent (100%) of new service requests will have division level executive management sign-off prior to processing.	Through March, new service requests had division level executive management sign-off 100% of the time prior to processing.
Achieve a 5% savings in department telecommunications costs by 3/31/2009, assuming agency-wide implementation of Voice over IP (VoIP) is in place.	The agency has not converted to Voice over IP (VoIP) at this time.
Prior to processing, provide a cost analysis to the Office of Budget and Management Analysis and executive management for 100% of any unscheduled print and mail workload (where Tax is asked to absorb related charges) and receive their approval.	No unscheduled print/mail jobs were received. We will continue to provide costing projections to OBMA and Executive management for unscheduled print/mail workloads where applicable. Once we receive approval, we provide the requested actions.
Mail 100% of all timely received documents by requested deadlines.	All timely received documents were mailed within deadlines 98% of the time through March 2008.
Maintain 100% error free inventory control of seized alcohol and tobacco products.	A tobacco auction is currently taking place. Once the auction is complete, an inventory of the remaining product will be performed to assure accuracy.

TREASURY MANAGEMENT

Performance Goal	Status
Prepare 99% of monthly reconciliations within 30 days of bank statement receipt.	Through March 2008, Treasury prepared reconciliations within 30 days 96.9% of the time.
Mail 100% of general checking account checks on time.	General checking account checks were mailed on time 100% of the time through March 2008.
Issue 100% of vendor checks requested by paper warrants within two days.	Treasury issued vendor checks requested by paper warrants within two days 100% of the time through March 2008.
Issue 100% of vendor checks requested electronically the same day.	Vendor checks requested electronically were issued timely 100% of the time through March 2008.
Issue 99% of personal income tax replacement checks within a week of receiving affidavit.	Personal income tax replacement checks were issued within one week of receiving the affidavits 98.8% of the time through March 2008.
Complete 99% of daily trades by 1 PM.	Daily trades were completed by 1 PM 99.6% of the time through March 2008.
Deposit and report 99.9% of checks received within 24 hours.	Treasury deposited and reported checks within 24 hours 100% of the time through March 2008.
Input 100% of investment information correctly into EVARE (Portfolio Management & Investment Accounting System).	The percentage of investment trade information that was posted correctly to EVARE, through March 2008 was 99.0%.

REVENUE PROCESSING AND RECONCILIATION

Performance Goal	Status
<p>Process approximately 24 million returns (including 8 million coupon returns) and more than \$85 billion in state and local tax payments on time with 100% accuracy.</p>	<p>More than \$111 billion in State and local tax payments and 26,862,337 returns were processed on time with 99.99% accuracy through March 2008.</p>
<p>Reduce exception rates for the four major tax types (income, corporate, sales and withholding) through systems improvements and enhanced taxpayer guidance and assistance provided through written material, telephone support, and the Internet.</p>	<p>The exception rate for the four major tax types was 3.58% through March 2008. This was a decrease of 1.09% compared to the same period last year.</p>
<p>Increase personal income tax electronic return filing (including extensions) 20%.</p>	<p>Through March 2008, personal income tax electronic filing increased 21.39% over the same period last year.</p>
<p>Increase electronic funds payments received for personal income tax (including return, estimated tax and extension payments) by 100%.</p>	<p>The number of personal income tax electronic payments through March 2008 have decreased by .62% over the same period last year.</p>
<p>Receive 10% of corporation tax receipts via electronic funds payments.</p>	<p>More than 3% of corporation tax payments were received via electronic funds through March 2008.</p>
<p>Send 100% of timely filed personal income tax refund requests to the Office of the State Comptroller no later than 10 days before the interest free period ends.</p>	<p>Through March, personal income tax refund requests were sent timely to the Office of the State Comptroller 99.98% of the time.</p>
<p>Deposit 99.5% of tax receipts within one day of receipt.</p>	<p>Tax receipts were deposited 99.76% of the time within one day of receipt through March 2008.</p>
<p>Maintain average age of protest inventories at or below target levels:</p> <ul style="list-style-type: none"> • Personal Income Tax - 60 days • Corporation Tax - 60 days • Sales Tax - 60 days • Withholding Tax - 60 days 	<p>The average age of protest inventories at the end of March is outlined below:</p> <ul style="list-style-type: none"> • Personal Income Tax – 25 days • Corporation Tax - 62 days • Sales Tax - 29 days • Withholding Tax -30 days
<p>Maintain average age of exception inventories at or below target levels:</p> <ul style="list-style-type: none"> • Personal Income Tax - 45 days • Corporation Tax - 60 days • Sales Tax - 60 days • Withholding Tax - 60 days 	<p>The average age of exception inventories at the end of March is outlined below:</p> <ul style="list-style-type: none"> • Personal Income Tax – 14 days • Corporation Tax - 43 days • Sales Tax - 33 days • Withholding Tax - 28 days
<p>Answer 85% of personal income tax information telephone inquiries within an average of 5 minutes and limit the average number of call attempts to 1.5 attempts or less.</p>	<p>Through March 2008, 89.8% of personal income tax information telephone inquiries were answered within 5 minutes. The average number of call attempts was 1.12.</p>

Answer 85% of business tax information telephone inquiries within an average of 2 minutes, and limit the average number of call attempts to 1.1 attempts or less.	Through March 2008, 76.1% of the business tax information telephone inquiries were answered within 2 minutes. The average number of call attempts was 1.08.
Achieve an average quality score of more than 90% on the annual Call Center Quality Review, an annual customer service/quality review of recorded calls.	The Operational Analysis & Records Management (OARM) Section's review of the February 2007 calls reported a 94.9% average quality score.
Resolve 90% of written inquiries (including protests) within 90 days.	The percentage of written inquiries resolved within 90 days through March for business tax was 77.92% and 94.83% for personal income tax.
Process sales tax registrations within 5 days of receipt.	On average, sales tax registrations were processed within 3.8 days of receipt through March 2008.
Assist taxpayers in legally dissolving or reinstating corporations within 15 days of receipt.	Taxpayers were assisted in dissolving or reinstating corporations in an average of 10.33 days through March 2008.
Process cigarette retail license applications and renewals within 10 days.	Cigarette retail license applications and renewals were processed on average within 6 days through March 2008.
Convert 90% of the "No Tax Due" sales tax tele-filers to web filers by the end of 2007-08.	Converted 31% of "No Tax Due" Sales Tax Tele-filers to web filers.
Receive 25% of the wage reporting records via e-file by the end of 2007-08.	Received 32.45% of wage reporting records via e-file.
Reduce the average number of repeat calls from taxpayers inquiring about the status of their refunds by 10%.	The average number of repeat calls from taxpayers inquiring about the status of their refunds decreased by 3% through March, over the same period last year.
Reduce the number of taxpayers who call regarding their refund by 5%.	The number of taxpayers who called regarding their refund decreased by 12% through March, over the same period last year.