

**PERFORMANCE BASED BUDGET  
FISCAL YEAR TO DATE THROUGH NOVEMBER 2007**

**MANAGEMENT, ADMINISTRATION, AND COUNSEL**

<b>Performance Goal</b>	<b>Status</b>
<b>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.</b>	For the sixth month of the Leadership Academy year, which runs from June 1, 2007 through May 31, 2008, 52% of managers and leaders have participated in the Leadership Academy Program.
<b>Respond to 95% of Disclosure and Government Exchange requests for information within targeted deadlines.</b>	Requests for information were answered 98.6% of the time within targeted deadlines through November.
<b>Process 99% of travel vouchers within two weeks of receipt.</b>	Travel vouchers were processed within two weeks 100% of the time through November.
<b>Process 98% of accounts payable invoices within 30 days of merchandise invoice receipt date.</b>	Accounts payable invoices were processed within 30 days 98.7% of the time through November.
<b>Identify method of procurement for 98% of requisitions within two weeks of Budget Unit approval.</b>	A method of procurement was identified within two weeks of Budget Unit approval 96.9% of the time through November.
<b>Submit 85% of responses for internal and external requests for legal advice and guidance to Deputy Commissioner and Counsel within 60 days.</b>	Internal and external requests for legal advice were forwarded to the Deputy Commissioner and Counsel within 60 days 70% of the time through November.
<b>Prepare tax-related budget bills and amendments accurately and on time.</b>	Tax related budget bills and amendments were prepared accurately and timely 100% of the time through November.
<b>Resolve 95% of legislatively referred constituent problems within 15 days.</b>	Legislatively referred constituent problems were resolved within 15 days 91.5% of the time through November.

## AUDIT, COLLECTION, AND ENFORCEMENT

Performance Goal	Status
<b>Collect 100% of the Audit Plan collection target.</b>	Audit collected 141% of the fiscal year-to-date Audit Plan collection target through November.
<b>Complete 100% of planned desk audits.</b>	Through November 2007, 74% of planned fiscal year-to-date desk audits were completed.
<b>Complete 100% of planned corporation tax and income tax field audits.</b>	Audit completed 106% of planned fiscal year-to-date corporation and income tax field audits through November.
<b>Complete 100% of planned sales tax field audits.</b>	Through November 2007, 83% of planned fiscal year-to-date sales tax field audits were completed.
<b>Complete 100% of planned transaction and transfer tax field audits.</b>	Audit completed 66% of planned fiscal year-to-date transaction and transfer tax field audits through November.
<b>Open 100% of planned multi-tax audits.</b>	Through November 2007, 133% of planned fiscal year-to-date multi-tax audits were opened.
<b>Meet or exceed Collection Plan target in total cash collections.</b>	The fiscal year-to-date target for total cash collections was exceeded by 3.8%.
<b>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.</b>	The 12 month rolling recovery rate for November collections was 27.11% compared to 25.34% baseline level for the same period last year.
<b>Tax Collections Operations:</b> <ul style="list-style-type: none"> <li>• 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).</li> <li>• File 100% of warrants as projected in the Tax Collections Plan.</li> <li>• Complete 100% of other enforcement actions (levies served, income executions, and business seizures) as projected in the Tax Collections Plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Through November, Collections and Civil Enforcement completed 98.05% of its fiscal year-to-date case contact target.</li> <li>• Tax Collections Operations filed 99.34% of the fiscal year-to-date warrant target.</li> <li>• For other enforcement activities, 127.74% of the fiscal year-to-date target was met.</li> </ul>
<b>Child Support Enforcement Operations:</b> <ul style="list-style-type: none"> <li>• File 100% of warrants as projected in the Child Support Operations Plan.</li> <li>• Complete 100% of other enforcement actions (levies served, income executions, and business seizures) as projected in the Child Support Operations Plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Child Support Enforcement Operations filed 104.60% of the fiscal year-to-date warrant target through November.</li> <li>• For other enforcement activities, 146.12% of the fiscal year-to-date target was met.</li> </ul>
<b>Achieve an average quality score of more than 90% in annual Call Center Quality Review, an annual customer service/quality review of recorded calls.</b>	The 2007-2008 annual Call Center Quality Review is in the process of being completed. The Operation Analysis Record Management Bureau (OARM) has completed the review of the calls and the results are being analyzed.

## CONCILIATION AND MEDIATION

Performance Goal	Status
<b>Acknowledge 95% of:</b> <ul style="list-style-type: none"><li>• <b>accepted cases within 14 days</b></li><li>• <b>rejected cases within 14 days</b></li><li>• <b>dismissed cases within 22 days</b></li></ul>	In the Bureau of Conciliation and Mediation Services (BCMS) through November: <ul style="list-style-type: none"><li>• accepted cases were acknowledged within 14 days 99.7% of the time</li><li>• rejected cases were acknowledged within 14 days 98.4% of the time</li><li>• dismissed cases were acknowledged within 22 days 99.4% of the time</li></ul>
<b>Schedule 90% of cases for conference within 180 days.</b>	BCMS scheduled 98.6% of the cases for conference within 180 days through November.
<b>Issue 85% of decisions within three months of conference date.</b>	Decisions were issued within three months of the conference date 86.0% of the time through November.

## TECHNOLOGY AND INFORMATION SERVICES

Performance Goal	Status
<p><b>Continue the development, construction, and implementation of the e-MPIRE integrated tax system, thereby allowing complete migration off the existing, antiquated UNISYS platform.</b></p>	<p><b>Release 3</b> The completely built and integration tested Release 3 returns processing system will be finished on December 3, 2007.</p> <p>Release 3 of Taxpayer Information will be implemented as planned as part of the Personal Income Tax annual cycle in January 2008.</p> <p>Release 3 mapping of electronically filed (i.e., ELF) returns and the re-designed transcripts will be implemented prior to peak processing in April 2008.</p> <p>To date, we are getting good test results in all areas of the application. The testing schedule has been adjusted to reflect a completion date of March 31, 2008. We are on track to meet that date.</p> <p>Critical issues continue to be monitored daily and reviewed with all project support teams - - e.g., ITS, IBM.</p> <p>Critical issues related to the IBM Websphere suite of products are being addressed by an on-site team of IBM technical specialists. As of late November, the number of product-related issues has fallen significantly.</p> <p>Environment stability continues to be uneven across environments and not yet at acceptable levels. The technical teams continue to work aggressively on these issues.</p> <p>Resources have been assigned full-time to the Websphere Business Integration (WBI) Monitor to get ready for user acceptance testing.</p> <p>The final report on High Performance on Demand Solutions (HIPODS) performance testing was delivered by IBM to the ITS and e-MPIRE teams. The results contained in the report have been utilized as a basis for constructing and configuring the mock environment.</p> <p>Work continues in the training environment which is scheduled to be available in mid January 2008. The training scheduled is being reviewed and mid January, 2008 has been set to finalize the plan for a January 2009 Release 3 implementation.</p> <p><b>Resources</b></p> <p>Turnover of contractor staff will be a critical issue over the last quarter of the fiscal year. Existing DTF and contractor staff are being shifted to the extent possible to address turnover of contractor resources.</p>

<p><b>Ensure access to major online systems during 99% of normal work hours.</b></p>	<p>Through November, major online systems were available 99% of the time during normal work hours.</p>
<p><b>Ensure availability of network resources during 99% of normal work hours.</b></p>	<p>Through November, network resources were available 99% of the time during normal work hours.</p>
<p><b>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.</b></p>	<p>Through November, twelve projects were completed. Eight projects (66%) finished within 10% of the final schedule baseline. Eight projects did not have any non-personal service costs. Three of the other four projects (75%) finished within 10% of the final non-personal service budget.</p>

## TAX POLICY, REVENUE ACCOUNTING, AND TAXPAYER GUIDANCE

Performance Goal	Status
<b>Issue all tax forms and instructions on time with 100% accuracy.</b>	Through November, all tax forms and instructions were issued timely and accurately 100% of the time.
<b>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.</b>	Publications issued for taxpayer guidance on Tax Law changes were issued timely 100% of the time through November.
<b>Issue advisory opinions within 90 days of receiving a completed petition.</b>	Advisory opinions were issued within 90 days of receiving a completed petition 9.7% of the time through November 2007.
<b>Prepare 100% of fiscal notes within four weeks of request.</b>	Through November 2007, fiscal notes were prepared 97.4% of the time within four weeks of receiving a request.
<b>Continue a multi-year phased program of forms and instructions redesign and simplification.</b>	Through November, eight forms were redesigned.
<b>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.</b>	<p>The following publication has been issued:</p> <ul style="list-style-type: none"> <li>• 825-Guide to Sales Tax for Broadcasters</li> </ul> <p>The following nine documents have been issued:</p> <ul style="list-style-type: none"> <li>• TSB-M on sales tax on telecommunications purchased by Internet service providers</li> <li>• TSB-M on sales tax on wood pellets for home heating</li> <li>• TSB-M on Listed Transactions, Certain Charitable Deductions</li> <li>• TSB-M on sales, excise, and petroleum business tax treatment of Nonroad, Locomotive, and Marine Diesel Fuels</li> <li>• TSB-M on requirements for Certificates of Registration for Highway Use Tax</li> <li>• TSB-M on combined reporting</li> <li>• TSB-M on changes to the New York City local sales and use taxes on clothing</li> <li>• TSB-M on policy regarding surrender of Highway Use Tax Certificates of Registration</li> <li>• TSB-M summary of budget bill personal income tax changes enacted in 2007</li> </ul>

## CENTRALIZED OPERATIONS SUPPORT

Performance Goal	Status
<b>One hundred percent (100%) of under-utilized or overlapping telecommunication services will have orders written for disconnection within two weeks of identification.</b>	Under-utilized or overlapping telecommunication services had orders written for disconnection within two weeks of identification 100% of the time through November.
<b>One hundred percent (100%) of new service requests will have division level executive management sign-off prior to processing.</b>	Through November, new service requests had division level executive management sign-off 100% of the time prior to processing.
<b>Achieve a 5% savings in department telecommunications costs by 3/31/2009, assuming agency-wide implementation of Voice over IP (VoIP) is in place.</b>	The agency has not converted to Voice over IP (VoIP) at this time.
<b>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.</b>	Operations Support Bureau did not have any unscheduled print or mail workload for approval this month.
<b>Mail 100% of all timely received documents by requested deadlines.</b>	All timely received documents were mailed within deadlines 98.3% of the time through November 2007.
<b>Maintain 100% error free inventory control of seized alcohol and tobacco products.</b>	Inventory control of seized alcohol and tobacco products was error free 100% of the time through November 2007.

## TREASURY MANAGEMENT

<b>Performance Goal</b>	<b>Status</b>
<b>Prepare 99% of monthly reconciliations within 30 days of bank statement receipt.</b>	Through November 2007, Treasury prepared reconciliations within 30 days 96.3% of the time.
<b>Mail 100% of general checking account checks on time.</b>	General checking account checks were mailed on time 100% of the time through November 2007.
<b>Issue 100% of vendor checks requested by paper warrants within two days.</b>	Treasury issued vendor checks requested by paper warrants within two days 100% of the time through November 2007.
<b>Issue 100% of vendor checks requested electronically the same day.</b>	Vendor checks requested electronically were issued timely 100% of the time through November 2007.
<b>Issue 99% of personal income tax replacement checks within a week of receiving affidavit.</b>	Personal income tax replacement checks were issued within one week of receiving the affidavits 99% of the time through November 2007.
<b>Complete 99% of daily trades by 1 PM.</b>	Daily trades were completed by 1 PM 99.6% of the time through November 2007.
<b>Deposit and report 99.9% of checks received within 24 hours.</b>	Treasury deposited and reported checks within 24 hours 100% of the time through November 2007.
<b>Input 100% of investment information correctly into EVARE (Portfolio Management &amp; Investment Accounting System).</b>	The percentage of investment trade information that was posted correctly to EVARE, through November 2007 was 99.1%.

## 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 \$78 billion in state and local tax payments and 15,803,899 returns were processed on time with 99.99% accuracy through November 2007.</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 4.24% through November 2007. This was a decrease of 1.2% compared to the same period last year.</p>
<p>Increase personal income tax electronic return filing (including extensions) 20%.</p>	<p>Through November 2007, personal income tax electronic filing increased 37.10% 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 November 2007 have increased 1.87% over the same period last year.</p>
<p>Receive 10% of corporation tax receipts via electronic funds payments.</p>	<p>Less than 1% of corporation tax payments were received via electronic funds through November 2007.</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 November, 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 99.77% of the time within one day of receipt through November 2007.</p>
<p>Maintain average age of protest inventories at or below target levels:</p> <ul style="list-style-type: none"> <li>• Personal Income Tax - 60 days</li> <li>• Corporation Tax - 60 days</li> <li>• Sales Tax - 60 days</li> <li>• Withholding Tax - 60 days</li> </ul>	<p>The average age of protest inventories at the end of November is outlined below:</p> <ul style="list-style-type: none"> <li>• Personal Income Tax - 36 days</li> <li>• Corporation Tax - 49 days</li> <li>• Sales Tax - 47 days</li> <li>• Withholding Tax - 56 days</li> </ul>
<p>Maintain average age of exception inventories at or below target levels:</p> <ul style="list-style-type: none"> <li>• Personal Income Tax - 45 days</li> <li>• Corporation Tax - 60 days</li> <li>• Sales Tax - 60 days</li> <li>• Withholding Tax - 60 days</li> </ul>	<p>The average age of exception inventories at the end of November is outlined below:</p> <ul style="list-style-type: none"> <li>• Personal Income Tax - 9 days</li> <li>• Corporation Tax - 46 days</li> <li>• Sales Tax - 25 days</li> <li>• Withholding Tax - 33 days</li> </ul>
<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 November 2007, 92.25% of personal income tax information telephone inquiries were answered within 5 minutes. The average number of call attempts was 1.12.</p>

<b>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.</b>	Through November 2007, 80.63% of the business tax information telephone inquiries were answered within 2 minutes. The average number of call attempts was 1.07.
<b>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.</b>	The Operation Analysis Records Management (OARM) Bureau evaluated 384 personal income tax calls, which resulted in a calculated average quality score of 94.9% using a confidence level of 95%.
<b>Resolve 90% of written inquiries (including protests) within 90 days.</b>	The percentage of written inquiries resolved within 90 days through November for business tax was 80.1% and 94.75% for personal income tax.
<b>Process sales tax registrations within 5 days of receipt.</b>	On average, sales tax registrations were processed within 3.38 days of receipt through November 2007.
<b>Assist taxpayers in legally dissolving or reinstating corporations within 15 days of receipt.</b>	Taxpayers were assisted in dissolving or reinstating corporations in an average of 8.75 days through November 2007.
<b>Process cigarette retail license applications and renewals within 10 days.</b>	Cigarette retail license applications and renewals were processed on average within 6.38 days through November 2007.
<b>Convert 90% of the "no tax due" sales tax tele-filers to web filers by the end of 2007-08.</b>	Generally sales tax tele-filers file annually in March.
<b>Receive 25% of the wage reporting records via e-file by the end of 2007-08.</b>	E-file for wage reporting is not yet operational.
<b>Reduce the average number of repeat calls from taxpayers inquiring about the status of their refunds by 10%.</b>	The average number of repeat calls from taxpayers inquiring about the status of their refunds was reduced by 4.58% through November, over the same period last year.
<b>Reduce the number of taxpayers who call regarding their refund by 5%.</b>	The number of taxpayers who called regarding their refund increased by 7.17% through November, over the same period last year.