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UNIFIED COURT SYSTEM
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BUDGET BULLETIN	NUMBER 294	January 17, 1997
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TO: Holders of the Financial Planning and Control Manual

SUBJECT: Manual Update - Revenue Collection and Processing Procedures

This material included herein supersedes or incorporates the provisions of Budget Bulletins 279, 288, 289, 290 and 291 dated August 18, 1995, July 2, 1996, July 18, 1996, August 13, 1996 and October 16, 1996, respectively.

Attached is a completely revised Part IV / Chapter 3 of the Judiciary's Financial Planning & Control Manual. These sections contain the policies and procedures governing the collection, reporting, transmittal and control of revenue by the courts and related agencies which constitute the Unified Court System.

This revision incorporates a number of new topics and various technical corrections. **It is important that special attention be paid to the following amendments:**

3.000 Table of Contents

This section has been amended to reflect the addition of chapter 3.120.13 (see reference which follows).

3.020 Cash Control Guidelines - Separation of Duties

Chapter 3.020.3 has been modified relative to the recommended distribution of duties in courts or agencies employing nine or more employees.

3.050 Actual or Suspected Losses or Shortages

The State Comptroller's Office has determined that payments associated with the reimbursement of UCS custodial accounts are not eligible for processing via the Quick Pay Voucher System. All such reimbursements must be submitted to OSC for preaudit. Chapters 3.050.1(a) and 3.050.2 have been amended to reflect this mandate. However, payments reimbursing individuals for damage claims as provided in 2 NYCRR Part 19 can be paid via Quick Pay.

3.070 Revenue Refund Policies and Procedures

Chapter 3.070.2 (C.) has been amended to reflect the correct address for the OSC Refund Audit Unit, to which executed refund Special Charge Vouchers (AC 916) are to be sent. Also, the **Request for Refund of Fees/Fines Paid Into Court** form has been revised to include a field for the entry of the required payee ID (Social Security or Federal Tax ID number). A blank form is included with this Bulletin for reproduction and distribution to all courts and agencies.

3.080 Revenue Reporting

Chapter 3.080 has been revised to include a list of the circumstances under which it is appropriate to process expenditure refunds via **Refund of Appropriation Expenditure (AC 1286)**.

3.090 Revenue Monitoring Techniques

A recommended methodology is now included for generating **Revenue Journals** via the UCS 'ADMN' mainframe accounting system, so that relevant data is not inadvertently omitted from the report.

3.100 Advance Accounts

When transmitting advance account overages to the State Treasury via Refund of Appropriation Expenditure (AC 1216), use revenue object **35320**.

3.120 Special Revenue Programs and Other Revenue Topics

Chapter 3.120.1 has been revised to incorporate the provisions of Chapter 688, Laws of 1996 which amended sections 1197(1)(a) and 1803(9) of the Vehicle and Traffic Law relative to the categories of offenses for the conviction of which any fines and forfeitures imposed are to be credited to local STOP DWI programs. These provisions took effect on November 1, 1996. (Budget Bulletin 291, dated October 16, 1996)

Consistent with the provisions of Judge Milonas' memorandum of October 25, 1994 to all Administrative Judges, chapter 3.120.13 has been added. These provisions establish standards governing the collection of fees when tax assessment review proceedings joining multiple parcels are commenced pursuant to Article 7 of the Real Property Tax Law.

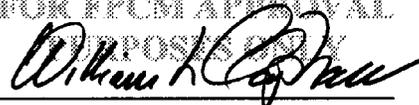
3.130 Codes For Revenue Processing

Chapter 3.130.1 has been revised to reflect the fee provisions of Chapter 90, Laws of 1996, which amended the Uniform City Court Act, the Uniform District Court Act, the Uniform Justice Court Act and the New York City Civil Court Act relative to the filing of counterclaims in small claims and commercial claims actions. These provisions took effect on May 21, 1996 (Budget Bulletin 288, dated July 2, 1996).

Chapter 3.130.1 has also been revised to reflect various fee provisions as contained in Chapter 309 of the Laws of 1996. This legislation amended section 1803(a) of the Uniform City Court Act, the Uniform District Court Act, the Uniform Justice Court Act and the New York City Civil Court Act relative to the filing fees to be paid upon the commencement of a Small Claims proceeding. Chapter 309 also amended section 8022(b) of the CPLR by establishing a \$250 fee to be paid to the Clerk of the Court of Appeals and to the Clerks of the respective Appellate Divisions upon the commencement of first instance proceedings. Finally, Chapter 309 amended section 8020(a) of the CPLR to require the payment of \$25 when applying for a note of issue in a case for which an RJI has previously been obtained and filed. These fee provisions took effect on July 23, 1996 (Budget Bulletins 289 and 290, dated July 18, 1996 and August 13, 1996, respectively).

Please ensure that this revised part is distributed to, and reviewed by, all personnel within your respective jurisdictions who are responsible for the collection, recording, reporting or transmittal of revenue, or the monitoring of internal controls relating thereto.

NYS UNIFIED COURT SYSTEM
FOR EFCM APPROVAL



William L. Clapham