

6049

2015-2016 Regular Sessions

I N A S S E M B L Y

March 11, 2015

Introduced by M. of A. SANTABARBARA -- read once and referred to the
Committee on Governmental Operations

AN ACT to amend the state administrative procedure act, in relation to
authorizing regulated businesses to petition a state agency for an
alternate method of implementing a regulatory mandate

THE PEOPLE OF THE STATE OF NEW YORK, REPRESENTED IN SENATE AND ASSEM-
BLY, DO ENACT AS FOLLOWS:

1 Section 1. Section 204-a of the state administrative procedure act,
2 as added by chapter 479 of the laws of 2001, is amended to read as
3 follows:
4 S 204-a. Alternate methods for implementing regulatory mandates. 1. As
5 used in this section:
6 (a) "local government" means any county, city, town, village, school
7 district, fire district or other special district;
8 (b) "REGULATED BUSINESSES" MEANS ANY GROUP OF BUSINESSES OF A SIMILAR
9 TYPE OR TRADE, OR FROM THE SAME REGION OR AREA OF THE STATE, OR ANY
10 GROUP OF BUSINESSES WITHIN THE STATE, THAT ARE SUBJECT TO THE REGULATION
11 OF ANY AGENCY. SUCH TERM SHALL INCLUDE ANY ENTITY OR GROUP WHICH REPRES-
12 ENTS SUCH BUSINESSES;
13 (C) "regulatory mandate" means any rule which (I) requires one or more
14 local governments to create a new program, increase the level of service
15 for an existing program or otherwise comply with mandatory requirements;
16 OR (II) REGULATES THE CONDUCTING AND MANAGEMENT OF ANY BUSINESS IN THIS
17 STATE; and
18 [(c)] (D) "petition" means a document submitted by a local government
19 seeking approval of an alternate method for implementing a regulatory
20 mandate.
21 2. A petition shall include:
22 (a) an indication that submission has been approved by the governing
23 body of the local government or by an officer duly authorized by the
24 governing body to do so;
25 (b) an identification of the regulatory mandate which is the subject
26 of the petition and information sufficient to establish that the

EXPLANATION--Matter in ITALICS (underscored) is new; matter in brackets
[] is old law to be omitted.

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1 proposed alternate method of implementation is consistent with and will
2 effectively carry out the objectives of the regulatory mandate;

3 (c) information on the process used by the local government to ensure
4 that all stakeholders have been appropriately involved in the process of
5 developing the alternate method, including where relevant the date of
6 any hearing, forum or other meeting to seek input on the alternate meth-
7 od;

8 (d) documentation that the petition has been submitted to the author-
9 ized agents of any certified or recognized employee organizations
10 representing employees who would be effected by implementation of the
11 alternate method;

12 (e) a proposed plan and timetable for compiling and reporting informa-
13 tion to facilitate evaluation of the effectiveness of the alternate
14 method;

15 (f) if the state provides financial assistance for complying with the
16 regulatory mandate, any proposed amount or percentage of such assistance
17 which would be returned to the state due to savings from implementing
18 the alternate method; and

19 (g) the name, public office address and telephone number of the repre-
20 sentative of the local government who will coordinate requests for addi-
21 tional information on the petition.

22 2-A. REGULATED BUSINESSES MAY SEEK APPROVAL FOR AN ALTERNATE METHOD OF
23 IMPLEMENTING A REGULATORY MANDATE BY SUBMITTING TO THE APPROPRIATE STATE
24 AGENCY A PETITION WHICH SHALL INCLUDE BUT NOT BE LIMITED TO:

25 (A) FOR EACH INVOLVED REGULATED BUSINESS, AN INDICATION THAT
26 SUBMISSION HAS BEEN APPROVED BY THE OWNER OR GOVERNING BODY OF THE REGU-
27 LATED BUSINESS TO DO SO;

28 (B) AN IDENTIFICATION OF THE REGULATORY MANDATE WHICH IS THE SUBJECT
29 OF THE PETITION;

30 (C) INFORMATION SUFFICIENT TO ESTABLISH THAT THE PROPOSED ALTERNATE
31 METHOD OF IMPLEMENTATION IS CONSISTENT WITH AND WILL EFFECTIVELY CARRY
32 OUT THE OBJECTIVES OF THE REGULATORY MANDATE; AND

33 (D) THE NAME, BUSINESS ADDRESS AND TELEPHONE NUMBER OF THE REPRESen-
34 TATIVE OF THE REGULATED BUSINESSES WHO WILL COORDINATE REQUESTS FOR
35 ADDITIONAL INFORMATION ON THE PETITION.

36 3. Two or more local governments may submit a petition jointly,
37 provided that each local government meets the requirements of paragraphs
38 (a), (c), (d) and (g) of subdivision two of this section, and provided
39 that the petition addresses the manner in which responsibility for
40 implementation will be allocated between or among the participating
41 local governments.

42 4. The agency shall cause a notice of the petition to be published in
43 the state register and shall receive comments on the petition for a
44 period of thirty days. Such notice shall either include the full text of
45 the information set forth in the petition or shall set forth the address
46 of a website on which the full text has been posted. The notice shall
47 include the name, public office OR BUSINESS address and telephone
48 number, and may include a fax number and electronic mail address, of an
49 agency representative from whom additional information on the petition
50 can be obtained and to whom comments on the petition may be submitted.

51 5. (a) Not later than thirty days after the last day of the comment
52 period, the agency shall approve or disapprove the petition. The agency
53 may approve the petition without change or with such conditions or
54 modifications as the agency deems appropriate. Notice of the agency
55 determination shall be provided in writing to the local government OR
56 REGULATED BUSINESSES and shall be published in the state register. The

1 agency shall not grant a petition unless it determines that the petition
2 has met the requirements of subdivision two OR TWO-A of this section and
3 that the local government [has] OR REGULATED BUSINESSES HAVE established
4 that the alternate method is consistent with and will effectively carry
5 out the objectives of the regulatory mandate; provided, however, that no
6 petition shall be approved which would result in the [contravention]
7 DIMINUTION OR ABATEMENT of any environmental, health or safety standard
8 or would reduce any benefits or rights accorded by law or rule to third
9 parties. In approving a petition, an agency may waive a statutory
10 provision only if it is specifically authorized by law to waive such
11 provision. An approval shall include a timetable for agency evaluation
12 of the effectiveness of the alternate method.

13 (b) Notwithstanding the provisions of paragraph (a) of this subdivi-
14 sion, upon receipt of an objection to a petition from the authorized
15 agent of any certified or recognized employee organization representing
16 employees who would be affected by implementation of the alternate meth-
17 od, the agency shall provide any such organizations with an opportunity
18 for a hearing. If an adjudicatory proceeding is requested, the petition
19 shall not be approved unless the agency determines by a preponderance of
20 the evidence that implementing the alternate method would not affect
21 such employees by contravening any environmental, health or safety stan-
22 dard, reducing any rights or benefits or violating the terms of any
23 negotiated agreement, and that all other requirements of this section
24 have been met. The provisions of this subdivision are in addition to and
25 shall not be construed to impair or modify any rights of such employees
26 under any other law, regulation or contract.

27 6. Nothing in this section shall require a local government OR REGU-
28 LATED BUSINESSES to commence or continue an alternate method of imple-
29 mentation if it determines in its sole discretion not to do so, except
30 to the extent that a local government [has] OR REGULATED BUSINESSES HAVE
31 committed to commencing or continuing an alternate method in a joint
32 petition submitted pursuant to subdivision three of this section. A
33 state agency may rescind its approval of a petition at any time if it
34 determines, based on the information reported pursuant to paragraph (e)
35 of subdivision two of this section or other information available to it,
36 that the alternate method is not effectively carrying out the objectives
37 of the regulatory mandate or is being implemented in a manner detri-
38 mental to the public interest.

39 7. Notwithstanding any other provision of law, implementation of an
40 alternate method approved by an agency pursuant to this section shall be
41 deemed to lawfully meet all requirements of the regulatory mandate. An
42 agency shall retain the authority to enforce compliance with the alter-
43 nate method in the same manner as it may enforce compliance with the
44 underlying rule. Any action on a petition by a state agency shall be
45 subject to review pursuant to article seventy-eight of the civil prac-
46 tice law and rules.

47 8. In accordance with the timetable established pursuant to subdivi-
48 sion four of this section, the agency shall evaluate the effectiveness
49 of the alternate method in carrying out the objectives of the regulatory
50 mandate. The evaluation shall identify any savings or other benefits,
51 and any costs or other disadvantages, of implementing the alternate
52 method, and shall address the desirability of incorporating the alter-
53 nate method into the rules of the agency. Notice of availability of the
54 evaluation shall be published in the state register.

55 S 2. This act shall take effect on the first of January next succeed-
56 ing the date on which it shall have become a law.