

GAIL S. SHAFFER
SECRETARY OF STATE, STATE OF NEW YORK

(January, 1983 - December, 1994)

30 Park Avenue, apt. #10-O

New York, NY 10016

Home: 212/725-6977

~~Work: 212/417-5803 (until December 31, 1994)~~

212/593-2317 (after January 1, 1995)

Secretary of State, State of New York
1983 - Present

As Secretary of State, I have served as Chief Executive Officer of the most diverse agency in state government, with over 900 employees, twenty discrete programs and eight administrative units that support the entire department. I have managed an annual budget of over \$150 million, including over \$60 million in federal funds.

In addition to management of the agency, I serve in the Governor's Cabinet, interacting with other state agencies, advising the Governor on a wide spectrum of public policy issues, and serving as an advocate within the Cabinet for local governments as well.

I also interact frequently with the State Legislature and the U.S. Congress on policy and fiscal issues. I must shape and manage our fiscal plan and deal with the executive branch Division of the Budget as well as the legislative fiscal committees, the Comptroller, and, on legal issues, the Attorney General.

I am also the public spokesperson for the agency and its programs, and often for the Governor, on a multitude of issues, and must therefore interact regularly with the press, with local governments, with very diverse constituencies, often on very sensitive issues and in a highly pressurized environment. My years of experience in dealing successfully in this political arena at this level have sharpened my communications skills, and have proven me to be articulate, diplomatic, adept at handling crises, quick on my feet, and adaptable to new challenges.

The diverse program responsibilities of the Department of State include coastal management, local government services, incorporation of New York's businesses, fire prevention and control, regulation of the real estate industry, charities registration, the economic opportunity program, and uniform commercial code systems. Selected accomplishments in some of these program areas are described in a separate attachment.

In addition to the many programs I administer as Secretary of State, I also serve on many boards and commissions, ranging from the Environmental Facilities Corp., which issues bonds for local infrastructure projects, to the State Historic Preservation Board, to the Adirondack Park Agency, to the Hudson River Valley Greenway Council, to the regional development corporation in Rome, NY, formed to deal with the military base conversion.

I also have served as Chair of the State Emergency Financial Control Board for the City of Yonkers, our fourth largest city, which had been on the brink of fiscal collapse. As overseer of the city's fiscal management, I have been able to ensure that the city adhere to a four-year financial plan, institute systemic fiscal management improvements, and comply with the law. The Control Board is credited with restoring the city's fiscal credibility to the extent that we were able to see the city return to the bond market after several years without a marketable credit rating to issue bonds. In 1988, when the city was in a crisis relating to its decision to defy a federal court order to desegregate schools and housing, I was able to force the city government to comply with the law when contempt fines threatened to bankrupt city coffers.

PREVIOUS GOVERNMENT EXPERIENCE;

Member, New York State Assembly, 1981-1982

Executive Director, New York State Rural Affairs Council, 1979-1981 chaired by Lt. Governor Mario Cuomo

Special Assistant to the Commissioner, New York State Department of Environmental Conservation, 1977-1979, Peter A.A. Berle, Commissioner

Town Supervisor and County Legislator, Town of Blenheim, Schoharie County, 1976-1977

PRIVATE SECTOR EMPLOYMENT;

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Assistant to the Director, Societ  SEURTEC, S.A., Paris, France,
import/export firm, 1970-1971

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Bachelor of Arts, summa cum laude, Elmira College, 1970

Majors; Political Science and French

Valedictorian, Class of 1970

Phi Beta Kappa

Junior year at Institut d'Etudes Politiques, University of Paris

Honorary Doctoral Degrees, Elmira College and Keuka College

OTHER ACTIVITIES AND AFFILIATIONS:

Member, Phi Beta Kappa
Member, Council on Foreign Relations
Past President, National Association of Secretaries of State
National Board Member, Women Executives in State Government
President and Founder, New York State Association of Women Officeholders
Governing Member, National Women's Political Caucus
Honorary Member, Six Nations of the Iroquois (designated honorary citizen by tribal leaders)

LANGUAGES

Fluent in French; some Spanish

MANAGERIAL/ADMINISTRATIVE ACCOMPLISHMENTS:

In my twelve years as Secretary of State, a period during which the state in an era of federal cutbacks and national economic recession, experienced periodic fiscal deficits at the state level, we were often in a position of managing diminished resources. Such times require creative approaches and innovative management. In this twelve-year period I am proud that our agency managed our budget (unlike many public agencies) in balance, concluding every fiscal year with no deficit.

Furthermore, I led this agency in a technological revolution that has already had tremendous dividends in management efficiency, quality of service, and stabilization of long term personnel growth. I found, in 1983, an agency that was in the dark ages technologically, with almost totally manual systems, and I am leaving it now with state-of-the-art optical disk laser technology and other improvements that have greatly enhanced the accuracy, timeliness, and accessibility of our services to the public, and also our management capability, and the accountability of efficient use of tax dollars. I enlisted private sector as partners in helping us develop the best systems possible.

In an era of doing more with less, we have greatly improved every program in this department, and have established a reputation as the national leader in many important programs.

I introduced to our department a total quality management program to change the traditional bureaucratic hierarchical structure and created a more inclusive team approach to management and service to create a customer-oriented mindset, to encourage innovation and creativity, and to empower employees, and to strengthen long term/strategic planning. There is far greater coordination and interdivisional cooperation in our agency as a result. The institution of Strategic Business Plans for each program has enhanced both efficiency and long-term vision.

I have also encouraged and created several public-private partnerships which have created innovative solutions to problems, including our self help program, which received the President's National Award for Environmental Excellence.

SELECTED PROGRAMMATIC ACCOMPLISHMENTS:

- Restructured the agency's low income weatherization program. Provided more efficient and enhanced services to 655,000 low income persons saving over \$600 million in fuel costs from 1983 to 1993. The award winning program is now regarded as one of the "premier weatherization programs in the country."
- Dramatically expanded the influence and authority of New York's Coastal Program. With over 3,200 miles of coast under our jurisdiction, reviewed over 800 proposed projects annually; required public access to the coast when public funds are used to improve it; worked with 115 localities to prepare and implement local waterfront revitalization plans and designated over 200 significant fish and wildlife habitats.
- Strengthened fire and life safety programs through the Office of Fire Prevention and Control; improved and expanded training; adopted and implemented the building materials toxicity data bank, expanded arson prevention and detection, undertook major capital improvements at the New York State Academy of Fire Sciences.
- Established the Division of Code Enforcement and Administration to implement the Uniform Fire Prevention and Building Code Act. The Division has provided \$82.4 million in aid to local governments; issued building permits, completed construction inspections, staffed regional variance boards and trained over 10,000 students in basic and advanced code enforcement training.

SELECTED LEGAL/LEGISLATIVE ACCOMPLISHMENTS:

- The Office of Counsel was established by consolidating previously separate legal units. Attorneys were assigned specific responsibilities to enable delivery of legal services throughout the agency. A separate hearing officer unit was created and staffed with administrative law judges to ensure fair hearings. A litigation unit was established to strengthen the department's position in litigation.
- Developed and managed an ambitious departmental legislative program for each legislative session. Submitted recommendations to the Governor on approximately three hundred bills each year.

- Developed strategy and led negotiations on many significant departmental legislative issues including:
 - Disclosure of real estate agency relationships;
 - Charities registration reform;
 - Business Corporation annual reports;
 - Authorizing the Secretary of State to prevent racial steering through real estate non solicitation orders and cease and desist zones;
 - Appearance enhancement industry reform;
 - Uniform Commercial Code reform;
 - Streamlined notary renewal process;
 - Security guard licensure.
- Supervised a multi-year regulatory reform effort. Laws and regulations covering 650,000 businesses and individuals were modernized, processes were streamlined and obsolete laws and regulations were eliminated.

SELECTED OPERATIONS ACCOMPLISHMENTS:

- Updated licensing processes. Examinations were revised, walk-in examinations and same-day licensure were made available. Optical scanning procedures, automated exam scoring and telephone systems were installed.
- Complete automation of over four million corporate records in the Division of Corporations and State Records was achieved. An 80 year old manual filing system containing 4 million corporate records was replaced by a fully automated storage, search and retrieval system.
- Initiated and maintained productive labor/management relations with two labor unions representing Department employees.
- Developed a new approach to publication of NYS Register and the New York Codes, Rules and Regulations (NYCRR) that will save the state three million dollars over the life of the contract, cut subscriber costs by 50% and result in wider distribution and availability of the publications.
- Modernized Uniform Commercial Code filings and operations, eliminating backlogs and introducing optical scanning laser disk technology into the agency.
- Spurred technological growth, built an effective systems management office, moved the agency from being manual and paper driven to one that is nearly fully automated with over 400 personal computers, local area networks and a mainframe.

Conclusion

Our administration transformed a traditional, hierarchal and bureaucratic state agency into a modern and creative customer drive organization with a strong service ethic.

INTERNATIONAL EXPERIENCE:

- South Africa (1994): I was a member of the official United Nations Observer Mission to South Africa (UNOMSA) which monitored the elections which brought democracy to South Africa.
- Kenya (1992): I was a member of an International observer team organized by the International Republican Institute of International Affairs (R), as part of the Africa Regional Electoral Assistance Fund consortium, to observe first free elections in Kenya in 26 years.
- European Community (1993): I was a member of an official delegation to Prague which was organized by the Council of State Governments and the American-European Community Association. The delegation also held meetings in Paris and Brussels.
- Cameroon (1991): I was a member of an international delegation invited by government of Cameroon, and organized by the National Democratic Institute for International Affairs (NDI), to provide technical assistance to opposition parties and government officials as they embarked on a new multi-party system. The focus was on electoral statutes and procedures, on media access and on constitutional and legal reform issues.
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- Israel (1986): I participated in an official delegation of American government officials and other leaders. The delegation was organized by the Jewish Community Relations Council.
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- France (1969-1970): I spent a year at the Institut d'Etudes Politiques of the University of Paris studying political science, comparative government and international relations. I also spent another year in Paris working for an import/export firm.

Gail S. Shaffer

POLITICAL EXPERIENCE:

Democratic National Committee Member (1994 to present)

Vice Chair and co-founder, Democratic Caucus of National Association of Secretaries of State, (1991 to present) ; also former Chair

SuperDelegate (for Bill Clinton) to Democratic National Convention, New York (1992)

SuperDelegate (for Michael Dukakis) to Democratic National Convention, Atlanta (1988)

Delegate to Mid-term Democratic National Convention (Issues Forum), Philadelphia (1982)

State Committeewoman, New York State Democratic Committee (1976-1983)

Elected New York State Assembly Member (Democrat), 105th Assembly District, 1980 and 1982

Elected Town Supervisor and County Legislator, Town of Blenheim. Schoharie County, New York State, 1975

Served as Delegate to many state Democratic conventions through the years,

Active in many Democratic campaigns through the years for Democratic candidates at all levels; served as Campaign Manager on several occasions also.

Active in National Women's Political Caucus (1983 to present); have been active in New York chapter as well as national Caucus; participated in every national convention of NWPC

Active on behalf of women candidates, through National Women's Campaign Fund and National Women's Political Caucus.

Active in college years in Young Democrats; attended national conventions.

Page at State convention in New York in 1964, when Robert F. Kennedy was nominated as our Senator (high school student and daughter of a Democratic County Chair,) I grew up with the Democratic party in my genes and was blessed with the opportunity to be actively engaged in my early years and develop political skills which have served me well ever since, dealing with people at the grassroots level as well as state-wide and nationally).

Political References:

Hon. Joseph Crangle, Buffalo

Hon. Basil Paterson, New York (former Vice Chair, DNC)

Hon. Mario M. Cuomo

Lynn Cutler, The Kamber Group

Alice Travis, Skye Gallegos, DNC



ARTEMIS
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Gail S. Shaffer
% Artemis Capital Group, Inc.

Park Avenue Tower
65 East 55th Street, 9th Floor
New York, NY 10022

Investment Banking
Phone: 212/ 593-2110
Fax: 212/ 593-2120

FAX COVER SHEET

Date: 1/27/95 Time: _____
To: Harold Ickes Phone: 202/456-1414
The White House Fax: 202/456-6257
or 202/456-2889
From: Gail Shaffer (D.C. - Sun. Jan. 29 - Wed. or Thurs)
% ANA Hotel →
RE: _____ 202/429-2400
CC: _____ Number of pages
including cover sheet: 10

Message:

Hope to see you while
I'm in D.C. next week
Warm regards
Gail

(Also enclosed —
no nc for to Har... D)

GAIL S. SHAFFER
30 Park Avenue, Apt. #10-0
New York City, NY
10016

Hon. Harold Ickes
The White House
Washington, D.C.

Dear Harold:

Greetings from New York! Misery loves company, and as you know, this was an even worse debacle in New York than The Newt's ascendancy on Capitol Hill ... at least we still have the President in office.

After twelve years as Secretary of State, I am in that interesting phase known as career transition, and quite honestly looking forward to embracing some new challenge. Several friends, including Basil Paterson, suggested I should talk to you to explore any possibilities in the White House.

I'll be in Washington Sunday evening (Jan. 29) through Wednesday (Feb. 1) for our national Board meeting of Women Executives in State Government. I would welcome the opportunity to meet with you if you have time (I can stay through Thursday as well). In the alternative, I'd like to discuss this with you by phone.

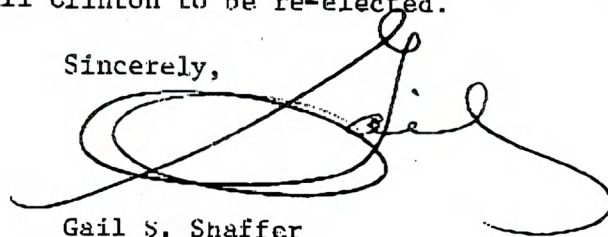
I'll be at the ANA Hotel while in D.C. at 202/429-2400.

Lynn Cutler suggested I talk to Veronica Beggins, and I have faxed her a resume as well, and asked her assistant Anne Schwartz to convey my interest in meeting with her during my visit to D.C.

I would be most appreciative of your advice, and your support.

Thanks for any assistance. Hope you're enjoying the tremendous challenges of Pennsylvania Avenue. We're proud of you, and the President is lucky to have you there. Regardless whether I end up in Washington or here in New York, in whatever capacity, please call upon me to help if I can be of any assistance ever. We need Bill Clinton to be re-elected.

Sincerely,

A handwritten signature in black ink, appearing to be 'Gail S. Shaffer', with a large, stylized loop at the end.

Gail S. Shaffer

P.S. I am working from a friend's office mid-town, and can be reached at 212/593-2110 (fax 212/593-2120). Other numbers are on the resume.



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Date: 1/27/95 Time: _____

To: Ms. Veronica Beggins Phone: 202/456-6502
Office of Personnel Fax: 202/456-2259
The White House

From: Gail S. Shaffer D.C. (Jan. 29-Feb. 1 or 2) c/o ANA Hotel
Tel. 202/429-2400

RE: Potential Interview

CC: Anne Schwartz Number of pages including cover sheet: 8

Message:

New York State, like the Capitol, has had a tough election year for Democrats. The Secretary of State is appointed by the Governor in New York, so after 12 years as Secretary of State, I am now in that interesting phase known as career transition.

Several friends and colleagues have suggested that I would be ideal for a role in the Clinton administration, either in the White House, in one of the agencies, or on detail to the White House from an agency.

Lynn Cutler suggested I contact you. I had also left a message on Harold Ickes' voice mail. I shall be in Washington Sunday night through at least Wednesday of next week, and would welcome the opportunity to meet with you to explore career possibilities. I'll be at the ANA Hotel, at the number above. I could also stay through Thursday if necessary. My New York numbers are on the resume.

Your assistant, Ms. Schwartz, was most helpful, and suggested I send the enclosed resume. I look forward to hearing from you. Thank you for your consideration.

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