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# DEPARTMENT OF PUBLIC SAFETY

## AGENCY DESCRIPTION

The Department of Public Safety is committed to providing for the protection of the public by efficient and effective utilization of resources through education, prevention, technology and enforcement activities.

Objectives of this agency include: to fairly and impartially enforce state and federal laws and regulations; to enhance community services and relations through cooperative policing; to maintain a progressive working environment of career development and equal opportunities; to achieve the highest level of professionalism, ethics and standards; to foster mutual and collaborative efforts among various disciplines both inside and outside the Department and to acquire and maintain effective and efficient technology and facilities which provide a quality work environment.

### *Energy Conservation Statement*

The Department of Public Safety has a stated energy conservation goal to reduce its energy consumption from the previous year's level. Planned conservation activities include upgrading of HVAC and hot water systems including replacement of steam traps, making building envelope improvements, participating in utility sponsored conservation programs and ISO-New England demand response programs. Plans also include the use of energy efficient lighting technologies, centralized energy management systems, and using Energy Star equipment. These plans are a continuation of activities undertaken in the previous two fiscal years.

*The Board of Firearm Permit Examiners is recommended for elimination through consolidation with the Department of Public Safety in the Governor's budget as part of her proposal to streamline state government.*

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## RECOMMENDED SIGNIFICANT CHANGES

### *Reductions to Current Services*

	<u>2009-2010</u>	<u>2010-2011</u>
• Rollout FY2009 Rescissions	-602,959	-602,959
• OE/OCE General Reductions	-274,404	-274,404
• Streamline Agency Operations - Consolidate Weigh Stations into DMV <i>The Department of Motor Vehicles (DMV) will control the weigh station operations. 11 non-sworn positions are transferred to DMV and the additional savings will occur through a reduction in overtime by redeploying 21 troopers to other patrol duties.</i>	-1,595,208	-1,595,208
• Transfer Equipment to CEPF	-3,015,945	-2,395,155
• Limit Meal Money Benefit to Contractual Requirements <i>Limit pay for meals as provided in collective bargaining agreement.</i>	-287,313	-287,313
• Defer a Trooper Training Class	-1,533,850	0
• Reduce Funding for the State Police Aviation Unit	-310,333	-310,333
• Return Non-patrol Troopers to Core Functions	-1,534,500	-1,534,500
• Redeploy Non-reimbursed Troop W (Bradley Airport) Troopers	-891,000	-891,000
• Reduce DPS Fleet for Civilian Vehicles	-72,000	-72,000
• Reduce Discretionary Overtime at Rentschler Field Events	-50,000	-50,000
• Eliminate Subsidy for the Statewide Narcotics Task Force <i>The operations of the task force shall continue, however, there will no longer be a subsidy paid to municipalities for participation in the task force.</i>	-238,800	-238,800
<b><i>Reallocations or Transfers</i></b>		
• Transfer Funds for 5 Vehicles for Urban Search and Rescue	-20,000	-20,000
• Reallocate IT Manager Funding from DPS to DOIT	-99,559	-99,559

## AGENCY PROGRAMS

### *Personnel Summary*

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	1,693	94	0	1,787	1,787	1,776	1,787	1,776

## Budget-in-Detail

Federal Contributions	12	0	-2	10	9	9	9	9
Private Funds	71	0	0	71	71	71	71	71

<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Police Services	135,554,082	139,413,680	158,599,087	149,214,045	141,636,371	161,333,142	149,842,380	143,026,296
Fire & Building Services	8,867,901	8,806,859	9,621,165	9,618,516	9,618,516	9,803,721	9,799,307	9,799,307
Division of Scientific Services	8,353,873	8,017,573	9,708,992	9,228,568	8,678,568	8,762,542	8,981,231	8,731,231
Protective Services	51,480	158,734	47,205	1,124,154	1,124,154	47,869	1,127,659	1,127,659
Administrative and Management Services	61,020,877	50,824,421	55,591,235	53,503,309	52,198,162	56,998,117	54,706,072	53,400,925
TOTAL Agency Programs - All Funds Gross	213,848,213	207,221,267	233,567,684	222,688,592	213,255,771	236,945,391	224,456,649	216,085,418
Less Turnover	0	0	-1,000,000	-2,487,757	-3,580,807	-1,000,000	-2,487,757	-2,487,757
TOTAL Agency Programs - All Funds Net	213,848,213	207,221,267	232,567,684	220,200,835	209,674,964	235,945,391	221,968,892	213,597,661
<u>Summary of Funding</u>								
General Fund Net	173,409,661	177,523,615	203,068,645	190,701,796	180,175,925	205,775,785	191,799,286	183,428,055
Federal and Other Activities	7,371,066	2,129,000	1,498,500	1,498,500	1,498,500	1,498,500	1,498,500	1,498,500
Bond Funds	5,350,427	465,500	0	0	0	0	0	0
Private Funds	27,717,059	27,103,152	28,000,539	28,000,539	28,000,539	28,671,106	28,671,106	28,671,106
TOTAL Agency Programs - All Funds Net	213,848,213	207,221,267	232,567,684	220,200,835	209,674,964	235,945,391	221,968,892	213,597,661

## POLICE SERVICES

### Statutory Reference

Sections 7-284, 29-4, 29-5, 29-7, 29-22, 29-7c, 29-23, 29-23a, 29-28 through 29-37, 29-38c, 29-38e, 29-153 through 29-161c, 29-165 through 29-179j, 54-222a

### Statement of Need and Program Objectives

To deliver law enforcement services on limited access highways and for the 81 towns that do not have organized police departments; to increase the rate of cleared criminal cases by conducting investigations that are within State Police jurisdiction or when assisting local, state and federal agencies in major case investigations; and to increase the safety of Connecticut highways by improving the safe, orderly flow of traffic through enforcement actions in identified problem areas.

### Program Description

#### Traffic (Office of Field Operations)

The Connecticut State Police provide primary police service to 81 of Connecticut's 169 towns. These 81 towns encompass 55% of the state's geographical area. Additionally, the State Police patrol 600 miles of limited access highways, 7,000 miles of state and local roads and render assistance to local police departments upon request. Police service is delivered by 12 troops strategically located and organized into three districts.

#### Investigative Service

Criminal Investigation Units are strategically located in three districts to be available 24 hours a day to investigate crimes which occur in the 81 towns without organized police departments. These units investigate and coordinate investigations in conjunction with other state police units and

local, state and federal agencies. Crimes investigated include, but are not limited to, homicide, assault, bank robbery, rape, kidnapping, arson, escape, burglary and larceny. They also assist local police departments upon request.

### Support Emergency Services Unit

Provides specialized support to State and Local Police Agencies in seven areas:

The Hazardous Devices Unit renders safe, transports and stores components as evidence of: improvised explosive devices, conventional explosives or incendiary devices. This unit also handles explosive chemical mixtures and provides instruction and training to law enforcement agencies on bomb recognition and bomb threat management.

The Dive Team performs underwater searches for evidence, drowning victims or underwater hazards. The Dive Team also has surface supply air, sonar search, underwater photography, and metal detection capabilities.

The Canine Unit administers, trains and selects the department canine teams. Besides training State Police personnel, the unit provides training for most local law enforcement agencies with canine programs.

The Tactical Unit selects, trains and equips members to respond to situations such as hostage standoffs, armed barricaded individuals and the service of high risk warrants. Members of the unit are trained in the use of less lethal munitions, chemical munitions and specialized weapons to respond to crisis situations.

The Hazmat & Radiological Response Unit maintains radiological monitoring devices to be used in the event of a radiological release. The unit is also trained to perform police functions such as evidence collection and sampling in

the event of a suspected chemical agent or biological agent release.

The Aviation Unit maintains and operates three fixed wing aircraft and one Bell 407 Helicopter. The aircraft are used for traffic enforcement, prisoner transport, photographic missions and aerial surveillance. The helicopter is also capable of video monitoring, thermal imaging and assisting with fire fighting in remote areas using a 180-gallon "Bambi Bucket." The Aviation Unit also performs marijuana eradication

missions and conducts search and rescue missions for wanted or missing persons.

Rentschler Field - This stadium was constructed in East Hartford and is the primary site used to host home games played by the University of Connecticut football team and other outside events. At the direction of the Office of Policy and Management, the Office of Field Operations established departmental procedures regarding security measures and law enforcement operations for this facility.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Police Traffic Services				
Accident ratio	1:50:194	1:50:194	1:50:202	1:50:202
Investigative Services				
Crimes against persons (% cleared)	75.4	75.4	78.6	78.6
Crimes against property (% cleared)	24.0	24.0	22.4	22.4
Support Services				
Assigned fleet <70,000 miles patrol	500	500	575	559
Assigned fleet <70,000 miles under cover	250	250	320	262
License/permits Issued within 45 days (%)	93	93	93	93
In-service training (avg hrs/trooper)	30	30	36	36

#### **Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	1,428	73	0	1,501	1,501	1,490	1,501	1,490
Private Funds	41	0	0	41	41	41	41	41

#### **Financial Summary**

<b>(Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	110,039,250	113,062,007	126,830,354	120,605,902	116,148,881	129,341,200	121,180,020	116,722,999
Other Expenses	18,696,216	17,784,892	19,280,465	17,735,687	17,083,554	19,662,811	17,812,127	17,600,794

#### Capital Outlay

Equipment	100	0	4,065,697	2,466,045	100	3,596,993	2,145,255	100
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#### Other Current Expenses

Stress Reduction	23,354	23,686	23,354	23,354	23,354	23,354	23,354	23,354
Gun Law Enforcement Task Force	147,182	400,000	408,400	400,000	400,000	414,118	400,000	400,000
COLLECT	0	48,925	52,582	51,500	48,925	53,318	51,500	48,925
Urban Violence Task Force	308,700	318,018	324,696	318,018	318,018	329,242	318,018	318,018
Persistent Violent Felony Offenders Act	0	514,000	0	0	0	0	0	0
TOTAL-General Fund	129,214,802	132,151,528	150,985,548	141,600,506	134,022,832	153,421,036	141,930,274	135,114,190

#### Additional Funds Available

Private Funds	6,326,447	7,262,152	7,613,539	7,613,539	7,613,539	7,912,106	7,912,106	7,912,106
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#### **Federal Contributions**

97067 Homeland Security Grant Program	12,833	0	0	0	0	0	0	0
TOTAL - All Funds	135,554,082	139,413,680	158,599,087	149,214,045	141,636,371	161,333,142	149,842,380	143,026,296

#### **Police Services**

**FIRE, EMERGENCY AND BUILDING SERVICES****Statutory Reference**

Title 28, Chapter 518a; Title 29, Chapters 531, 532, 538, 538a, 539, 540 and 541

**Statement of Need and Program Objectives**

To promote safety and prevent loss of life, injury and damage by adopting, promulgating, amending and administering safety codes and standards; by training all municipal fire and building officials and by performing a variety of investigative and licensing activities. To improve emergency communications systems to expedite the delivery of emergency medical, fire and police services.

**Program Description**

The division is comprised of the Office of State Fire Marshal, the Office of State Building Inspector, the Office of Statewide Emergency Telecommunications and the Office of Education & Data Management.

The division develops, publishes and administers a broad range of codes, standards and agency regulations intended to protect the public from natural or technological failure or disaster. The division has oversight of emergency telecommunications, including radio frequency allocation for public safety and emergency services. It also has oversight of the Enhanced 9-1-1 system training, it certifies emergency dispatchers, and it oversees the licensing/certification of local code officials. The Division's goals are accomplished through a comprehensive program of education and enforcement that includes planning, inspecting, licensing, investigating, the education of the public, and the training of local officials. Further, the Division provides technical assistance on a daily basis to municipal fire marshals and building officials.

**Office of State Fire Marshal**

The Office of State Fire Marshal is responsible for the statutory requirements dealing with the protection of life

and property from the harmful effects of fire, explosion and mechanical failure. The office, headed by the Deputy State Fire Marshal, consists of three bureaus, all dealing with mandated fire prevention or safety statutes.

**Office of State Building Inspector**

The Office of State Building Inspector promulgates and administers the provisions of the Connecticut State Building Code and applicable standards. It is responsible for issuing building permits, performing plan reviews, conducting inspections and issuing certificates of occupancy for all large-scale state owned construction projects to ensure code compliance. It provides technical assistance to state agencies and municipal enforcement officials as well as to architects, engineers, design professionals and construction industry representatives. It provides the public with code interpretations, conducts plan reviews, issues approvals of new materials and systems, and grants code modifications and handicap waivers. In addition, the office provides training, testing and licensing of all municipal building officials, assistant building officials and technical assistants.

**Office of Statewide Emergency Telecommunications**

The office is charged with the responsibility for the development of a master plan for emergency telecommunications within the State of Connecticut. It coordinates with area states as well as the FCC and acts as a liaison with the public safety community to ensure that its needs are addressed.

**Office of Education and Data Management**

The office carries out the training mandates of the Office of the State Building Inspector, the Office of State Fire Marshal and the Office of Statewide Emergency Telecommunications. The office consists of the Bureau of Administration and the Bureau of Education.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Office of State Fire Marshal				
Percent-Annual Inspections Completed				
State Buildings (%)	33	33	25	25
Amusement Rides (%)	100	100	100	100
Tents (%)	100	100	100	100
Percent of training requests of local governments (%)	100	100	100	100
Percent of Building plans & specifications reviewed within 30 days (%)	80	80	90	90
Percent of fire code modification requests reviewed within 45 days (%)	90	90	80	80
Office of State Building Inspector				
Elevators (%)	75	75	73	70
Boilers (%)	100	100	98	95

Percent of permitted "buildings" inspected (%)	100	100	100	100
Percent of building inspected (%)	100	100	100	100
Percent of building plans & specifications reviewed within 30 days (%)	70	70	70	70
Office of Education and Data Management				
Career Development - trained	5,100	5,100	5,100	5,100
Conferences attendees	800	800	800	800
Building Official Pre-licensure class attendees	67	40	60	60
Fire Official Pre-certification class attendees	114	70	70	70
Contractor and Trades Professionals education	600	600	600	600
Telecommunicator Training class attendees	280	280	280	280
Fire Reports	197,117	200,000	200,000	200,000
Burn Reports	243	300	300	300
Test Administration	2,917	2,600	2,600	2,600
Office of Statewide Emergency Telecommunications				
Percent of towns submitting updated maps	90	90	100	95
Percent of PSAPs submitting call reports	85	95	100	100
Percent of PSAPs updated to new software	50	50	100	100

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	86	6	0	92	92	92	92	92
Private Funds	30	0	0	30	30	30	30	30

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	6,614,910	6,497,321	7,243,034	7,243,034	7,243,034	7,356,825	7,356,825	7,356,825
Other Expenses	129,913	123,538	126,131	123,482	123,482	127,896	123,482	123,482
TOTAL-General Fund	6,744,823	6,620,859	7,369,165	7,366,516	7,366,516	7,484,721	7,480,307	7,480,307
<u>Additional Funds Available</u>								
Private Funds	2,123,078	2,186,000	2,252,000	2,252,000	2,252,000	2,319,000	2,319,000	2,319,000
TOTAL - All Funds	8,867,901	8,806,859	9,621,165	9,618,516	9,618,516	9,803,721	9,799,307	9,799,307

**Fire & Building Services****SCIENTIFIC SERVICES****Statutory Reference**

Section 29-7b, Chapter 961, Part 11a

**Statement of Need and Program Objectives**

To improve the quality and quantity of services provided to federal, state and local law enforcement agencies and the citizens of Connecticut through existing and newly developed scientific and technical procedures. To provide investigative leads through the timely examination of evidence, the reconstruction of crimes and expert testimony to aid in the arrest, conviction, or clearance of a suspect.

**Program Description**

The Division of Scientific Services is comprised of the Forensic Science Laboratory, the Computer Crime and Electronic Evidence Laboratory and the Controlled Substance and Toxicology Laboratory.

**The Forensic Science Laboratory**

The Forensic Science Laboratory includes Criminalistics, Identification, DNA and Crime Scene Reconstruction Units.

The Criminalistics Unit includes Forensic Biology, Trace Evidence, Arson and Chemistry. The Forensic Biology Section identifies biological fluids and determines which samples

should undergo full DNA analysis. The Trace Section examines and compares paint, hairs, fibers, glass, soil, tape, light bulbs, cordage, and white powders, and also identifies unknown materials. In addition, the Trace Section maintains an extensive Automotive Paint database dedicated to providing investigative leads in motor vehicle cases in which the vehicle has fled the scene. The Chemistry Section is responsible for the analysis and identification of gunshot residue and explosive materials. The Arson Section examines fire debris for the identification of suspected accelerants.

The DNA Unit is divided into three sections. The Nuclear DNA examiners conduct analyses to obtain DNA profiles from evidentiary materials. The DNA Database Section maintains the Convicted Offender DNA Database (CODIS). It also conducts evidence analysis from criminal cases in which there is no known suspect. DNA profiles from these cases are entered into CODIS to identify possible suspects. The Mitochondrial DNA Section is one of four designated regional laboratories, nationwide, that are partnered with the FBI. This section analyses and compares mitochondrial DNA materials from samples (such as hair or bone) in which nuclear DNA is either not present or else is too degraded for analysis.

The Identification Unit consists of the Firearms, Tool marks, Questioned Documents, Latent Prints and Imprints Sections. The Firearms Section examines all firearms evidence and conducts test fires of all guns scheduled for destruction. All test fires are entered into the firearms database. The Firearms Section conducts all toolmarks examinations. The Latent Print Section processes evidentiary materials to develop latent prints. Latent prints that are developed are compared to inked prints or entered into the fingerprint database. The Questioned Documents Section conducts examinations of handwriting, indented writing and all forms of printing. In addition, the Special Revenue Section examines all Connecticut Lottery games, conducting analyses on the integrity of the various gaming tickets prior to general release. The Imprint Section conducts examinations and

comparison of all three-dimensional prints, such as footwear and tire tracks.

The Crime Scene Reconstruction Unit employs scientific techniques and all available information to establish potential methods in which a crime was perpetrated in an attempt to reconstruct the occurrence.

#### ***The Computer Crime and Electronic Evidence Laboratory***

The Computer Crime and Electronic Evidence Laboratory provides analysis of computer and electronic evidence and forensic data analysis. It carries out computer and internet-based investigations and trains law enforcement, prosecutors, parents and children. Recently added to this Laboratory were the Image Enhancement and Forensic Photography Sections. The Image Enhancement Section employs state-of-the-art equipment to enhance video information related to criminal activity. The Forensic Photography section employs high tech digital photographic processing equipment to expedite the delivery of photographic services to law enforcement.

#### ***Controlled Substance and Toxicology Laboratory***

The Controlled Substance and Toxicology Laboratory analyzes drug evidence and unknown substances submitted by law enforcement personnel and other state and federal agencies.

The major function of the Toxicology Section is body fluid analysis. In cases of DUI, blood specimens yield excellent results for alcohol, tranquilizers and sedatives, while urine specimens yield excellent results for stimulants and narcotics. Controlled Substance Section personnel provide analytical support to law enforcement agencies to identify and quantify drug seizures. The most commonly analyzed substances are marijuana, cocaine, MDMA (ecstasy), heroin, prescription and designer drugs. Some Section personnel also accompany the DEA (U.S. Drug Enforcement Administration) on raids of illicit/ clandestine drug labs, provide technical support in the examination and analysis of the site for chemical and physical hazards, identify methods of chemical synthesis, and analyze source chemicals and the finished product.

<b><i>Program Measure</i></b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Criminalistics				
Biology	780	780	800	850
Trace/Chemistry	490	490	490	500
DNA				
Convicted Offender Submissions (CODIS)	10,000	10,000	12,000	12,000
Nuclear DNA	1,250	1,400	1,450	1,550
No Suspect DNA	450	500	550	600
Mitochondrial DNA	75	100	110	115
Identification				
Questioned Documents/Special Revenue	220	220	220	230
Imprints	22	24	25	30
Firearms - Cases	2,100	2,200	2,300	2,450
Firearms - Destruction Guns	1,300	1,500	1,600	1,600

Latent Prints	1,530	1,530	1,550	1,600
Photography	14,000	15,000	15,000	15,500
Reconstruction	25	25	25	25
Forensic Laboratory - Total Case Requests	32,242	33,769	34,100	34,750
Computer Crimes and Electronic Laboratory				
Imaging/Acquisition	3	3	5	5
Data Analysis	175	175	190	200
Data Restoration	5	5	10	10

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	74	4	0	78	78	78	78	78
Federal Contributions	12	0	-2	10	9	9	9	9

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	5,981,211	6,154,043	6,814,998	6,814,998	6,814,998	6,867,661	6,867,661	6,867,661
Other Expenses	908,359	863,530	882,094	863,570	863,570	894,881	863,570	863,570
<u>Capital Outlay</u>								
Equipment	0	0	1,011,900	550,000	0	0	250,000	0
TOTAL-General Fund	6,889,570	7,017,573	8,708,992	8,228,568	7,678,568	7,762,542	7,981,231	7,731,231

Additional Funds Available**Federal Contributions**

16301 Law Enf Asst-FBI Crime Lab Support	1,114,111	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
16560 National Inst Justice Rsrch, Eval Dev Prj	350,192	0	0	0	0	0	0	0
TOTAL - All Funds	8,353,873	8,017,573	9,708,992	9,228,568	8,678,568	8,762,542	8,981,231	8,731,231

**Division of Scientific Services****PROTECTIVE SERVICES****Statutory Reference**

Section 29-5f

**Program Description**

The Office of Protective Services contains the Governor's Security Unit and the Dignitary Protection Unit.

Governor's Security Unit - is comprised of troopers who staff a security operational center at the Governor's Residence on a 24 hour-a-day basis. Unit members also provide personal protection for the Governor in her office at the Capitol and at all other times.

Dignitary Protection Unit - offers security support assistance to visiting dignitaries and/or their protective details.

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	11	0	0	11	11	11	11	11

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	0	0	0	1,077,940	1,077,940	0	1,081,445	1,081,445

**Budget-in-Detail**

Other Expenses	48,667	46,234	47,205	46,214	46,214	47,869	46,214	46,214
TOTAL-General Fund	48,667	46,234	47,205	1,124,154	1,124,154	47,869	1,127,659	1,127,659

Additional Funds Available

<b>Federal Contributions</b>								
16579 Byrne Formula Grant Program	0	112,500	0	0	0	0	0	0
97067 Homeland Security Grant Program	2,813	0	0	0	0	0	0	0
TOTAL - All Funds	51,480	158,734	47,205	1,124,154	1,124,154	47,869	1,127,659	1,127,659

**Protective Services**

**ADMINISTRATIVE AND MANAGEMENT SERVICES**

**Statutory Reference**

Sections 29-4, 29-10b through 29-17b, 29-28 through 29-38b, Chapter 532a, Chapter 533, Chapter 533a, Chapter 534, Chapter 969

**Statement of Need and Program Objectives**

To provide support services to the Department of Public Safety.

**Program Description**

**Office of Administrative Services**

The Office of Administrative Services is part of the Division of State Police and is divided into five main sections. They are the Bureau of Research & Information Services, the Criminal Justice Information Services Section, the Contracts, Grants and Memorandum of Understanding Administration, the Bureau of Infrastructure and Communications, and the Bureau of Training & Support Services. The overall mission of the Office of Administrative Services is to provide support to all aspects of the Department of Public Safety including the Divisions of Scientific Services and Fire, Emergency and Building Services. As the agency continues to grow, one of its primary responsibilities is the development of enhanced information technology systems. DPS personnel evaluate, develop, install and maintain all information management and technological computer systems within the department. The office also provides such services as selections and training, background investigations, polygraphs, facilities management, fleet administration, special duty coordinator, grant administration and management, crimes analysis, and telecommunications. It oversees regulatory functions such as special licensing, the issuance and revocation of firearms permits, supervision of boxing and administration of sex offender registrations.

The DPS Communications Center is a 24-hour facility that has the ability to facilitate communications during any major event, to include statewide interoperability, through a system known as ITAC/ICALL, as well as other means. The Center is also responsible for the State's Amber Alert system, utilizing the Emergency Broadcast System's Network to broadcast statewide Amber alerts.

**Infrastructure Planning and Facilities Management Unit**

The Infrastructure Planning and Facilities Management Unit maintains, repairs and oversees the renovation of all

department buildings and facilities. It also assists the Commissioner and the Department of Public Works in coordinating capital projects, such as major repairs, major renovations and new construction throughout DPS.

**Administration and Management Support**

The Bureau of Management Support and several other administrative units are part of the Office of the Commissioner.

The Equal Opportunity Unit coordinates the policies which afford equal opportunity to all qualified people without regard to race, color, religion, age, marital status, national origin, creed, ancestry, physical disability, or gender. This unit is responsible for the department's compliance with Affirmative Action guidelines.

The Fiscal Services Unit coordinates fiscal management for the department. Its functions include budget preparation and control, preparation of contracts, processing and accounting, requests for goods and services, purchasing, inventory control, and fee collection services.

The Labor Relations Unit represents the department in labor contract negotiations. It investigates employee grievances, conducts grievance hearings, serves as management advocate at arbitration hearings and state prohibited-practice hearings and reviews internal affairs investigations for appropriate disciplinary recommendations.

The Human Resources Unit coordinates the department's human resources functions of personnel, payroll and employee benefits. Its efforts are concentrated in three major areas: conversion of sworn positions to civilian positions wherever possible or where organizational/programmatic restructuring supports such conversion. Second it develops and promulgates an employee and supervisor's manual for all department employees, and it automates manual systems and converts current computer systems using state-of-the-art technologies.

The Public Information Office disseminates information on the department through various communications media.

The Professional Standards Division, which was radically reformed in 2007, serves as the principal office for receiving complaints, whether generated internally or externally. All complaints are documented and processed. The complaints, which cover a broad range of alleged improprieties, are assigned to an investigator, the investigation is then carried out, and the results of the investigation are carefully

recorded. If either a complaint investigation or an internal affairs investigation reveals that the complaint was unfounded, the complainant is so notified. If the complaint is sustained, the matter is referred to the Department's Labor Relations Unit for further action. In addition, the Professional Standards Division recommends policy changes that may be prompted by the investigations carried out by the Division. The Lieutenant Colonel in charge of this Division reports directly to the Commissioner.

The Legal Affairs Unit provides legal advice to the Office of the Commissioner, the Department's three divisions and other

Department units and offices. The Unit coordinates with the Office of the Attorney General on civil and administrative cases involving the agency and its personnel, handles all Freedom of Information Act requests directed to this agency, manages all aspects of the regulation adoption process for over 45 sets of regulations within the jurisdiction of the agency, drafts, negotiates and/or reviews contracts and other agreements, and conducts Giglio reviews. Unit personnel also respond to CHRO complaints as designees of the Office of the Attorney General.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Labor Grievances handled	111	95	95	95
Employee Assistance Program cases	250	250	250	250
Percent Minority Representation (including Protected Women) %	28	28	28	28
Inventory Control (\$M)	148.5	152	155	155
Direct Federal Grants (\$)	5,614,129	1,523,500	1,143,500	1,123,700
State sub-Grants of Federal Funds (\$)	1,756,937	361,000	355,000	355,000
Workers' Compensation Claims	310	310	325	325
Payouts on Claims (\$000)	9,475	9,475	9,475	9,475

#### **Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	94	11	0	105	105	105	105	105

#### **Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	7,589,745	8,797,518	9,109,045	8,845,744	8,845,744	9,250,666	8,987,365	8,987,365
Other Expenses	11,881,706	11,243,815	14,520,219	13,117,935	12,743,972	14,865,397	13,411,720	13,037,757

#### Capital Outlay

Equipment	0	0	171,010	0	0	1,750	0	0
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#### Other Current Expenses

Fleet Purchase	7,825,074	7,933,581	9,075,351	9,010,796	8,501,239	9,665,718	9,473,153	8,963,596
Workers' Compensation Claims	2,939,716	3,438,787	3,800,765	3,619,776	3,438,787	3,990,803	3,619,776	3,438,787

#### Pmts to Other Than Local Governments

Civil Air Patrol	36,758	34,920	37,530	36,758	34,920	38,055	36,758	34,920
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#### Pmts to Local Governments

SNTF Local Officer Incentive Program	238,800	238,800	243,815	238,800	0	247,228	238,800	0
<b>TOTAL-General Fund</b>	<b>30,511,799</b>	<b>31,687,421</b>	<b>36,957,735</b>	<b>34,869,809</b>	<b>33,564,662</b>	<b>38,059,617</b>	<b>35,767,572</b>	<b>34,462,425</b>

#### Additional Funds Available

Bond Funds	5,350,427	465,500	0	0	0	0	0	0
Private Funds	19,267,534	17,655,000	18,135,000	18,135,000	18,135,000	18,440,000	18,440,000	18,440,000

#### **Federal Contributions**

16320 Services for Trafficking Victims	81,394	300,000	0	0	0	0	0	0
16542 ICAC Grant	116,283	120,000	120,000	120,000	120,000	120,000	120,000	120,000

## Budget-in-Detail

16554 National Criminal History Improvement	129,614	0	0	0	0	0	0	0
16560 Nat'l Inst Justice Rsrch ,Eval Dev Prj	1,586	1,500	1,500	1,500	1,500	1,500	1,500	1,500
16579 Byrne Formula Grant Program	143,628	157,000	22,000	22,000	22,000	22,000	22,000	22,000
16589 Rural Domestic Violence/Child Victimization Enfmt	15,275	0	0	0	0	0	0	0
16609 Comm Prosecution & Project Safe Neighbor	7,755	3,000	0	0	0	0	0	0
16710 Public Safety Partshp & Comm Policing	27,796	80,000	0	0	0	0	0	0
16738 E Byrne Memorial Justice Assist Grant	5,393	0	0	0	0	0	0	0
20600 State & Community Highway Safety	805,687	245,000	245,000	245,000	245,000	245,000	245,000	245,000
97067 Homeland Security Grant Program	598,582	0	0	0	0	0	0	0
97073 State Homeland Security Program	3,284,793	0	0	0	0	0	0	0
97074 Law Enforcement Terrorism Prevent	127,844	0	0	0	0	0	0	0
99125 Assets Forfeiture Fund	30,253	10,000	10,000	10,000	10,000	10,000	10,000	10,000
99125 Dept of Justice Forfeiture Fund	515,234	100,000	100,000	100,000	100,000	100,000	100,000	100,000
<b>TOTAL - All Funds</b>	<b>61,020,877</b>	<b>50,824,421</b>	<b>55,591,235</b>	<b>53,503,309</b>	<b>52,198,162</b>	<b>56,998,117</b>	<b>54,706,072</b>	<b>53,400,925</b>

### Administrative/Management Services

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	103,883,058	119,611,265	124,387,826	123,824,817	125,180,266	124,617,257
Other Positions	424,318	399,551	411,537	411,537	423,884	423,884
Other	9,324,588	9,084,676	9,319,728	6,468,137	9,599,319	6,549,048
Overtime	16,593,152	19,156,117	29,662,980	23,426,106	31,442,758	23,426,106
<b>TOTAL-Personal Services Gross</b>	<b>130,225,116</b>	<b>148,251,609</b>	<b>163,782,071</b>	<b>154,130,597</b>	<b>166,646,227</b>	<b>155,016,295</b>
Less Reimbursements	0	-13,740,720	-13,784,640	-14,000,000	-13,829,875	-14,000,000
Less Turnover	0	0	-1,000,000	-3,580,807	-1,000,000	-2,487,757
<b>TOTAL-Personal Services Net</b>	<b>130,225,116</b>	<b>134,510,889</b>	<b>148,997,431</b>	<b>136,549,790</b>	<b>151,816,352</b>	<b>138,528,538</b>

### Other Expenses-Contractual Services

Dues and Subscriptions	43,469	41,402	42,272	39,181	42,864	39,181
Utility Services	2,865,999	2,729,750	3,597,601	3,433,486	3,915,554	3,677,555
Rentals, Storage and Leasing	397,961	379,034	386,993	379,034	392,411	379,034
Telecommunication Services	3,365,623	3,205,621	3,272,940	2,971,776	3,318,760	2,971,776
General Repairs	2,216,840	2,111,452	2,155,794	2,044,527	2,185,976	2,044,527
Motor Vehicle Expenses	2,933,006	2,793,570	2,852,235	2,761,890	2,892,168	2,761,890
Fees for Outside Professional Services	198,670	189,134	195,317	189,134	200,305	189,134
Fees for Non-Professional Services	263,168	250,658	416,924	411,658	419,996	411,658
DP Services, Rentals and Maintenance	6,852,728	6,518,712	7,687,730	7,379,296	7,831,632	7,429,012
Postage	228,169	217,321	221,884	214,622	224,990	214,622
Travel	281,052	157,337	160,643	127,978	162,892	127,978
Other Contractual Services	569,031	541,669	553,041	541,669	560,785	541,669
Advertising	995	948	968	948	982	948
Printing & Binding	136,130	129,658	132,381	129,658	134,234	129,658

### Other Expenses-Commodities

Budget-in-Detail

Agriculture, Horticulture, Dairy & Food	182,525	173,848	177,346	103,848	180,765	173,848
Books	20,540	19,564	19,973	19,564	20,253	19,564
Clothing and Personal Supplies	534,512	509,102	519,793	381,702	527,070	509,102
Maintenance and Motor Vehicle Supplies	8,040,521	7,680,084	9,990,953	7,600,706	10,005,954	7,600,706
Medical Supplies	31,226	29,741	31,169	29,741	32,425	29,741
Fuel	255,318	243,180	256,165	243,180	258,615	243,180
Office Supplies	1,501,387	1,429,700	1,459,724	1,390,069	1,480,159	1,390,069
Refunds of Expenditures Not Otherwise	686,697	654,051	667,786	410,652	753,576	730,492
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	59,294	56,473	56,482	56,473	56,488	56,473
TOTAL-Other Expenses Gross	31,664,861	30,062,009	34,856,114	30,860,792	35,598,854	31,671,817
Less Reimbursements						
TOTAL-Other Expenses Net	31,664,861	30,062,009	34,856,114	30,860,792	35,598,854	31,671,817
<u>Other Current Expenses</u>						
Stress Reduction	23,354	23,686	23,354	23,354	23,354	23,354
Fleet Purchase	7,825,074	7,933,581	9,075,351	8,501,239	9,665,718	8,963,596
Gun Law Enforcement Task Force	147,182	400,000	408,400	400,000	414,118	400,000
Workers' Compensation Claims	2,939,716	3,438,787	3,800,765	3,438,787	3,990,803	3,438,787
COLLECT	0	48,925	52,582	48,925	53,318	48,925
Urban Violence Task Force	308,700	318,018	324,696	318,018	329,242	318,018
Persistent Violent Felony Offenders Act	0	514,000	0	0	0	0
TOTAL-Other Current Expenses	11,244,026	12,676,997	13,685,148	12,730,323	14,476,553	13,192,680
<u>Pmts to Other Than Local Govts</u>						
Civil Air Patrol	36,758	34,920	37,530	34,920	38,055	34,920
TOTAL-Pmts to Other Than Local Govts	36,758	34,920	37,530	34,920	38,055	34,920
<u>Pmts to Local Governments</u>						
SNTF Local Officer Incentive Program	238,800	238,800	243,815	0	247,228	0
TOTAL-Pmts to Local Governments	238,800	238,800	243,815	0	247,228	0

**Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	130,225,116	134,510,889	148,997,431	142,099,861	136,549,790	151,816,352	142,985,559	138,528,538
Other Expenses Net	31,664,861	30,062,009	34,856,114	31,886,888	30,860,792	35,598,854	32,257,113	31,671,817
Capital Outlay	100	0	5,248,607	3,016,045	100	3,598,743	2,395,255	100
Other Current Expenses	11,244,026	12,676,997	13,685,148	13,423,444	12,730,323	14,476,553	13,885,801	13,192,680
Payments to Other Than Local Governments	36,758	34,920	37,530	36,758	34,920	38,055	36,758	34,920
Payments to Local Governments	238,800	238,800	243,815	238,800	0	247,228	238,800	0
TOTAL-General Fund Net	173,409,661	177,523,615	203,068,645	190,701,796	180,175,925	205,775,785	191,799,286	183,428,055
<u>Additional Funds Available</u>								
Federal and Other Activities	7,371,066	2,129,000	1,498,500	1,498,500	1,498,500	1,498,500	1,498,500	1,498,500
Bond Funds	5,350,427	465,500	0	0	0	0	0	0
Private Funds	27,717,059	27,103,152	28,000,539	28,000,539	28,000,539	28,671,106	28,671,106	28,671,106
TOTAL-All Funds Net	213,848,213	207,221,267	232,567,684	220,200,835	209,674,964	235,945,391	221,968,892	213,597,661

# POLICE OFFICER STANDARDS & TRAINING COUNCIL

## AGENCY DESCRIPTION

The Police Officer Standards and Training Council (POST), is responsible for the certification of all police officers, law enforcement instructors and police training programs requiring certification throughout the State of Connecticut.

POST is responsible for providing basic and in-service law enforcement training for municipal, state agency and state university police officers in the areas of police law enforcement, police science and professional development. POST develops and revises a comprehensive police training and education plan which includes approving the operations of

police training schools, approving courses of study, certifying instructors and setting minimum employment standards and certification requirements. Additionally the agency offers professional, advanced, specialized and continuing education to veteran police officers as part of the license renewal process, which requires each police officer to satisfactorily complete at least 60 hours of certified review training every three years. The Agency may revoke the certification of police officers under certain statutory conditions.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

- Rollout FY2009 Rescissions
- OE/OCE General Reductions
- Transfer Equipment to CEPF
- Eliminate Funding for One Recruit Class

	<u>2009-2010</u>	<u>2010-2011</u>
	-26,249	-26,249
	-8,955	-8,955
	-191,255	-103,005
	-72,624	-72,624

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	26	1	0	27	27	27	27	27

### Agency Programs by Total Funds

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Policing Instruction	3,226,427	3,169,724	3,516,360	3,447,844	3,148,761	3,483,979	3,413,860	3,203,027
TOTAL Agency Programs - All Funds Gross	3,226,427	3,169,724	3,516,360	3,447,844	3,148,761	3,483,979	3,413,860	3,203,027
Less Turnover	0	0	0	-73,835	-73,835	0	-73,835	-73,835
TOTAL Agency Programs - All Funds Net	3,226,427	3,169,724	3,516,360	3,374,009	3,074,926	3,483,979	3,340,025	3,129,192

### Summary of Funding

General Fund Net	2,794,405	3,021,246	3,480,532	3,338,181	3,039,098	3,448,151	3,304,197	3,093,364
Federal and Other Activities	206,675	34,371	11,121	11,121	11,121	11,121	11,121	11,121
Bond Funds	214,805	110,400	21,000	21,000	21,000	21,000	21,000	21,000
Private Funds	10,542	3,707	3,707	3,707	3,707	3,707	3,707	3,707
TOTAL Agency Programs - All Funds Net	3,226,427	3,169,724	3,516,360	3,374,009	3,074,926	3,483,979	3,340,025	3,129,192

## POLICING INSTRUCTION

### Statutory Reference

C.G.S. Sections 7-294a through 7-294aa

### Statement of Need and Program Objectives

To provide the necessary standards, training and education for police officers to acquire and maintain state certification which is necessary to perform their police duties and maintain their position as police officers.

To identify, design, provide and evaluate specialized training that responds to and anticipates police needs.

To administer and control the agency's management and operations to ensure prudent and efficient use of agency appropriations and resources and to administer the affairs of a vocational training and education academy.

**Program Description**

This program is responsible for the design and delivery of training mandated by state statute, regulation, or professional development needs of Connecticut's law enforcement community.

Currently, the program conducts yearly research to identify and respond to the changing needs of the multifaceted police community. The program provides to, or oversees for, every newly appointed police officer, the basic police officer training course at the Connecticut Police Academy and/or at satellite locations, and coordinates and supervises over 188 (FY 07-08) in-service courses available to all police personnel in Connecticut. It serves as a comprehensive training, education and resource center for the police community and publishes training manuals, bulletins and advisory notices. The program encourages, maintains and nurtures the relationships between schools of higher education and state and federal agencies to allow for the development and delivery of high quality law enforcement training programs. POST publishes the academy's annual training calendar of instructional offerings, quarterly updates and training bulletins when appropriate.

The Agency has drafted and distributed a Model Policy on Missing Persons and is currently developing a Model Policy on Death Notification as mandated by the Legislature.

The management unit is responsible for the agency's fiscal, property control and legislative and executive branch liaison activities. The unit also provides technical support and research to the Council, police agencies, municipalities, the Connecticut State Police and other state and federal law enforcement agencies. It manages all strategic and operational planning activities; staffs a resource center and library which includes over 200 videotapes and provides audio visual assistance to the agency, police agencies and municipalities; and facilitates all interaction between the Council's various committees. The agency manages the Council's yearly agenda and develops recommendations for capital improvements in the Connecticut Police Academy while organizing staff to perform all operational functions. The management unit organizes daily, weekly, monthly and yearly training activities; develops and submits for adoption the agency's administrative regulations; prepares and distributes the agency's regulatory findings, declaratory rulings and advisory opinions; and provides expert testimony in civil proceedings.

The Certification Division, serving as the Bureau of Standards and Licenses, issues basic police officer licenses and audits training records to justify renewing licenses on a triennial basis. The division also licenses and audits law enforcement instructors and schools of basic and advanced police training, grants comparative certification when appropriate and cancels or revokes certification when necessary.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Municipal Police recruits trained/880 hours each	288	288	200	200
In-Service Training for Police Officers Course offered	188	185	190	190
Participants	6,998	6,500	6,500	6,500
Law enforcement driving instruction Officers trained	420	420	440	440
Part-Time Officers Trained/Coordinated	30	30	30	30
Films, books and audio visual packages loaned	550	550	550	550
General notices-Administration	3	5	5	5
News letters published	5	5	5	5
Operational rules & regulation changes	3	3	5	5
Accreditation awards	10	15	19	19
Licenses revoked	2	5	5	5
Occupational licenses issued	3,261	2,683	2,260	2,260

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	26	1	0	27	27	27	27	27

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	1,888,413	2,018,893	2,192,413	2,192,059	2,163,207	2,246,679	2,246,325	2,217,473
Other Expenses	905,892	1,002,353	1,093,764	1,028,602	949,626	1,098,367	1,028,602	949,626

## Budget-in-Detail

### Capital Outlay

Equipment	100	0	194,355	191,355	100	103,105	103,105	100
TOTAL-General Fund	2,794,405	3,021,246	3,480,532	3,412,016	3,112,933	3,448,151	3,378,032	3,167,199

### Additional Funds Available

Bond Funds	214,805	110,400	21,000	21,000	21,000	21,000	21,000	21,000
Private Funds	10,542	3,707	3,707	3,707	3,707	3,707	3,707	3,707

### **Federal Contributions**

16579 Byrne Formula Grant Program	31,628	11,121	11,121	11,121	11,121	11,121	11,121	11,121
16590 Encourage Arrest Policies & Protection Orders	9,418	23,250	0	0	0	0	0	0
97074 Law Enforcement Terrorism Prevention	165,629	0	0	0	0	0	0	0
TOTAL - All Funds	3,226,427	3,169,724	3,516,360	3,447,844	3,148,761	3,483,979	3,413,860	3,203,027

### **Policing Instruction**

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

### **Current Expenses by Minor Object**

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	1,694,556	1,818,482	1,990,692	1,990,338	2,034,871	2,034,517
Other Positions	62,586	65,716	69,002	55,202	72,452	58,652
Other	63,653	63,697	57,461	57,461	59,583	59,583
Overtime	67,618	70,998	75,258	60,206	79,773	64,721
TOTAL-Personal Services Gross	1,888,413	2,018,893	2,192,413	2,163,207	2,246,679	2,217,473
Less Reimbursements						
Less Turnover	0	0	0	-73,835	0	-73,835
TOTAL-Personal Services Net	1,888,413	2,018,893	2,192,413	2,089,372	2,246,679	2,143,638
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	19,427	22,072	22,536	20,012	22,851	20,012
Rentals, Storage and Leasing	22,948	26,072	26,620	26,072	26,992	26,072
Telecommunication Services	20,335	23,104	23,589	22,627	23,919	22,627
General Repairs	30,656	35,580	36,327	35,580	36,836	35,580
Motor Vehicle Expenses	25,122	28,542	29,142	27,631	29,550	27,631
Fees for Outside Professional Services	448,205	473,554	543,163	453,282	550,311	453,282
Fees for Non-Professional Services	82,174	103,512	105,686	80,012	107,165	80,012
DP Services, Rentals and Maintenance	18,652	20,575	31,637	20,575	21,940	20,575
Postage	450	1,045	1,066	944	1,081	944
Travel	10,552	11,989	12,241	9,226	12,412	9,226
Other Contractual Services	18,591	21,121	21,566	21,121	21,869	21,121
Printing & Binding	29,397	33,399	34,100	33,399	34,577	33,399
<u>Other Expenses-Commodities</u>						
Books	17,242	19,589	20,000	19,589	20,280	19,589
Clothing and Personal Supplies	9,876	11,220	11,456	11,220	11,616	11,220
Maintenance and Motor Vehicle Supplies	27,449	31,185	31,826	28,542	32,083	28,542

## Budget-in-Detail

Medical Supplies	2,435	2,766	2,913	2,766	3,044	2,766
Fuel	268	304	318	304	321	304
Office Supplies	97,063	110,277	112,593	110,277	114,169	110,277
Refunds of Expenditures Not Otherwise Classified	22,545	25,614	26,152	25,614	26,518	25,614
<i><u>Other Expenses-Sundry</u></i>						
Sundry - Other Items	2,505	2,846	2,846	2,846	2,846	2,846
TOTAL-Other Expenses Gross	905,892	1,004,366	1,095,777	951,639	1,100,380	951,639
Less Reimbursements	0	-2,013	-2,013	-2,013	-2,013	-2,013
TOTAL-Other Expenses Net	905,892	1,002,353	1,093,764	949,626	1,098,367	949,626

<b>Character &amp; Major Object Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	1,888,413	2,018,893	2,192,413	2,118,224	2,089,372	2,246,679	2,172,490	2,143,638
Other Expenses Net	905,892	1,002,353	1,093,764	1,028,602	949,626	1,098,367	1,028,602	949,626
Capital Outlay	100	0	194,355	191,355	100	103,105	103,105	100
TOTAL-General Fund Net	2,794,405	3,021,246	3,480,532	3,338,181	3,039,098	3,448,151	3,304,197	3,093,364
<i><u>Additional Funds Available</u></i>								
Federal and Other Activities	206,675	34,371	11,121	11,121	11,121	11,121	11,121	11,121
Bond Funds	214,805	110,400	21,000	21,000	21,000	21,000	21,000	21,000
Private Funds	10,542	3,707	3,707	3,707	3,707	3,707	3,707	3,707
TOTAL-All Funds Net	3,226,427	3,169,724	3,516,360	3,374,009	3,074,926	3,483,979	3,340,025	3,129,192

# BOARD OF FIREARMS PERMIT EXAMINERS

## AGENCY DESCRIPTION

Board of Firearms Permit Examiners is comprised of seven members appointed by the Governor, nominees of the Commissioner of the Department of Public Safety, the Connecticut State Association of Chiefs of Police, the Commissioner of Environmental Protection, the Connecticut

State Rifle and Revolver Association, Inc., Ye Connecticut Gun Guild, Inc. and two public members. At least one member of the Board shall be a lawyer licensed to practice in this state, who shall act as chairman of the Board during the hearing of appeals.

*The Board of Firearm Permit Examiners is recommended through consolidation with the Department of Public Safety in the Governor's budget as part of her proposal to streamline state government.*

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• Rollout FY2009 Rescissions	-738	-738
Continuation of reduction to Other Expenses.		
• Remove or Limit Inflation	-306	-514
• Streamline Agency Operations - Transfer Functions to the Department of Public Safety	-100,346	-101,492
Support functions will be the responsibility of the Department of Public Safety.		
• OE/OCE General Reductions	-42	-42

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1	0	0	1	1	0	1	0
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
Other Positions Equated to Full Time			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			1	1	1	0	1	0

### Agency Programs by Total Funds

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Firearm Permit Appeals	91,838	98,210	111,258	101,126	0	113,306	102,272	0
TOTAL Agency Programs - All Funds Gross	91,838	98,210	111,258	101,126	0	113,306	102,272	0
Less Turnover								
TOTAL Agency Programs - All Funds Net	91,838	98,210	111,258	101,126	0	113,306	102,272	0
<u>Summary of Funding</u>								
General Fund Net	91,838	98,210	111,258	101,126	0	113,306	102,272	0
TOTAL Agency Programs - All Funds Net	91,838	98,210	111,258	101,126	0	113,306	102,272	0

## PISTOL PERMIT APPEALS

### Statutory Reference

C.G.S. Section 29-32b

### Statement of Need and Program Objectives

The purpose of the Board is to provide a means of appeal for any person aggrieved by any refusal to issue or renew a pistol permit or certificate under the provisions of Sections 29-28 or

29-36f, by any limitation or revocation of a pistol permit or certificate issued under any of said sections or by a refusal or failure of any issuing authority to furnish a pistol permit application as provided in Section 29-28a through administrative hearings.

**Program Description**

The appeals process involves making inquiries and investigations, conducting hearings, taking testimony and rendering decisions as to whether an issuing authority was arbitrary or capricious in denying or revoking a permit to carry

handguns. On such appeal, the Board shall inquire into and determine the facts, and unless it finds that such a refusal, limitation, revocation, or failure to supply an application would be for just and proper cause, it shall order such permit or certificate to be issued, renewed or restored, or the limitation removed or modified, as appropriate.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Appeals received	321	350	350	350
Meetings conducted	13	16	24	24
Hearings Scheduled	156	192	288	288
Cases resolved prior hearing	110	123	123	123
Cases waiting for hearing (backlog)	354	374	374	374
Back-log measured in months	1 year 5 months	1 year 1 month	8 months	8 months

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	1	0	0	1	1	0	1	0
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
Other Positions Equated to Full Time			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			1	1	1	0	1	0

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	84,280	89,197	91,619	91,275	0	93,967	92,421	0
Other Expenses	7,558	9,013	15,057	9,751	0	15,265	9,751	0
<u>Capital Outlay</u>								
Equipment	0	0	4,582	100	0	4,074	100	0
TOTAL-General Fund	91,838	98,210	111,258	101,126	0	113,306	102,272	0

**Firearm Permit Appeals****AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	66,653	70,542	70,013	0	70,013	0
Other Positions	16,608	16,718	19,666	0	20,868	0
Other	1,019	1,937	1,940	0	3,086	0
TOTAL-Personal Services Gross	84,280	89,197	91,619	0	93,967	0
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	84,280	89,197	91,619	0	93,967	0

## Budget Summary

### Other Expenses-Contractual Services

Rentals, Storage and Leasing	1,380	1,380	2,750	0	2,789	0
Telecommunication Services	909	909	1,811	0	1,836	0
Fees for Non-Professional Services	340	373	676	0	685	0
Postage	1,853	3,175	3,693	0	3,744	0
Travel	631	631	1,258	0	1,276	0

### Other Expenses-Commodities

Office Supplies	2,360	2,379	4,703	0	4,769	0
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### Other Expenses-Sundry

Sundry - Other Items	85	166	166	0	166	0
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TOTAL-Other Expenses Gross	7,558	9,013	15,057	0	15,265	0
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Less Reimbursements

TOTAL-Other Expenses Net	7,558	9,013	15,057	0	15,265	0
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### **Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	84,280	89,197	91,619	91,275	0	93,967	92,421	0
Other Expenses Net	7,558	9,013	15,057	9,751	0	15,265	9,751	0
Capital Outlay	0	0	4,582	100	0	4,074	100	0
TOTAL-General Fund Net	91,838	98,210	111,258	101,126	0	113,306	102,272	0

# DEPARTMENT OF MOTOR VEHICLES

## AGENCY DESCRIPTION

The goal of the Department of Motor Vehicles (DMV) is to ensure, through licensing and regulation, that motor vehicles are operated safely on Connecticut's highways, by requiring that they be properly maintained and operated by competent drivers. The department collects revenues derived from licensing, registration, user fees and sales taxes in an efficient and timely way. The department rapidly gathers, efficiently maintains and responsively disseminates information concerning all vehicles, operators, motorboats and organizations it licenses or regulates.

Five distinct, yet interrelated bureaus, provide the mechanism for carrying out the Department's mission. They are the Bureaus of Administration, Customer Operations, Legal Services, Driver Regulation and Vehicle and Business Regulation. In addition, high level agency policy formulation, direction and certain support services are provided by the Office of the Commissioner.

### *The Bureau of Customer Operations*

The Bureau of Customer Operations is responsible for the delivery of all in-person, customer-oriented services regarding the issuance and revenue collection of motor vehicle registrations, operator licenses, and applications for title and boat registrations. The bureau collects sales and use tax on vehicles not purchased from a Connecticut dealer. In addition, it provides communications related to laws, regulations and departmental policies and procedures directly to customers via centralized telephone communications and mailings and administers the Motor Voter Program.

### *The Bureau of Vehicle and Business regulation*

The Bureau of Vehicle and Business Regulation is comprised of the Emissions, the Commercial Vehicle Safety, the Motor Vehicle Businesses and the Registration and Title Integrity and Standards divisions.

The Emission Division is responsible for monitoring vehicle inspection operations to assure compliance with contract standards. Standards are established in conjunction with the Department of Environmental Protection for equipment accuracy, public awareness and operational efficiency.

The Commercial Vehicle Safety Division is responsible for all motor carrier truck safety programs, safety inspections of school buses and public service vehicles and serves as a primary source of information for vehicle anti-theft activities.

The Motor Vehicle Businesses Division is responsible for the licensing and regulation of all motor vehicle dealers, repairers and junkyards. It ensures that complaints from consumers about dealers or repairers are quickly and fairly resolved. It also licenses and inspects commercial driving schools.

The Registration and Title Integrity and Standards Division establishes standards for registration credentials issued by the agency. The Title Unit verifies and issues motor vehicle titles and maintains title records. The Insurance Compliance Unit is responsible for the enforcement of mandatory vehicle insurance requirements. The International Registration

Plan/Single State Registration System (IRP/SSRS) Unit administers the apportioned, multi-state registrations issued for certain commercial, inter-state vehicles. Finally, the Customized Services Unit is responsible for processing registration transactions emanating from licensed vehicle dealers, processing registration renewals received from customers via the mail or through the Internet and for the implementation and administration of the motorboat registration program.

### *The Bureau of Driver Regulation*

The Bureau of Driver Regulation establishes standards for licensing and identity credentials issued by the agency. The Document Integrity Unit audits license credentials and files to ensure their security and integrity using sophisticated facial recognition technology and other tools. The Public Endorsement Review Unit reviews the applications and credentials submitted by candidates seeking to drive school buses, taxis and other public transportation vehicles. The Driver Services Division is responsible for maintaining and monitoring driver violation records. The division also carries out suspensions and restorations of licenses and registrations. Through its Medical Review and Handicapped Driver Training units this bureau reviews driver license applications from and trains and examines individuals with medical conditions that could impair their ability to safely operate a motor vehicle. Finally, the bureau conducts school bus and commercial driver license proficiency tests as well as operator license proficiency tests at driving schools in its Specialized Testing Unit.

### *The Bureau of Legal Services*

In addition to providing the Commissioner and agency staff with legal counsel, the Bureau of Legal Services conducts administrative hearings that result from moving violation convictions, consumer complaints and failures to comply with regulatory requirements. It also administers the provisions of the State's Administrative Per Se law, coordinates the development of regulations pursuant to new or existing statutes, advocates department-generated legislative initiatives and monitors legislative activity.

### *The Bureau of Administration*

The Fiscal Services Division provides accounting, budgeting, purchasing and inventory services for all Bureaus.

The Support Services Division is responsible for providing internal support (e.g., stockroom, mail room, micro-graphic services) to all other divisions. In addition, this division is responsible for processing requests for information in compliance with the Freedom of Information Act, and for the administration of the Department's registration plate procurement and distribution. Finally, Support Services provides contracts and grants administration services as well as financial and performance audits of all operating divisions.

The Information Systems and Technology Division is functionally divided into two areas. The operations and

Budget-in-Detail

support area is responsible for all hardware considerations, the development and operation of departmental data processing applications, the technical support needed to operate the applications and the data entry and data correction functions. The applications area is responsible for the development and maintenance of the software needs of the Department, including the development of new applications and the enhancement of existing systems.

The Human Resources Division is responsible for ensuring that the Department is staffed at optimum levels of performance and efficiency, handling all labor relations matters and providing payroll services for the agency.

The Planning, Research and Analysis Division oversees the agency's strategic planning efforts, develops new methods for delivering agency services to its clientele and oversees agency project management.

The Corporate and Public Relations Unit coordinates agency communications, including press and public inquiries and manages the agency's Internet and Intranet Websites.

**The Office of the Commissioner**

The Office of the Commissioner provides executive oversight to the agency, formulates policy and initiates and approves projects that improve efficiency and agency effectiveness.

The Affirmative Action Office monitors agency hiring and business practices to ensure that the principals of equal opportunity are adhered to.

The Organizational Development Unit provides internal consulting, training management and staff development services for the agency.

**Energy Conservation Statement**

The Department is utilizing regular maintenance and HVAC system upgrades to achieve energy conservation. These activities, along with the use of Energy Star equipment have been undertaken in the past five years.

**Closure of the Stamford satellite office is recommended in the Governor's budget as part of her proposal to streamline state government.**

**AGENCY PROGRAM INDEX**

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**RECOMMENDED SIGNIFICANT CHANGES**

**Reductions to Current Services**

	<u>2009-2010</u>	<u>2010-2011</u>
• Remove or Limit Inflation	-372,032	-633,462
• Rollout FY2009 Rescissions	-1,704,352	-1,704,352
• Eliminate Vacant Positions	-771,824	-771,824
• OE/OCE General Reductions	-99,205	-99,205
• Eliminate or Defer New Leases - Norwich Branch	-140,626	-140,626
<i>Funding is removed to defer the lease and occupancy of the Norwich Branch until 7/1/11.</i>		
• Streamline Agency Operations - Consolidations	-64,345	-64,345
<i>Funding is removed for the operation of the Stamford part-time branch.</i>		
• Suspend Vision Screening Program	-1,565,247	-1,478,725
<i>Funding is removed so as to suspend the Vision Screening Program.</i>		
• Defer the Replacement of Equipment	-438,448	-376,680

**Reallocations or Transfers**

• Reallocate Insurance Enforcement Costs to Personal Services and Other Expenses	0	0
<i>Funding is reallocated from the Insurance Enforcement Other Current Expense line to Personal Services and Other Expenses. This transfer amount reflects the net balance of the Rollout FY2009 Rescissions Significant Change.</i>		

**New or Expanded Services**

	<u>2009-2010</u>	<u>2010-2011</u>	<u>2011-2012</u>
• Driver Surcharge Program Operating Costs	250,000	250,000	250,000
• Consolidations - Consolidate Weigh Stations to DMV	707,908	707,908	746,959
<i>Funding is provided for 13 positions (11 non-sworn transferred from the Department of Public Safety and 2 new Motor Vehicle Inspector positions) in order to designate all weigh station operation, personnel, responsibility and vigilance to the DMV.</i>			

**AGENCY PROGRAMS**

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Special Transportation Fund	610	37	2	649	649	625	649	625

Auto Emissions	75	7	-19	63	63	63	63	63
Special Funds, Non-Appropriated	3	0	0	3	3	3	3	3
Federal Contributions	16	8	0	24	24	24	24	24

			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund			102	102	102	102	102	102
Auto Emissions			0	10	10	10	10	10

<b>Agency Programs by Total Funds</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Agency Management Services	3,561,842	3,042,928	3,690,450	3,556,412	3,179,625	3,718,061	3,568,657	3,195,900
Customer Services	27,599,503	29,042,487	32,155,142	31,517,136	29,786,186	32,586,123	31,843,981	30,150,204
Auto Emissions Inspection	6,521,000	5,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000
Regulation of Motor Vehicles & Their Use	13,968,343	14,670,998	14,997,082	14,737,475	13,939,446	14,956,049	14,701,066	14,049,280
Support Services	22,810,063	36,776,630	19,815,415	19,157,792	18,237,419	20,262,080	19,435,163	18,475,634
TOTAL Agency Programs - All Funds Gross	74,460,751	89,033,043	77,158,089	75,468,815	71,642,676	78,022,313	76,048,867	72,371,018
Less Turnover	0	0	-403,862	-1,000,000	-1,000,000	-403,862	-1,000,000	-1,000,000
TOTAL Agency Programs - All Funds Net	74,460,751	89,033,043	76,754,227	74,468,815	70,642,676	77,618,451	75,048,867	71,371,018

Summary of Funding

Special Transportation Fund Net	61,812,443	61,446,130	68,137,991	65,852,579	62,026,440	68,990,198	66,420,614	62,742,765
Federal and Other Activities	2,155,105	2,620,448	1,489,198	1,489,198	1,489,198	1,489,198	1,489,198	1,489,198
Auto Emissions	6,500,000	5,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000
Special Funds, Non-Appropriated	592,386	613,813	627,038	627,038	627,038	639,055	639,055	639,055
Bond Funds	3,400,817	18,852,652	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	74,460,751	89,033,043	76,754,227	74,468,815	70,642,676	77,618,451	75,048,867	71,371,018

**AGENCY MANAGEMENT SERVICES****Statutory Reference**

C.G.S. Section 14-3, 14-4a, 14-6, 14-11b, 14-36d, 14-50, 14-50a, 14-138, and 14-156

**Statement of Need and Program Objectives**

To insure accomplishment of agency objectives by setting agency policy and direction, coordinating agency programs, implementing operational improvements and allocating and controlling agency resources.

**Program Description**

The Office of the Commissioner provides executive oversight of the agency, formulates agency policies, and initiates and approves projects that improve efficiency and effectiveness.

The Corporate and Public Relations Unit insures that information of interest and importance to the motoring public is provided through a wide range of information and education programs directed to all the communications media.

The Organizational Development Unit provides internal consulting, training management and staff development services for the agency.

The Bureau of Legal Services conducts administrative hearings that result from moving violation convictions, consumer complaints and failures to comply with regulatory requirements. It administers the provisions of the state's Administrative Per Se law, coordinates the development of regulations pursuant to new or existing statutes, advocates department-generated legislative initiatives and monitors legislative activity.

The Affirmative Action Unit insures that the civil rights of employees, potential employees and customers are not violated and shapes the department's effort to overcome all barriers to equal opportunity employment.

The Planning, Research and Analysis Division conducts planning initiatives, including strategic planning, analyzes procedures and forms, applies work simplification techniques and introduces appropriate technological advancements and improved management techniques to upgrade operations.

Budget-in-Detail

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Hearings/Part Time Adjudicators	4605/12	4605/12	4605/12	4605/12
Agency Revenue/Budget Allotment (\$M)	408/61	408/62	408/62	408/62
Percent of Administrative Hearing (%)	19	19	19	19

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Special Transportation Fund	31	1	2	34	34	24	34	24
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund			9	9	9	9	9	9

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	3,191,840	2,813,369	2,973,519	2,973,413	2,949,476	2,991,949	2,991,844	2,969,125
Other Expenses	253,383	224,213	256,524	241,808	226,982	258,759	240,662	225,823
<u>Capital Outlay</u>								
Equipment	59,827	5,346	6,500	5,850	3,167	1,800	1,600	952
<u>Other Current Expenses</u>								
Real Time Online Registration	56,792	0	0	0	0	0	0	0
Vision Screening Program	0	0	453,907	335,341	0	465,553	334,551	0
TOTAL-Special Transportation Fund	3,561,842	3,042,928	3,690,450	3,556,412	3,179,625	3,718,061	3,568,657	3,195,900

**Agency Management Services**

**CUSTOMER SERVICES**

**Statutory Reference**

C.G.S. Sections 14-3, 14-5, 14-12, 14-36, 14-42, 14-51, 14-56, 14-65j, 14-67a-67d, 14-165-211a and 15-144

**Statement of Need and Program Objectives**

To expedite the licensing of drivers and the registration of vehicles and boats at a network of easily accessible offices by solving individual customer problems, processing motor vehicle transactions and collecting and rapidly depositing associated state revenues. To improve customer service and to avoid the proliferation of additional field offices and staff by renewing non-problem registrations by mail or via the Internet and processing other related documents by mail. To insure the competency of applicants for driver licenses by testing them to identify visual and operational deficiencies and to assure their knowledge of the rules of the road.

**Program Description**

Branch office personnel process and issue driver licenses, vehicle registrations, titles and other motor vehicle related documents, process restorations, test applicants for driver licenses and inspect vehicles at 10 full-time branch offices

and additional part-time facilities. To increase convenience and access, all full-time branches operate Thursday evenings and Saturday mornings.

The Branch offices serve 2.2 million customers annually and approximately \$1,500,000 is collected and deposited each working day throughout the Department. Mobile offices travel to a variety of locations throughout the State to provide photo license services in a manner that improves convenience to the public.

DMV reviews and, through lockbox service, processes all of vehicle registration renewals. The Central Mail Services Unit processes public service licenses, motorboat and other registration documents and their associated fees.

Many customers telephone in advance for information and driver testing appointments. An automated call center has been established to improve service for citizens. Approximately 1 million calls annually are handled by the automated system. Customer service representatives handle an additional 500,000 calls.

The International Registration Plan/Single State Registration System (IRP/SSRS) Unit issues the apportioned registrations to interstate commercial vehicle operators. Under this program,

interstate truckers apply to their home state for a commercial vehicle registration. The registration fee is distributed among the states in which the vehicle travels, using a mileage log to determine the correct apportionment formula. This avoids the need to apply to several states for registrations and makes better traffic law enforcement possible.

Copy and Registry Records responds to about 40,000 requests per year for copies of registrations and license documents.

DMV processes all boat registrations, attempts to resolve ownership problems of vessels and insures the accuracy of all boat registration documents and fees through follow-up contact with applicants.

The Handicapped Driver Training Section provides driver training and determines special equipment requirements for physically handicapped individuals who wish to obtain a Connecticut driver's license.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Revenue Collections by Branches for DMV and Other Agencies (\$000)	182,163	182,163	182,163	182,163
Transactions Processed by Branches for DMV and Other Agencies (000)	1,946	1,946	1,946	1,946
Telephone Inquires Answered Phone Center per month (000)	78	78	78	78
Drivers Tested for CT Licenses (000)	158	158	158	158
Motor Vehicle Inspections (000)	6	6	6	6
Mail Registration Renewals Processed within 7 Working Days (%)	90	90	90	90
Registration Renewals Processed by Mail (%)	75	75	75	75
Average Time to Process 2nd Year Passenger Registration	10	10	10	10
Average Response Time to Written Requests for Information from Registry Records Units/day	4	4	4	4
Copy Records Requested	64,782	64,782	64,782	64,782
Drivers Failing Drivers Test (%)	14	14	14	14
Customer Satisfaction Rating (%)	88	88	88	88
Average Telephone Queue Time (Min)	5	5	5	5
Percent of Customers Waiting More than 20 Minutes (%)	25	25	25	25
Registration Renewals processed through the Internet	96,879	96,879	96,879	96,879
Teen Drivers Licenses Issued (16 & 17 yr olds)	28,705	28,705	28,705	28,705

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Special Transportation Fund	316	20	0	336	336	322	336	322
Special Funds, Non-Appropriated	3	0	0	3	3	3	3	3

<b>Other Positions Equated to Full Time</b>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund	79	79	79	79	79	79

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	21,420,344	22,438,668	23,715,977	23,715,132	23,524,215	23,993,221	23,992,378	23,810,185
Other Expenses	4,782,219	5,241,754	5,997,131	5,653,082	5,306,486	6,078,063	5,652,988	5,304,413
<b>Capital Outlay</b>								
Equipment	201,950	132,418	161,000	144,907	78,447	277,000	246,193	146,551

**Budget-in-Detail**

Other Current Expenses

Real Time Online Registration	1,130	0	0	0	0	0	0	0
Insurance Enforcement	597,456	615,834	645,600	631,987	0	664,968	642,317	0
Insurance Recovery	7,524	0	0	0	0	0	0	0
Vision Screening Program	0	0	1,008,396	744,990	0	933,816	671,050	0
Driver Surcharge Program	0	0	0	0	250,000	0	0	250,000
<b>TOTAL-Special Transportation Fund</b>	<b>27,010,623</b>	<b>28,428,674</b>	<b>31,528,104</b>	<b>30,890,098</b>	<b>29,159,148</b>	<b>31,947,068</b>	<b>31,204,926</b>	<b>29,511,149</b>

Additional Funds Available

Special Funds, Non-Appropriated	588,880	613,813	627,038	627,038	627,038	639,055	639,055	639,055
<b>TOTAL - All Funds</b>	<b>27,599,503</b>	<b>29,042,487</b>	<b>32,155,142</b>	<b>31,517,136</b>	<b>29,786,186</b>	<b>32,586,123</b>	<b>31,843,981</b>	<b>30,150,204</b>

**Customer Services**

**AUTO EMISSIONS INSPECTION**

**Statutory Reference**

C.G.S. Section 14-164c

**Statement of Need and Program Objectives**

To improve Connecticut's air quality and avoid federal financial penalties for non-compliance by reducing levels of carbon monoxide and hydrocarbons emitted by gasoline powered motor vehicles registered in Connecticut through an annual and biennial inspection program.

**Program Description**

DMV contracts with a private vendor to perform emissions inspections. A contractor provides a decentralized network of service stations utilizing licensed dealers and repairers to conduct inspections.

DMV developed inspection requirements and standards in conjunction with the Department of Environmental Protection, taking into account federal standards.

DMV personnel perform the following functions: monitor operations to assure compliance with contract standards for equipment accuracy, public awareness and operational efficiency; check the auto repair industry for effectiveness in making emissions-related repairs; issue inspection licenses to owners of fleets that exceed 24 vehicles; inspect the facilities, equipment and records at least once each month, ensuring that each fleet inspection station is properly staffed and operated and that equipment accuracy meets program requirements. Fleet inspections are not included in the general vendor contract.

Inspection staff investigates and resolves complaints from the public about emissions-related repairs. They also analyze data gathered and work in conjunction with DMV staff to monitor the auto repair industry.

Data processing staff collects and edits the contractor's test records to verify accuracy and completeness. These records are shared with the Department of Environmental Protection, which measures program effectiveness in improving air quality.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Vehicles Inspected (000)	996	996	996	996
Vehicles Failed Initial Inspection (%)	7	7	7	7
Vehicles Failed Reinspection (%)	17	17	17	17
Annual Pollutant Reduction Since 1/1/83 (tons) (000)	166	166	166	166

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Auto Emissions	75	7	-19	63	63	63	63	63

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Auto Emissions	0	10	10	10	10	10

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<u>Other Current Expenses</u>								
Real Time Online Registration	21,000	0	0	0	0	0	0	0
TOTAL-Special Transportation Fund	21,000	0	0	0	0	0	0	0
<u>Additional Funds Available</u>								
Auto Emissions	6,500,000	5,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000
TOTAL - All Funds	6,521,000	5,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000
<b>Auto Emissions Inspection</b>								

## REGULATION OF MOTOR VEHICLES AND THEIR USE

### **Statutory Reference**

C.G.S. Sections 14-12-12c, 14-111, 14-113-133, 14-180, 14-180a and 38-327

### **Statement of Need and Program Objectives**

To reduce the potential for future damage from motor vehicle accidents by enforcing administrative sanctions against inadequately insured or incompetent drivers. To protect the financial and safety interest of consumers through the licensing and monitoring of the commercial sale, repair and disposal of motor vehicles and by ensuring that licensees' facilities are safe, properly equipped and staffed by qualified and competent personnel. To reduce the possibility of theft by conducting inspections at motor vehicle auctions. To insure that the race vehicles and track facilities at motor vehicle race tracks are in compliance with state statutes and permit restrictions. To improve highway safety in Connecticut by inspecting selected classes of motor vehicles. To check commercial truck safety at weighing stations and on the highways as part of the Motor Carrier Safety Assistance Program (MCSAP). To suppress theft and illegal resale and record security interest of motor vehicles by issuing certificates of title which are recognized nationwide as proof of ownership.

### **Program Description**

The Driver Services Division assists the courts in processing motor vehicle-related arrest and conviction data and maintains an updated driver history file. Upon receipt of referrals for license and registration suspensions from units within the Department or from the courts, staff process suspension notices, establish and maintain suspension files and distribute notices to suspended individuals or companies and enforcement agencies. Staff refers individuals to driver improvement courses and formal hearings, when necessary.

The Document Integrity Unit establishes standards for licensing credentials issued by the agency. The unit also audits license credentials and files to ensure their security

and integrity using sophisticated facial recognition technology and other tools and controls and issues special plates (such as legislative, municipal, state agency, vanity and replacement), confidential registrations and operator licenses.

The Public Endorsement Review Unit reviews the applications and credentials submitted by candidates seeking to drive school busses, taxis and other public transportation vehicles.

The Insurance Compliance Unit notifies and takes action against registrants who fail to maintain insurance coverage.

The Motor Vehicle Businesses Division licenses a broad range of commercial activities that impact the motoring public. Activities include: licensing motor vehicle manufacturers, new dealerships, used dealerships, general repairers, limited repairers, junkyards and wreckers; inspecting licenses for compliance with laws and regulations relating to the conduct of business, with emphasis on identifying misuse of dealer, repairer and transporter plates, and odometer tampering; unsafe physical conditions and junk yard violations; investigating and resolving consumer complaints using a variety of techniques; reviewing and verifying reports of vehicles received and dismantled by junkyards in order to locate stolen vehicles and components; and licensing and inspecting commercial driving schools.

The Commercial Vehicle Safety Division inspects commercial vehicles at weigh/inspection stations as well as at roadside locations throughout the state. The inspection of school buses, vehicles transporting hazardous materials, motor coaches, public service and commercial vehicles ensure the safe mechanical operating condition of these vehicles.

The Title Unit's activities involve the control of private and commercial vehicle ownership establishment and transfer, which includes examining prior ownership documents for accuracy and authenticity, checking against state and national stolen vehicle records, recording motor vehicle security interests and producing the actual title documents. The division is also responsible for verifying odometer readings filed by title applicants to detect possible odometer fraud.

Budget-in-Detail

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Restoration Fees Collected (\$000)	5,249	5,249	5,249	5,249
Telephone and In-Person Client Inquires about Suspensions and Accidents (000)	195	195	195	195
Suspended Operators Convicted for Driving While Suspended (% Operators)	2	2	2	2
Dealer License Fees Collected (\$000)	1,498	1,498	1,498	1,498
Dealer License Inspections	285	285	285	285
Consumer Complaints Received	3,132	3,132	3,132	3,132
Average Days to Resolve 95% of Complaints	148	148	148	148
Titles Issued (000)	693	693	693	693
Stolen Vehicles Detected Thru Titling Process	106	106	106	106
Percent of Suspension Actions Rescinded	43	43	43	43
Percent of Registered Vehicles in Compliance with Financial Responsibility Laws	90	90	90	90
Number of Commercial Vehicles Inspected at Weigh Stations	10,762	10,762	10,762	10,762
Percent of Commercial Vehicles Inspected Issued Violations (%)	43	43	43	43

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Special Transportation Fund	153	13	0	166	166	173	166	173
Federal Contributions	16	8	0	24	24	24	24	24

*Other Positions Equated to Full Time*

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Special Transportation Fund	2	2	2	2	2	2

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	10,313,340	10,818,792	11,434,647	11,434,240	11,342,189	11,688,794	11,688,383	11,599,625
Other Expenses	823,398	733,724	839,459	791,300	742,785	848,924	789,554	740,868

Capital Outlay

Equipment	441,761	325,728	396,035	356,446	192,968	89,370	79,431	47,282
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Other Current Expenses

Real Time Online Registration	1,707	0	0	0	0	0	0	0
Commercial Veh Info Sys & Networks Project	232,034	172,306	181,375	181,375	172,306	181,375	181,376	172,307
Insurance Recovery	998	0	0	0	0	0	0	0
Vision Screening Program	0	0	656,368	484,916	0	658,388	473,124	0
<b>TOTAL-Special Transportation Fund</b>	<b>11,813,238</b>	<b>12,050,550</b>	<b>13,507,884</b>	<b>13,248,277</b>	<b>12,450,248</b>	<b>13,466,851</b>	<b>13,211,868</b>	<b>12,560,082</b>

Additional Funds Available

**Federal Contributions**

20218 National Motor Carrier Safety	2,155,105	2,620,448	1,489,198	1,489,198	1,489,198	1,489,198	1,489,198	1,489,198
<b>TOTAL - All Funds</b>	<b>13,968,343</b>	<b>14,670,998</b>	<b>14,997,082</b>	<b>14,737,475</b>	<b>13,939,446</b>	<b>14,956,049</b>	<b>14,701,066</b>	<b>14,049,280</b>

**Regulation of Motor Vehicles & Their Use**

## SUPPORT SERVICES

### Statutory Reference

C.G.S. SECTIONS 14-12, 14-36 AND 14-36A

### Statement of Need and Program Objectives

To provide fiscal and logistic support to all agency operations. To enhance the Department's effectiveness by using computers to upgrade the accessibility and integrity of information gathered and used. To protect the state's financial investment in its facilities through proper maintenance and upkeep of buildings and grounds. To support both mail and in-person transactions by supplying appropriate forms and materials and verifying the accuracy of records. To ensure a clean, safe and healthy environment for customers and staff.

### Program Description

The Fiscal Services Division prepares the annual agency budget request, administers the agency budget, processes purchase requests and maintains accounting records. This division also collects fees for copies of documents, makes bank deposits, creates proper accounting records and reconciles imbalances.

The Human Resources Division recruits appropriate personnel, administers the Merit Promotional System, represents the state in collective bargaining negotiations and labor grievances, interprets and administers collective bargaining agreements, processes employee payrolls and assists employees in gaining admittance to training and counseling programs.

The Information Systems and Technology Division is responsible for processing data required to support the Department's programs, generates appropriate reports and documents required by programs and by other state and federal agencies and designs and implements new systems and system changes.

The Support Services Division provides mail, supply, printing, microfilming services, data entry and error correction for all DMV facilities. In addition, it performs financial audits to ensure compliance with established fiscal practices and procedures and carries out audits to ensure that revenues are properly assessed, collected and credited. The division also coordinates grants and contract management activities and oversees data access functions. Finally, the division provides for preventative maintenance, general upkeep and renovations of all DMV facilities.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Revenue for Sale of Commercial Information (\$000)	27,921	27,921	27,921	27,921
Hours Auditing Revenue, Assets, Money Flow	8,741	8,741	8,741	8,741
Electronically Stored Records Maintained (M)	342	342	342	342
Electronically Based Transactions Processed (M)	22	22	22	22

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
Special Transportation Fund	110	3	0	113	113	106	113	106

Other Positions Equated to Full Time	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Special Transportation Fund	12	12	12	12	12	12

### Financial Summary

(Net of Reimbursements)	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	8,035,492	8,192,607	8,658,967	8,658,658	8,588,952	8,772,046	8,771,738	8,705,128
Other Expenses	10,334,865	9,169,528	10,490,926	9,889,074	9,282,764	10,635,891	9,892,060	9,282,095

### Capital Outlay

Equipment	28,727	454,337	552,405	497,185	269,159	740,682	658,308	391,868
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### Other Current Expenses

Real Time Online Registration	864,400	0	0	0	0	0	0	0
Insurance Enforcement	10,778	10,962	11,492	11,250	0	11,836	11,433	0
Commercial Veh Info Sys & Networks Project	130,000	96,544	101,625	101,625	96,544	101,625	101,624	96,543

## Budget-in-Detail

Insurance Recovery	1,478	0	0	0	0	0	0	0
TOTAL-Special Transportation Fund	19,405,740	17,923,978	19,815,415	19,157,792	18,237,419	20,262,080	19,435,163	18,475,634
<u>Additional Funds Available</u>								
Special Funds, Non-Appropriated	3,506	0	0	0	0	0	0	0
Bond Funds	3,400,817	18,852,652	0	0	0	0	0	0
TOTAL - All Funds	22,810,063	36,776,630	19,815,415	19,157,792	18,237,419	20,262,080	19,435,163	18,475,634

## Support Services

## AGENCY FINANCIAL SUMMARY - SPECIAL TRANSPORTATION FUND

### Current Expenses by Minor Object

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	36,207,633	37,772,654	40,563,856	40,185,578	41,209,461	40,847,514
Other Positions	4,710,050	4,950,262	4,825,773	4,825,773	4,861,133	4,861,133
Other	1,232,724	806,619	637,563	637,563	598,821	598,821
Overtime	810,609	733,901	755,918	755,918	776,595	776,595
TOTAL-Personal Services Gross	42,961,016	44,263,436	46,783,110	46,404,832	47,446,010	47,084,063
Less Reimbursements						
Less Turnover	0	0	-403,862	-1,000,000	-403,862	-1,000,000
TOTAL-Personal Services Net	42,961,016	44,263,436	46,379,248	45,404,832	47,042,148	46,084,063

### Other Expenses-Contractual Services

Dues and Subscriptions	38,558	36,591	39,326	36,440	39,877	36,426
Utility Services	620,398	588,747	656,491	601,336	662,530	601,113
Rentals, Storage and Leasing	1,082,921	1,300,721	1,578,382	1,318,739	1,600,479	1,318,247
Telecommunication Services	1,236,057	1,173,075	1,328,763	1,235,391	1,347,364	1,234,947
General Repairs	1,036,193	983,328	1,099,700	1,032,404	1,115,094	1,032,032
Motor Vehicle Expenses	399,164	378,800	407,111	303,597	412,811	303,454
Fees for Outside Professional Services	25,857	24,537	26,516	24,693	27,035	24,682
Fees for Non-Professional Services	1,817,749	1,569,805	2,335,570	2,228,096	2,368,267	2,227,502
DP Services, Rentals and Maintenance	3,185,421	2,902,752	3,119,693	2,320,442	3,163,369	2,319,342
Postage	2,095,032	1,991,880	2,140,745	2,004,049	2,170,715	2,003,295
Travel	58,665	55,671	59,833	48,134	60,671	48,114
Other Contractual Services	280,675	266,356	286,263	268,033	290,270	267,933
Advertising	5,163	4,900	5,266	4,931	5,339	4,929
Printing & Binding	84,004	79,718	85,676	80,220	86,876	80,190

### Other Expenses-Commodities

Books	13,918	13,208	14,196	13,291	14,395	13,286
Clothing and Personal Supplies	51,681	49,045	52,710	49,354	53,448	49,335
Maintenance and Motor Vehicle Supplies	328,667	311,900	334,989	313,866	336,521	313,746
Medical Supplies	3,725	3,535	3,918	3,557	4,094	3,556
Fuel	134,631	127,763	140,673	128,567	141,939	128,519
Office Supplies	1,444,383	1,370,726	1,575,152	1,397,000	1,597,201	1,396,482
Refunds of Expenditures Not Otherwise Classified	2,115,581	2,007,647	2,157,692	2,020,297	2,187,900	2,019,537

Other Expenses-Sundry

Sundry - Other Items	135,422	128,514	135,375	126,580	135,442	126,532
TOTAL-Other Expenses Gross	16,193,865	15,369,219	17,584,040	15,559,017	17,821,637	15,553,199
Less Reimbursements						
TOTAL-Other Expenses Net	16,193,865	15,369,219	17,584,040	15,559,017	17,821,637	15,553,199

Other Current Expenses

Real Time Online Registration	945,029	0	0	0	0	0
Insurance Enforcement	608,234	626,796	657,092	0	676,804	0
Commercial Veh Info Sys & Networks Project	362,034	268,850	283,000	268,850	283,000	268,850
Insurance Recovery	10,000	0	0	0	0	0
Vision Screening Program	0	0	2,118,671	0	2,057,757	0
Driver Surcharge Program	0	0	0	250,000	0	250,000
TOTAL-Other Current Expenses	1,925,297	895,646	3,058,763	518,850	3,017,561	518,850

**Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	42,961,016	44,263,436	46,379,248	45,781,443	45,404,832	47,042,148	46,444,343	46,084,063
Other Expenses Net	16,193,865	15,369,219	17,584,040	16,575,264	15,559,017	17,821,637	16,575,264	15,553,199
Capital Outlay	732,265	917,829	1,115,940	1,004,388	543,741	1,108,852	985,532	586,653
Other Current Expenses	1,925,297	895,646	3,058,763	2,491,484	518,850	3,017,561	2,415,475	518,850
TOTAL-Special Transportation Fund Net	61,812,443	61,446,130	68,137,991	65,852,579	62,026,440	68,990,198	66,420,614	62,742,765

Additional Funds Available

Federal and Other Activities	2,155,105	2,620,448	1,489,198	1,489,198	1,489,198	1,489,198	1,489,198	1,489,198
Auto Emissions	6,500,000	5,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000	6,500,000
Special Funds, Non-Appropriated	592,386	613,813	627,038	627,038	627,038	639,055	639,055	639,055
Bond Funds	3,400,817	18,852,652	0	0	0	0	0	0
TOTAL-All Funds Net	74,460,751	89,033,043	76,754,227	74,468,815	70,642,676	77,618,451	75,048,867	71,371,018

# MILITARY DEPARTMENT

## AGENCY DESCRIPTION

The Military Department consists of the Connecticut Army National Guard, Air National Guard and the State Militia. The department is an emergency response force available to the Governor as needed.

The agency has both a state and federal mission. The state mission is to provide trained, disciplined and ready forces for domestic emergencies or as otherwise required by law. The federal mission is to maintain properly trained and equipped units available for prompt mobilization for war or national emergencies.

Collectively, the Connecticut Army and Air National Guards and the organized Militia augment federal, state and local authorities in the event of emergencies; provide emergency management planning, funding and training assistance to communities and conducts community service programs.

More than 90% of the department's resources are provided by the federal government. The state's monetary contribution to the organization is less than 10% and is required in order to obtain the federal funding under the master cooperative agreement between the state and the Department of Defense's National Guard Bureau.

## AGENCY PROGRAM INDEX

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## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• OE/OCE General Reductions <i>25% reduction to cellular communication services and out of state travel; 20% to motor vehicle rentals, supplies, fuels and food and beverage; 10% to in-state travel.</i>	-20,948	-20,948
• Transfer Equipment to CEPF	-339,800	-301,100
• Reduce Funding for Militia Annual Training <i>Militia is comprised of the Governor's First and Second Foot Guards and the First and Second Horse Guards.</i>	-108,147	-108,147
• Remove Remaining Operating Costs for the Bristol Armory <i>The agency has begun the surplus property process through the Assets Management Unit of the Office of Policy and Management.</i>	0	-79,979
• Remove Remaining Operating Costs for the Putnam Armory <i>The agency has begun the surplus property process through the Assets Management Unit of the Office of Policy and Management.</i>	0	-30,679
• Adjust Funding Related to the Governor's Horse Guard <i>Approximately \$150,500 remains in Other Expenses for animal care.</i>	-16,727	-16,727
• Remove or Limit Inflation	-97,607	-252,169
<b>Within Current Services</b>		
• Remove Lead Contamination at the Hartford Armory	106,000	-106,000

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	49	1	1	51	51	51	51	51
Federal Contributions	61	0	1	62	62	62	62	62
Other Positions Equated to Full Time								
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			0	3	4	0	4	0
Federal Contributions			6	6	6	6	6	6

<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Facilities Management	16,277,775	17,902,838	19,838,136	19,197,414	18,785,301	21,210,873	20,035,103	19,563,092
Operation of Militia Units	902,742	886,807	1,252,120	1,064,592	1,046,014	1,286,161	1,012,318	969,436
Management Services	2,927,478	2,616,687	2,955,230	2,702,789	2,647,858	3,035,167	2,720,740	2,678,053
TOTAL Agency Programs - All Funds Gross	20,107,995	21,406,332	24,045,486	22,964,795	22,479,173	25,532,201	23,768,161	23,210,581
Less Turnover	0	0	-9,412	-9,412	-9,412	-2,066	-2,066	-2,066
TOTAL Agency Programs - All Funds Net	20,107,995	21,406,332	24,036,074	22,955,383	22,469,761	25,530,135	23,766,095	23,208,515
<b>Summary of Funding</b>								
General Fund Net	7,498,961	7,275,821	9,040,282	7,959,591	7,473,969	9,624,829	7,860,789	7,303,209
Federal and Other Activities	12,129,010	13,875,903	14,596,171	14,596,171	14,596,171	15,377,144	15,377,144	15,377,144
Bond Funds	418,609	153,350	284,800	284,800	284,800	399,600	399,600	399,600
Private Funds	61,415	101,258	114,821	114,821	114,821	128,562	128,562	128,562
TOTAL Agency Programs - All Funds Net	20,107,995	21,406,332	24,036,074	22,955,383	22,469,761	25,530,135	23,766,095	23,208,515

## FACILITIES MANAGEMENT

### Statutory Reference

C. G. S. Title 27

### Statement of Need and Program Objectives

To ensure that the members of the Connecticut National Guard and the state militia units have a safe, efficient and secure environment in which to work, train and conduct emergency operations. To furnish to the general public well-maintained facilities for shelters during emergencies.

### Program Description

The department maintains 42 facilities throughout the state, which include 20 readiness centers/armories, 10 maintenance shops, 2 Army aviation support facilities, 4 training site facilities, 2 horse guard facilities, 2 militia sites and 2 Air National Guard bases.

The facilities management staff prepares specifications for contracts with outside vendors for minor repair projects; renders emergency assistance to the facilities on a 24 hour, 7 day-a-week basis; and provides custodial and maintenance services for all facilities to ensure the facilities meet the requirements of the Connecticut Army and Air National Guard.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Facilities Operating Cost				
Total Cost	15,946,052	16,743,355	16,246,231	16,677,245
Federally Reimbursed Cost	11,749,162	12,336,621	12,953,452	13,601,124
State Cost	4,196,890	4,406,734	3,292,779	3,076,121
Total Cost per Sq.Ft.	5.32	5.58	5.41	5.558
Federally Reimbursed Cost	3.92	4.11	4.313	4.533
State Cost	1.4	1.47	1.097	1.025
Youth Educational Programs				
Starbase - Youth Educated	1,550	1,550	1,600	1,600

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	28	1	1	30	30	30	30	30
Federal Contributions	61	0	1	62	62	62	62	62

## Budget-in-Detail

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	0	3	4	0	4	0
Federal Contributions	6	6	6	6	6	6

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,435,658	1,579,572	1,660,964	1,600,672	1,552,762	1,715,484	1,619,778	1,571,904
Other Expenses	2,761,344	2,762,979	3,393,104	2,872,374	2,847,971	3,916,207	2,858,443	2,735,406

### Capital Outlay

Equipment	1,000	0	399,600	339,900	100	323,500	301,200	100
<b>TOTAL-General Fund</b>	<b>4,198,002</b>	<b>4,342,551</b>	<b>5,453,668</b>	<b>4,812,946</b>	<b>4,400,833</b>	<b>5,955,191</b>	<b>4,779,421</b>	<b>4,307,410</b>

### Additional Funds Available

Bond Funds	405,354	143,350	274,800	274,800	274,800	394,600	394,600	394,600
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### **Federal Contributions**

12400 Military Construction, National Guard	1,541,416	1,417,772	1,499,801	1,499,801	1,499,801	1,586,600	1,586,600	1,586,600
12401 National Guard Military Operations and Maintenance	9,108,628	11,066,014	11,642,378	11,642,378	11,642,378	12,259,138	12,259,138	12,259,138
12404 National Guard Civilian Youth Opportunities	208,754	234,177	233,827	233,827	233,827	245,457	245,457	245,457
66701 Toxic Substances Compliance Monitoring	815,621	698,974	733,662	733,662	733,662	769,887	769,887	769,887
<b>TOTAL - All Funds</b>	<b>16,277,775</b>	<b>17,902,838</b>	<b>19,838,136</b>	<b>19,197,414</b>	<b>18,785,301</b>	<b>21,210,873</b>	<b>20,035,103</b>	<b>19,563,092</b>

### **Facilities Management**

## OPERATION OF MILITIA UNITS

### *Statutory Reference*

C. G. S. Title 27

### *Statement of Need and Program Objectives*

To respond to emergency situations upon the order of the Governor. To bestow honor on deceased veterans of Connecticut by providing military honor squads at funerals and ceremonies. To preserve and display the military historical traditions of the state. To increase the overall effectiveness of the military units.

### *Program Description*

This program encompasses several services connected with the operations of the Connecticut National Guard and state militia units. When ordered by the Governor, 5,000 Connecticut National Guard members are operationally ready to respond to emergency situations that threaten the lives and/or property of state residents. Members of the Connecticut National Guard and militia units provide military honor squads at funerals of wartime veterans.

The state organized militia, comprised of the Governor's First and Second Company Foot Guards and First and Second Company Horse Guards, have an approximate combined

strength of 204 individuals. These units perform at official functions attended by the Governor and at various historical and military celebrations throughout the state. These units are also trained to respond to state civil emergencies or natural disasters.

National Guard members provide a variety of programs to the state's youth to promote good citizenship and to help educate them about the dangers of drug usage.

The Air National Guard "STARBASE" program provides real world applications of math and science through experiential learning in aviation and space-related field for students in grades K-12.

The militia also supports the Connecticut National Guard's Quick Reaction Force (QRF) composed of approximately 600 soldiers ready to deploy. In the aftermath of 9/11, QRF soldiers have deployed to airports, bridges, nuclear power plants, fuel tank farms, and most recently guarding the rail platforms on the Metro North line into New York City. The QRF is capable of providing assistance to local, state and federal authorities in support of natural disasters, terrorist attacks, or other emergency operations. The QRF core assets come from infantry, military police, air guard security forces, medical, transportation and aviation personnel.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Honor Guards				
Funeral Honors Performed	3,569	3,569	3,569	3,569
Paid Duty Days	9,397	9,397	9,397	9,397
Militia Duty	2,100	2,100	2,100	2,100
Emergency Duty	1,480	1,480	1,480	1,480
Educational Programs				
Youth Educated	4,076	4,076	4,076	4,076
Adults Educated	1,103	1,103	1,103	1,103

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	134,188	214,093	294,147	283,470	274,985	322,175	304,201	280,148
Other Expenses	272,843	281,956	458,952	386,801	376,708	426,424	310,055	291,226
<u>Other Current Expenses</u>								
Honor Guard	371,500	319,500	424,200	319,500	319,500	459,000	319,500	319,500
TOTAL-General Fund	778,531	815,549	1,177,299	989,771	971,193	1,207,599	933,756	890,874
<u>Additional Funds Available</u>								
Private Funds	49,465	71,258	74,821	74,821	74,821	78,562	78,562	78,562
<b>Federal Contributions</b>								
12401 National Guard Military Operations and Maintenance	74,746	0	0	0	0	0	0	0
TOTAL - All Funds	902,742	886,807	1,252,120	1,064,592	1,046,014	1,286,161	1,012,318	969,436
<b>Operation of Militia Units</b>								

## MANAGEMENT SERVICES

### Statutory Reference

C. G. S. Title 27

### Statement of Need and Program Objectives

To improve the effectiveness and performance of the department through staff support in the areas of policy formulation, development and control of the budget, personnel, payroll, federal grant and cooperative agreement administration and records management.

### Program Description

Management services encompass the Office of the Adjutant General, Administrative Services and Historical Records.

The Adjutant General's Office provides leadership through the development of policy, the issuance of regulations and operational monitoring to insure the established standards set

are attained and maintained. The Office also coordinates activities with the National Guard Bureau.

The Administrative Services Office is responsible for processing all financial transactions and preparing and monitoring the department's budget, as well as implementing personnel standards, preparing payrolls and maintaining state employee personnel records. It also purchases supplies, services, materials, equipment and issues contracts for repair, modernization and new construction of the department's facilities.

The Historical Records Office is responsible for maintaining approximately 300,000 military personnel records of those separated, discharged, or retired from the Connecticut National Guard and militia. It responds to public inquiries regarding veterans. It manages the state funeral honors program and maintains a state employee personnel records database of over 1,500 personnel who are qualified to perform those honors.

Budget-in-Detail

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Veterans' Service Bonuses	796,700	250,000	306,000	306,000

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	21	0	0	21	21	21	21	21

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,592,189	1,729,725	1,794,179	1,738,462	1,686,710	1,837,632	1,737,177	1,700,957
Other Expenses	133,539	137,996	144,548	121,824	118,645	146,473	106,501	100,034
<u>Other Current Expenses</u>								
Veterans' Service Bonuses	796,700	250,000	480,000	306,000	306,000	480,000	306,000	306,000
<b>TOTAL-General Fund</b>	<b>2,522,428</b>	<b>2,117,721</b>	<b>2,418,727</b>	<b>2,166,286</b>	<b>2,111,355</b>	<b>2,464,105</b>	<b>2,149,678</b>	<b>2,106,991</b>

Additional Funds Available

Bond Funds	13,255	10,000	10,000	10,000	10,000	5,000	5,000	5,000
Private Funds	11,950	30,000	40,000	40,000	40,000	50,000	50,000	50,000

**Federal Contributions**

12401 National Guard Military Operations and Maintenance	353,624	427,117	452,742	452,742	452,742	480,276	480,276	480,276
12404 National Guard Civilian Youth Opportunities	4,920	5,823	6,173	6,173	6,173	6,543	6,543	6,543
66701 Toxic Substances Compliance Monitoring	21,301	26,026	27,588	27,588	27,588	29,243	29,243	29,243
<b>TOTAL - All Funds</b>	<b>2,927,478</b>	<b>2,616,687</b>	<b>2,955,230</b>	<b>2,702,789</b>	<b>2,647,858</b>	<b>3,035,167</b>	<b>2,720,740</b>	<b>2,678,053</b>

**Management Services**

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

**Current Expenses by Minor Object**

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	2,792,854	3,023,568	3,050,992	3,067,978	3,189,633	3,109,172
Other Positions	181,153	260,554	349,433	214,906	377,461	212,264
Other	80,848	89,433	187,053	69,761	133,330	69,761
Overtime	107,180	149,835	161,812	161,812	174,867	161,812
<b>TOTAL-Personal Services Gross</b>	<b>3,162,035</b>	<b>3,523,390</b>	<b>3,749,290</b>	<b>3,514,457</b>	<b>3,875,291</b>	<b>3,553,009</b>
Less Reimbursements						
Less Turnover	0	0	-9,412	-9,412	-2,066	-2,066
<b>TOTAL-Personal Services Net</b>	<b>3,162,035</b>	<b>3,523,390</b>	<b>3,739,878</b>	<b>3,505,045</b>	<b>3,873,225</b>	<b>3,550,943</b>

Other Expenses-Contractual Services

Utility Services	1,076,154	1,032,222	1,335,380	1,122,828	1,459,972	1,122,828
Rentals, Storage and Leasing	12,416	12,830	13,099	12,830	18,559	12,830
Telecommunication Services	29,216	30,192	34,501	30,192	34,984	30,192
General Repairs	726,962	751,246	869,712	753,964	1,136,277	567,430

Motor Vehicle Expenses	28,553	29,507	32,680	29,507	33,137	29,507
Fees for Outside Professional Services	95,611	98,801	219,676	127,787	139,767	112,725
Fees for Non-Professional Services	279,710	289,053	377,153	289,053	420,685	273,991
DP Services, Rentals and Maintenance	22,662	23,418	23,910	23,418	24,244	23,418
Postage	7,827	8,088	9,926	8,088	10,066	8,088
Travel	31,949	33,018	33,711	33,018	34,182	33,018
Other Contractual Services	129,580	133,908	164,758	151,245	203,934	151,245
Printing & Binding	715	739	755	739	2,690	739
<u>Other Expenses-Commodities</u>						
Agriculture, Horticulture, Dairy & Food	92,380	95,465	127,067	114,749	128,848	114,749
Books	176	182	186	182	188	182
Clothing and Personal Supplies	27,688	28,614	78,080	28,614	40,222	28,614
Maintenance and Motor Vehicle Supplies	232,297	240,059	256,241	240,059	258,924	240,059
Fuel	309,212	325,336	359,505	325,336	478,192	325,336
Office Supplies	53,054	54,826	55,977	54,826	56,761	54,826
Refunds of Expenditures Not Otherwise Classified	6,797	7,024	13,297	7,024	16,482	7,024
Highway Supplies	3	3	3	3	3	3
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	4,764	4,924	6,049	4,924	6,049	4,924
TOTAL-Other Expenses Gross	3,167,726	3,199,455	4,011,666	3,358,386	4,504,166	3,141,728
Less Reimbursements	0	-16,524	-15,062	-15,062	-15,062	-15,062
TOTAL-Other Expenses Net	3,167,726	3,182,931	3,996,604	3,343,324	4,489,104	3,126,666
<u>Other Current Expenses</u>						
Honor Guard	371,500	319,500	424,200	319,500	459,000	319,500
Veterans' Service Bonuses	796,700	250,000	480,000	306,000	480,000	306,000
TOTAL-Other Current Expenses	1,168,200	569,500	904,200	625,500	939,000	625,500

<b>Character &amp; Major Object Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	3,162,035	3,523,390	3,739,878	3,613,192	3,505,045	3,873,225	3,659,090	3,550,943
Other Expenses Net	3,167,726	3,182,931	3,996,604	3,380,999	3,343,324	4,489,104	3,274,999	3,126,666
Capital Outlay	1,000	0	399,600	339,900	100	323,500	301,200	100
Other Current Expenses	1,168,200	569,500	904,200	625,500	625,500	939,000	625,500	625,500
TOTAL-General Fund Net	7,498,961	7,275,821	9,040,282	7,959,591	7,473,969	9,624,829	7,860,789	7,303,209
<u>Additional Funds Available</u>								
Federal and Other Activities	12,129,010	13,875,903	14,596,171	14,596,171	14,596,171	15,377,144	15,377,144	15,377,144
Bond Funds	418,609	153,350	284,800	284,800	284,800	399,600	399,600	399,600
Private Funds	61,415	101,258	114,821	114,821	114,821	128,562	128,562	128,562
TOTAL-All Funds Net	20,107,995	21,406,332	24,036,074	22,955,383	22,469,761	25,530,135	23,766,095	23,208,515

# COMMISSION ON FIRE PREVENTION AND CONTROL

## AGENCY DESCRIPTION

The Commission on Fire Prevention and Control trains and certifies fire service personnel and provides information/assistance to the fire protection community and to the citizens of the state with the goal of reducing death, injury and property damage due to fire and other emergencies. The Commission is comprised of 14 members of whom 12 are appointed by the Governor representing the statewide fire service organizations.

## RECOMMENDED SIGNIFICANT CHANGES

<i>Reductions to Current Services</i>	<u>2009-2010</u>	<u>2010-2011</u>
• Rollout FY2009 Rescissions <i>Continuation of reductions to the following accounts: Firefighter Training 1, Payments to Volunteer Fire Companies and Fire Training Schools in Willimantic, Torrington, New Haven, Derby, Wolcott, Fairfield, Hartford, Middletown and Stamford.</i>	-85,965	-85,965
• OE/OCE General Reductions <i>25% reduction to cellular communication and beeper/pager services; 20% reduction to motor vehicle rentals, supplies, fuels and food and beverage; 10% reduction to subscriptions.</i>	-9,946	-9,946
• Transfer Equipment to CEPF	-428,941	-502,841
• Suspend Funding for Firefighter Training 1 <i>Funding was provided in FY2008 by the legislature to reimburse municipalities and municipal fire companies for one half the cost of Firefighter 1 certification and recruit training. More local assistance will be required.</i>	-555,250	-555,250
• Reduce Funding for Payments to Volunteer Fire Companies <i>The Supplemental Grant Award Program provides annual payments of \$1,200, within available funds per CGS Section 7-323r, to eligible volunteer fire companies statewide.</i>	-100,000	-100,000
• Remove or Limit Inflation	-42,385	-65,928
<b><i>Reallocations or Transfers</i></b>		
• Combine Accounts for the Fire Training School - Stamford	0	0

## AGENCY PROGRAMS

<b><i>Personnel Summary</i></b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	18	0	0	18	18	18	18	18
<b><i>Agency Programs by Total Funds (Net of Reimbursements)</i></b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Fire Prevention and Control Training								
Agency Management Services	1,265,437	1,430,402	936,487	0	0	936,487	0	0
Fire Prevention and Control Training	5,648,095	5,944,305	6,518,024	6,000,602	4,820,500	6,678,540	6,132,861	4,878,859
<b>TOTAL Agency Programs - All Funds Gross</b>	<b>6,913,532</b>	<b>7,374,707</b>	<b>7,454,511</b>	<b>6,000,602</b>	<b>4,820,500</b>	<b>7,615,027</b>	<b>6,132,861</b>	<b>4,878,859</b>
Less Turnover								
<b>TOTAL Agency Programs - All Funds Net</b>	<b>6,913,532</b>	<b>7,374,707</b>	<b>7,454,511</b>	<b>6,000,602</b>	<b>4,820,500</b>	<b>7,615,027</b>	<b>6,132,861</b>	<b>4,878,859</b>
<b><i>Summary of Funding</i></b>								
General Fund Net	3,786,690	3,977,985	5,045,619	4,528,197	3,348,095	5,206,135	4,660,456	3,406,454
Federal and Other Activities	60,050	0	0	0	0	0	0	0
Bond Funds	657,900	987,830	0	0	0	0	0	0
Private Funds	2,408,892	2,408,892	2,408,892	1,472,405	1,472,405	2,408,892	1,472,405	1,472,405
<b>TOTAL Agency Programs - All Funds Net</b>	<b>6,913,532</b>	<b>7,374,707</b>	<b>7,454,511</b>	<b>6,000,602</b>	<b>4,820,500</b>	<b>7,615,027</b>	<b>6,132,861</b>	<b>4,878,859</b>

## STATE FIRE ADMINISTRATION

### Statutory Reference

C. G. S. Sections 7-323 (j)-(p)

### Statement of Need and Program Objectives

To reduce death, injury and property damage due to fire, accidents, natural and man-made disasters by raising the fire and life safety education awareness level of the public and by increasing the proficiency of firefighters through education, training, certification and technical assistance programs.

### Program Description

The three major activities of the Office of State Fire Administration are training, professional certification and information/assistance services to the fire protection community and public.

The Training Division of the Connecticut Fire Academy offers in excess of 100 individual training programs available to fire departments. Fire service personnel in Connecticut can choose from: Firefighter, Instructor, Officer, Hazardous Materials Technician, Technical Rescue, Apparatus Operator, Terrorism Preparedness along with numerous special fire officer seminars and technical specialty courses compliant with the National Incident Management System (NIMS).

Each program has a complete curriculum, some of which are disseminated to the nine independent regional fire schools and local fire departments saving thousands of dollars in local curriculum development expenses and reducing duplication of effort.

The Connecticut Fire Academy, a state-of-the-art training facility, began operation in February 1994 and serves as the focal point for fire service training and education. Hands-on and technical/specialty training programs are conducted at this facility.

Many training programs are delivered in local facilities throughout the state and are taught by per diem adjunct instructors making them readily available to all of Connecticut's 30,000 fire service personnel.

The Certification Division offers 22 levels of professional competency testing in accordance with nationally developed standards. Certification is a voluntary program available to the state's career and volunteer fire service. Many fire departments mandate certification at the local level through by-law and contractual requirements. The Commission is accredited by the National Board on Fire Service Professional Qualifications and the International Fire Service Accreditation Congress.

Information and Assistance Services provide persons interested in fire prevention and control with access to a network of resources and provide services that are beyond the resources of many local fire departments, such as:

- Free loan library of audio visual aids, books and reference materials on fire prevention and suppression.
- Mailing lists maintained by audience.
- Testing procedures for hiring or promoting fire service personnel.
- Juvenile fire-setting intervention training and referrals.
- Advise other state agencies regarding the purchase of fire fighting equipment and apparatus.
- Fire safety education media campaigns and exhibits.
- Public fire education escape trailer and robotic devices available for loan to local communities.
- Assist local communities with volunteer firefighter recruitment and retention efforts.
- Administration of the Statewide Fire Rescue Disaster Response Plan.
- Staff the State's Emergency Operations Center (SEOC) with fire service liaisons during activations for disasters, exercises and other emergencies.
- Support and coordination of the Regional Foam Trailer Program.
- Entry level training reimbursement to municipalities and fire departments.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Firefighters tested	2,224	3,108	0	0
Firefighters certified	2,004	2,800	0	0
Participating Fire Depts. (340 total)	325	325	325	325
Courses developed, taught	623	583	625	630
Persons trained	11,235	10,500	11,000	11,200
Film Movements	300	350	400	425
Fire Safety Education Programs	120	120	120	120
Persons impacted by services	1,600,000	1,600,000	1,600,000	1,600,000
Education material distribution	20,000	20,000	25,000	25,000
Student contact hours	230,232	215,250	221,700	228,000

Budget-in-Detail

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	18	0	0	18	18	18	18	18

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	1,690,420	1,734,987	1,755,067	1,752,421	1,752,421	1,814,045	1,778,546	1,778,546
Other Expenses	703,588	709,702	880,693	727,474	717,528	903,133	759,708	749,762

Capital Outlay

Equipment	0	0	586,000	429,041	100	617,500	502,941	100
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Other Current Expenses

Firefighter Training I	396,629	555,250	811,695	595,000	0	823,059	595,000	0
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Pmts to Other Than Local Governments

Fire Training School - Willimantic	165,353	161,798	177,126	170,314	161,798	184,211	170,314	161,798
Fire Training School - Torrington	84,650	81,367	94,215	85,650	81,367	97,985	85,650	81,367
Fire Training School - New Haven	46,750	48,364	52,946	50,910	48,364	55,064	50,910	48,364
Fire Training School - Derby	37,956	37,139	40,658	39,094	37,139	42,284	39,094	37,139
Fire Training School - Wolcott	102,363	100,162	133,434	105,434	100,162	138,771	105,434	100,162
Fire Training School - Fairfield	124,100	70,395	77,064	74,100	70,395	80,147	74,100	70,395
Fire Training School - Hartford	140,950	169,336	187,160	178,248	169,336	196,518	178,248	169,336
Fire Training School - Middletown	60,350	59,053	86,778	62,161	59,053	86,778	62,161	59,053
Fire Training School - Stamford	1,650	3,182	3,483	3,350	0	3,623	3,350	0
Payments to Volunteer Fire Companies	176,931	195,000	102,100	200,000	95,000	103,529	200,000	95,000
Fire Training School - Stamford	55,000	52,250	57,200	55,000	55,432	59,488	55,000	55,432
<b>TOTAL-General Fund</b>	<b>3,786,690</b>	<b>3,977,985</b>	<b>5,045,619</b>	<b>4,528,197</b>	<b>3,348,095</b>	<b>5,206,135</b>	<b>4,660,456</b>	<b>3,406,454</b>

Additional Funds Available

Bond Funds	657,900	987,830	0	0	0	0	0	0
Private Funds	2,408,892	2,408,892	2,408,892	1,472,405	1,472,405	2,408,892	1,472,405	1,472,405

**Federal Contributions**

CT Fire Academy Training & Planning	60,050	0	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>6,913,532</b>	<b>7,374,707</b>	<b>7,454,511</b>	<b>6,000,602</b>	<b>4,820,500</b>	<b>7,615,027</b>	<b>6,132,861</b>	<b>4,878,859</b>

**Fire Prevention and Control Training**

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

**Current Expenses by Minor Object**

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	1,151,493	1,196,876	1,193,465	1,193,185	1,224,709	1,224,429
Other Positions	521,245	510,101	540,706	538,679	573,149	538,679
Other	11,220	21,558	14,057	14,057	8,938	8,938
Overtime	6,462	6,452	6,839	6,500	7,249	6,500
<b>TOTAL-Personal Services Gross</b>	<b>1,690,420</b>	<b>1,734,987</b>	<b>1,755,067</b>	<b>1,752,421</b>	<b>1,814,045</b>	<b>1,778,546</b>
Less Reimbursements						
Less Turnover						
<b>TOTAL-Personal Services Net</b>	<b>1,690,420</b>	<b>1,734,987</b>	<b>1,755,067</b>	<b>1,752,421</b>	<b>1,814,045</b>	<b>1,778,546</b>

Other Expenses-Contractual Services

Dues and Subscriptions	449	467	477	467	483	467
Utility Services	152,661	141,074	165,883	158,846	167,431	158,846
Rentals, Storage and Leasing	3,017	3,139	3,205	3,139	3,249	3,139
Telecommunication Services	25,085	26,102	26,650	16,156	27,023	26,102
General Repairs	196,371	203,197	208,616	203,197	211,538	204,325
Motor Vehicle Expenses	26,792	27,879	28,464	27,879	28,862	27,879
Fees for Outside Professional Services	860	887	103,017	887	104,462	887
Fees for Non-Professional Services	11,709	9,869	12,439	9,869	24,613	9,869
DP Services, Rentals and Maintenance	15,916	15,393	41,909	15,393	42,146	36,553
Postage	25,897	26,946	27,511	26,946	27,896	26,946
Other Contractual Services	30,310	31,539	32,201	31,539	32,652	31,539
Printing & Binding	3,869	4,026	4,111	4,026	4,169	4,026

Other Expenses-Commodities

Agriculture, Horticulture, Dairy & Food	504	524	534	524	545	524
Books	92	96	98	96	99	96
Maintenance and Motor Vehicle Supplies	60,896	63,363	64,676	63,363	65,333	63,363
Fuel	94,371	98,195	102,712	98,195	103,636	98,195
Office Supplies	27,378	28,485	29,083	28,485	29,490	28,485
Refunds of Expenditures Not Otherwise Classified	26,811	27,897	28,483	27,897	28,882	27,897

Other Expenses-Sundry

Sundry - Other Items	600	624	624	624	624	624
TOTAL-Other Expenses Gross	703,588	709,702	880,693	717,528	903,133	749,762
Less Reimbursements						
TOTAL-Other Expenses Net	703,588	709,702	880,693	717,528	903,133	749,762

Other Current Expenses

Firefighter Training I	396,629	555,250	811,695	0	823,059	0
TOTAL-Other Current Expenses	396,629	555,250	811,695	0	823,059	0

Pmts to Other Than Local Govts

Fire Training School - Willimantic	165,353	161,798	177,126	161,798	184,211	161,798
Fire Training School - Torrington	84,650	81,367	94,215	81,367	97,985	81,367
Fire Training School - New Haven	46,750	48,364	52,946	48,364	55,064	48,364
Fire Training School - Derby	37,956	37,139	40,658	37,139	42,284	37,139
Fire Training School - Wolcott	102,363	100,162	133,434	100,162	138,771	100,162
Fire Training School - Fairfield	124,100	70,395	77,064	70,395	80,147	70,395
Fire Training School - Hartford	140,950	169,336	187,160	169,336	196,518	169,336
Fire Training School - Middletown	60,350	59,053	86,778	59,053	86,778	59,053
Fire Training School - Stamford	1,650	3,182	3,483	0	3,623	0
Payments to Volunteer Fire Companies	176,931	195,000	102,100	95,000	103,529	95,000
Fire Training School - Stamford	55,000	52,250	57,200	55,432	59,488	55,432
TOTAL-Pmts to Other Than Local Govts	996,053	978,046	1,012,164	878,046	1,048,398	878,046

Budget-in-Detail

<b>Character &amp; Major Object Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	1,690,420	1,734,987	1,755,067	1,752,421	1,752,421	1,814,045	1,778,546	1,778,546
Other Expenses Net	703,588	709,702	880,693	727,474	717,528	903,133	759,708	749,762
Capital Outlay	0	0	586,000	429,041	100	617,500	502,941	100
Other Current Expenses	396,629	555,250	811,695	595,000	0	823,059	595,000	0
Payments to Other Than Local Governments	996,053	978,046	1,012,164	1,024,261	878,046	1,048,398	1,024,261	878,046
<b>TOTAL-General Fund Net</b>	<b>3,786,690</b>	<b>3,977,985</b>	<b>5,045,619</b>	<b>4,528,197</b>	<b>3,348,095</b>	<b>5,206,135</b>	<b>4,660,456</b>	<b>3,406,454</b>
<i><u>Additional Funds Available</u></i>								
Federal and Other Activities	60,050	0	0	0	0	0	0	0
Bond Funds	657,900	987,830	0	0	0	0	0	0
Private Funds	2,408,892	2,408,892	2,408,892	1,472,405	1,472,405	2,408,892	1,472,405	1,472,405
<b>TOTAL-All Funds Net</b>	<b>6,913,532</b>	<b>7,374,707</b>	<b>7,454,511</b>	<b>6,000,602</b>	<b>4,820,500</b>	<b>7,615,027</b>	<b>6,132,861</b>	<b>4,878,859</b>

# DEPARTMENT OF BANKING

## AGENCY DESCRIPTION

The Department of Banking is responsible for the regulation and examination of financial institutions and various related entities, which are chartered, licensed or registered by the state. The purpose of such regulation is to ensure the safety and soundness of these institutions and to protect the public's interest. In this regard, the Banking Commissioner is charged with administering the banking and credit union laws of the state as well as the laws regarding securities, tender offers and business opportunities. The Banking Commissioner also administers the Truth-in-Lending Act and other consumer credit laws and a major portion of the law concerning rental security deposits.

The department has four major units: Financial Institutions Division, the Consumer Credit Division, the Securities and Business Investments Division and Management Services.

The Financial Institutions Division is responsible for the supervision of state-chartered bank and trust companies, savings banks and savings & loan associations and uninsured banks. The division also supervises foreign banking organizations and bank holding companies and has responsibility for analyzing applications for new charters, acquisitions, mergers, branches and changes in corporate structure. The Financial Institutions Division is also responsible for the supervision of state-chartered credit unions and is responsible for analyzing applications for new charters, mergers and requests for field of membership expansions.

The Consumer Credit Division is responsible for regulating the activities of first and secondary mortgage lenders, brokers and originators; small loan companies; sales finance companies; debt adjusters; consumer collection agencies; money transmitters; issuers of money orders and traveler's

checks and check cashing services. The Division is responsible for the licensing and examination of these entities and the enforcement of related Connecticut laws. The Division also administers Truth-in-Lending laws; retail installment sales financing laws and a major portion of the law relating to rental security.

The Securities and Business Investments Division is responsible for the registration of securities and business opportunity offerings for sale in Connecticut; the registration of broker-dealers, investment advisers and their agents and branch offices; the examination of broker-dealer, investment adviser and branch office registrants; and the enforcement of the state's securities, business opportunity and tender offer laws.

Management Services consists of the Banking Commissioner's office, the Business Office, the Government Relations and Consumer Affairs Division, the Legal Division, the MIS unit and the Human Resources Department. Operating collectively, Management Services is responsible for establishing and enforcing the required policies and guidelines needed to manage and operate the agency.

During the FY2008, the department assisted thousands of Connecticut consumers and investors who contacted the agency with inquiries and complaints on regulated matters. Under the provisions of Section 36a-65 of the Connecticut General Statutes, depository institutions supervised by the department pay fees and assessments in a sufficient amount to cover that portion of the department's expenses not funded by the various license, registration and other fees collected by the agency. The department is thus self-sustaining and operates under the state's Banking Fund, which is separate from the state's general fund.

## AGENCY PROGRAM INDEX

Financial Institutions Division	264	Consumer Credit	266
Securities & Business Investments	265	Management Services	267

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

- OE/OCE General Reductions
- Remove or Limit Inflation

### 2009-2010      2010-2011

-28,380      -28,380  
-23,684      -49,998

### New or Expanded Services

- Update the Agency's Complaint, Licensing and Examination System (CELS)

### 2009-2010      2010-2011      2011-2012

100,000      11,000      11,000

*This update will maintain the State of Connecticut's compliance with the Safe and Fair Enforcement Mortgage Licensing Act.*

## AGENCY PROGRAMS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Banking Fund	122	7	0	129	129	129	129	129

Budget-in-Detail

<b>Agency Programs by Total Funds</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Financial Institutions Division	5,916,361	6,308,000	6,914,526	6,779,371	6,771,371	7,072,580	6,946,087	6,938,087
Securities & Business Investments	3,784,948	3,972,583	3,981,972	3,914,516	3,908,516	4,068,702	4,006,254	4,000,254
Consumer Credit	2,819,740	3,256,226	3,835,229	3,737,375	3,731,995	3,933,707	3,853,050	3,847,670
Management Services	5,242,407	5,313,717	5,970,650	5,628,805	5,719,805	6,001,997	5,782,639	5,784,639
TOTAL Agency Programs - All Funds Gross	17,763,456	18,850,526	20,702,377	20,060,067	20,131,687	21,076,986	20,588,030	20,570,650
Less Turnover	0	0	-209,051	-209,051	-209,051	-216,076	-216,076	-216,076
TOTAL Agency Programs - All Funds Net	17,763,456	18,850,526	20,493,326	19,851,016	19,922,636	20,860,910	20,371,954	20,354,574
<b>Summary of Funding</b>								
Banking Fund Net	17,481,968	18,569,038	20,211,838	19,569,528	19,641,148	20,579,422	20,090,466	20,073,086
Private Funds	281,488	281,488	281,488	281,488	281,488	281,488	281,488	281,488
TOTAL Agency Programs - All Funds Net	17,763,456	18,850,526	20,493,326	19,851,016	19,922,636	20,860,910	20,371,954	20,354,574

**FINANCIAL INSTITUTIONS DIVISION**

**Statutory Reference**

C.G.S. Title 36a, Chapters 664a, b, c; 665a and b; 666a, 667 and 668

**Statement of Need and Program Objectives**

To safeguard depositor funds by regulating state-chartered depository institutions including state bank and trust companies, savings banks, savings and loan associations, uninsured banks, licensed entities, credit unions, and foreign banking organizations.

**Program Description**

The major activities to effect regulation include the following: conducts examinations of state-chartered depository institutions, holding companies and foreign banking

organizations to ensure compliance with statutory and regulatory requirements; prepares a Report of Examination for each institution examined to evaluate safety and soundness of the institution and following each examination, discusses the findings with the institution's management, including boards of directors; reviews periodic Reports of Condition and Income submitted by financial institutions to monitor changes; processes applications for new charters, mergers and acquisitions, establishing new branches, purchase/sale of branches, conversions, trust powers and service corporations and other similar requests requiring approval of the Commissioner; coordinates examinations with other state and federal regulatory authorities; monitors compliance with the Community Reinvestment Act and investigates and responds to complaints received.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Financial Institutions				
Percent of complaints that are resolved within 90 days	95%	95%	95%	95%
Percent of Community Reinvestment Act reviews where compliance is confirmed	100%	100%	100%	100%
Percent of Institutions Examined	80%	80%	80%	80%

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Banking Fund	35	7	0	42	42	42	42	42

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	3,429,765	3,740,248	3,791,734	3,791,734	3,791,734	3,882,509	3,882,509	3,882,509
Other Expenses	522,240	570,598	662,716	598,688	590,688	669,120	598,688	590,688

Capital Outlay

Equipment	7,500	0	0	0	0	0	0	0
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Other Current Expenses

Fringe Benefits	1,890,896	1,910,126	2,133,230	2,062,103	2,062,103	2,184,300	2,128,239	2,128,239
Indirect Overhead	65,960	87,028	326,846	326,846	326,846	336,651	336,651	336,651
TOTAL-Banking Fund	5,916,361	6,308,000	6,914,526	6,779,371	6,771,371	7,072,580	6,946,087	6,938,087

## Financial Institutions Division

**SECURITIES AND BUSINESS INVESTMENTS****Statutory Reference**

C.G.S. Title 36b

**Statement of Need and Program Objectives**

To protect the Connecticut investing public and to foster capital formation by discharging enforcement, examination and registration responsibilities under the Connecticut Uniform Securities Act, the Connecticut Business Opportunity Investment Act, and the Connecticut Tender Offer Act; to help the investing public make informed investment decisions by requiring full and adequate disclosure concerning securities and business opportunity offerings; and to promote regulatory compliance as well as investor protection through a comprehensive educational outreach program.

**Program Description**

The following activities promote the Division's objectives: examining broker-dealer and investment adviser main offices and branches; investigating alleged violations of state securities and business opportunity investment laws; addressing complaints and inquiries received from Connecticut investors; registering broker-dealer and investment adviser firms and their agents; conducting one-on-one meetings with applicants to facilitate the licensing and registration process; registering public offerings of securities and business opportunities; and educating the Connecticut investing public and the securities industry through a comprehensive outreach program that includes distribution of a quarterly Securities Bulletin, educational conferences and the dissemination of investor education materials.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Securities & Business Investments				
Percent of complex investigations that are closed within one year of being opened	60%	60%	60%	60%
Percent of complex written investor complaints resolved within 120 days	40%	40%	40%	40%
Number of Agent Licensee Filings Processed	120,000	120,000	125,000	125,000
Number of Firm Licensee and Notice Filers Processed	4,600	4,600	4,600	4,600
Number of Investment Company Filings Processed	7,500	7,500	8,000	8,000
Number of Exemption Filings Processed	3,000	3,000	3,300	3,300

**Personnel Summary**

<b>Permanent Full-Time Positions</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Banking Fund	25	0	0	25	25	25	25	25

**Financial Summary**

<b>(Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,210,775	2,357,812	2,182,687	2,182,687	2,182,687	2,233,192	2,233,192	2,233,192
Other Expenses	314,015	330,870	377,326	349,870	343,870	379,318	349,870	343,870

Budget-in-Detail

Other Current Expenses

Fringe Benefits	1,220,547	1,232,250	1,227,980	1,187,980	1,187,980	1,256,394	1,223,394	1,223,394
Indirect Overhead	39,611	51,651	193,979	193,979	193,979	199,798	199,798	199,798
TOTAL-Banking Fund	3,784,948	3,972,583	3,981,972	3,914,516	3,908,516	4,068,702	4,006,254	4,000,254

**Securities & Business Investments**

**CONSUMER CREDIT**

**Statutory Reference**

Title 36a, Chapters 668 and 669 of the General Statutes

**Statement of Need and Program Objectives**

To ensure that participants in the granting and servicing of consumer credit deal fairly and lawfully with users of consumer credit in Connecticut, to promote the informed use of credit by active enforcement of the state's consumer credit laws, to disseminate information to consumers and creditors and to identify issues requiring statutory or regulatory changes.

**Program Description**

Program objectives are achieved through the licensing, examination and enforcement of laws and regulations relating to the following activities: first and secondary mortgage lending, small loan lending, check cashing, money transmitting, issuance of Connecticut payment instruments, sales financing, debt adjusting and consumer collections.

Objectives are also achieved through the administration of Truth-in-Lending, creditors' collection practices and retail installment sales financing laws and a major portion of the law relating to rental security deposits.

Licenses are issued to qualified applicants in the following areas: mortgage lending, mortgage correspondent lending, mortgage brokering, mortgage loan originating, small loan lending, sales financing, debt adjusting, consumer collections, money transmission, check cashing and issuers of Connecticut payment instruments.

Licensed entities and entities engaging in regulated activities are examined and investigated to determine compliance with related laws and regulations. Enforcement actions are taken when appropriate.

Responses are made to written complaints and inquiries. Information is provided to creditors and consumers concerning obligations and rights under applicable credit laws. Additionally, our staff provides advice and counsel to both licensees and consumers on a variety of related topics.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Consumer Credit				
Percent of Examinations/Inspections that result in compliance	95%	95%	95%	95%
Percent of written complaints concluded within 90 days	85%	85%	85%	85%

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Banking Fund	28	0	0	28	28	28	28	28

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	1,580,461	1,726,999	2,160,256	2,160,256	2,160,256	2,227,462	2,227,462	2,227,462
Other Expenses	376,298	265,797	337,651	279,797	274,417	327,454	279,797	274,417
<u>Other Current Expenses</u>								
Fringe Benefits	838,067	1,230,955	1,215,360	1,175,360	1,175,360	1,253,170	1,220,170	1,220,170
Indirect Overhead	24,914	32,475	121,962	121,962	121,962	125,621	125,621	125,621
TOTAL-Banking Fund	2,819,740	3,256,226	3,835,229	3,737,375	3,731,995	3,933,707	3,853,050	3,847,670

**Consumer Credit**

## MANAGEMENT SERVICES

### Statutory Reference

C.G.S. Titles 36a, 36b, Chapter 831

### Statement of Need and Program Objectives

To establish the required policies and guidelines needed to manage and operate the Department of Banking. To direct and supervise the various agency divisions in their regulation of Connecticut's financial and other institutions. To provide important support functions to assist line divisions in their regulatory responsibilities. To directly assist and serve agency customers, including the general public, regulated entities and government officials.

directs management in the achievement of its regulatory and supervisory responsibilities. The Business Office is responsible for handling the agency's accounting, budgeting, fiscal, payroll, purchasing and financial reporting functions. The Government Relations and Consumer Affairs Division coordinates the department's legislative program, manages media relations, helps educate the public about financial services and serves as the agency's liaison in labor relations. The Legal Division provides legal counsel to the commissioner and agency divisions. The MIS Unit provides data processing and office automation support and the Personnel Office handles employment benefits, labor relations, and professional development activities.

### Program Description

Management Services encompasses the following units. The Banking Commissioner sets overall policy for the agency and

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Banking Fund	34	0	0	34	34	34	34	34

### Financial Summary

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	2,626,249	2,780,302	2,860,917	2,859,506	2,859,506	2,951,507	2,945,524	2,945,524
Other Expenses	781,575	582,437	941,456	674,760	765,760	864,843	674,760	676,760
<u>Capital Outlay</u>								
Equipment	103,005	95	40,692	18,984	18,984	0	21,708	21,708
<u>Other Current Expenses</u>								
Fringe Benefits	1,401,338	1,606,410	1,609,552	1,557,522	1,557,522	1,660,518	1,615,518	1,615,518
Indirect Overhead	48,752	62,985	236,545	236,545	236,545	243,641	243,641	243,641
TOTAL-Banking Fund	4,960,919	5,032,229	5,689,162	5,347,317	5,438,317	5,720,509	5,501,151	5,503,151
<u>Additional Funds Available</u>								
Private Funds	281,488	281,488	281,488	281,488	281,488	281,488	281,488	281,488
TOTAL - All Funds	5,242,407	5,313,717	5,970,650	5,628,805	5,719,805	6,001,997	5,782,639	5,784,639

### Management Services

## AGENCY FINANCIAL SUMMARY - BANKING FUND

### Current Expenses by Minor Object

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	9,518,503	10,203,681	10,634,490	10,633,079	10,997,727	10,996,316
Other Positions	75,686	32,659	33,075	33,075	38,075	33,503
Other	248,718	345,721	314,729	314,729	245,568	245,568
Overtime	4,343	23,300	13,300	13,300	13,300	13,300
TOTAL-Personal Services Gross	9,847,250	10,605,361	10,995,594	10,994,183	11,294,670	11,288,687
Less Reimbursements						

**Budget-in-Detail**

Less Turnover	0	0	-209,051	-209,051	-216,076	-216,076		
<b>TOTAL-Personal Services Net</b>	<b>9,847,250</b>	<b>10,605,361</b>	<b>10,786,543</b>	<b>10,785,132</b>	<b>11,078,594</b>	<b>11,072,611</b>		
<i><u>Other Expenses-Contractual Services</u></i>								
Dues and Subscriptions	94,747	97,208	99,250	93,990	100,640	93,990		
Rentals, Storage and Leasing	748,313	745,784	813,464	812,858	813,876	812,858		
Telecommunication Services	101,486	89,819	133,874	88,878	135,747	88,878		
General Repairs	5,543	6,324	6,458	6,324	6,550	6,324		
Motor Vehicle Expenses	8,868	8,711	8,894	6,969	9,019	6,969		
Fees for Outside Professional Services	187,408	75,204	307,546	75,204	235,502	75,204		
Fees for Non-Professional Services	40,594	95,049	101,419	95,049	98,765	95,049		
DP Services, Rentals and Maintenance	295,536	129,054	151,212	229,054	133,610	140,054		
Postage	42,323	39,513	40,343	39,513	40,908	39,513		
Travel	400,189	384,358	594,141	467,211	602,460	467,211		
Other Contractual Services	6,581	7,261	7,413	7,261	7,515	7,261		
Printing & Binding	392	1,930	1,970	1,930	1,998	1,930		
<i><u>Other Expenses-Commodities</u></i>								
Agriculture, Horticulture, Dairy & Food	1,288	3,609	3,681	2,887	3,755	2,887		
Books	3,083	362	370	362	376	362		
Maintenance and Motor Vehicle Supplies	2,838	2,482	2,532	1,986	2,532	1,986		
Medical Supplies	36	0	0	0	0	0		
Office Supplies	54,830	63,034	64,357	63,034	65,257	63,034		
Refunds of Expenditures Not Otherwise Classified	73	0	0	0	0	0		
<b>TOTAL-Other Expenses Gross</b>	<b>1,994,128</b>	<b>1,749,702</b>	<b>2,336,924</b>	<b>1,992,510</b>	<b>2,258,510</b>	<b>1,903,510</b>		
Less Reimbursements	0	0	-17,775	-17,775	-17,775	-17,775		
<b>TOTAL-Other Expenses Net</b>	<b>1,994,128</b>	<b>1,749,702</b>	<b>2,319,149</b>	<b>1,974,735</b>	<b>2,240,735</b>	<b>1,885,735</b>		
<i><u>Other Current Expenses</u></i>								
Fringe Benefits	5,350,848	5,979,741	6,186,122	5,982,965	6,354,382	6,187,321		
Indirect Overhead	179,237	234,139	879,332	879,332	905,711	905,711		
<b>TOTAL-Other Current Expenses</b>	<b>5,530,085</b>	<b>6,213,880</b>	<b>7,065,454</b>	<b>6,862,297</b>	<b>7,260,093</b>	<b>7,093,032</b>		
<b><i>Character &amp; Major Object Summary</i></b>	<b>2007-2008</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>Current</b>	<b>2009-2010</b>	<b>2010-2011</b>	<b>Current</b>	<b>2010-2011</b>
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	9,847,250	10,605,361	10,786,543	10,785,132	10,785,132	11,078,594	11,072,611	11,072,611
Other Expenses Net	1,994,128	1,749,702	2,319,149	1,903,115	1,974,735	2,240,735	1,903,115	1,885,735
Capital Outlay	110,505	95	40,692	18,984	18,984	0	21,708	21,708
Other Current Expenses	5,530,085	6,213,880	7,065,454	6,862,297	6,862,297	7,260,093	7,093,032	7,093,032
<b>TOTAL-Banking Fund Net</b>	<b>17,481,968</b>	<b>18,569,038</b>	<b>20,211,838</b>	<b>19,569,528</b>	<b>19,641,148</b>	<b>20,579,422</b>	<b>20,090,466</b>	<b>20,073,086</b>
<i><u>Additional Funds Available</u></i>								
Private Funds	281,488	281,488	281,488	281,488	281,488	281,488	281,488	281,488
<b>TOTAL-All Funds Net</b>	<b>17,763,456</b>	<b>18,850,526</b>	<b>20,493,326</b>	<b>19,851,016</b>	<b>19,922,636</b>	<b>20,860,910</b>	<b>20,371,954</b>	<b>20,354,574</b>

# INSURANCE DEPARTMENT

## AGENCY DESCRIPTION

The mission of the Connecticut Insurance Department is to serve consumers in a professional and timely manner by providing assistance and information to the public and to policy makers, by regulating the insurance industry in a fair and efficient manner which promotes a competitive and

financially sound insurance market for consumers, and by enforcing the insurance laws to ensure that consumers are treated fairly and are protected from unfair practices.

## AGENCY PROGRAM INDEX

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## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• Remove or Limit Inflation	-45,141	-75,675
• Rollout FY2009 Rescissions	-6,725	-6,725
• OE/OCE General Reductions	-17,790	-17,790

### Revenues

• Increase Fee on Foreign Company Appointments	0	0
<i>The increase makes the foreign company appointment fees equal to domestic company appointment fees.</i>		

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Insurance Fund	147	2	0	149	149	149	149	149
Private Funds	0	0	3	3	3	3	3	3
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund			8	8	8	8	8	8

### Agency Programs by Total Funds

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Examination	7,130,142	7,947,953	8,331,187	8,330,405	8,330,405	8,614,586	8,613,271	8,613,271
Licensing and Investigation	1,148,523	1,248,281	1,294,898	1,294,898	1,294,898	1,348,624	1,348,624	1,348,624
Consumer Services Division	3,373,456	3,597,235	3,789,116	3,789,116	3,789,116	4,002,627	4,002,627	4,002,627
Life and Health	1,263,577	1,355,006	1,412,543	1,412,543	1,412,543	1,469,060	1,469,060	1,469,060
Property and Casualty Division	1,520,415	1,627,741	1,699,978	1,699,978	1,699,978	1,786,895	1,786,895	1,786,895
Agency Management Services	7,949,968	7,537,524	8,437,541	8,451,317	8,426,802	8,698,301	8,677,398	8,652,883
TOTAL Agency Programs - All Funds Gross	22,386,081	23,313,740	24,965,263	24,978,257	24,953,742	25,920,093	25,897,875	25,873,360
Less Turnover	0	0	-50,000	-125,000	-125,000	-65,000	-125,000	-125,000
TOTAL Agency Programs - All Funds Net	22,386,081	23,313,740	24,915,263	24,853,257	24,828,742	25,855,093	25,772,875	25,748,360

Budget-in-Detail

Summary of Funding

Insurance Fund Net	22,000,099	22,813,740	24,260,263	24,198,257	24,173,742	25,170,093	25,087,875	25,063,360
Private Funds	385,982	500,000	655,000	655,000	655,000	685,000	685,000	685,000
TOTAL Agency Programs - All Funds Net	22,386,081	23,313,740	24,915,263	24,853,257	24,828,742	25,855,093	25,772,875	25,748,360

**EXAMINATION**

**Statutory Reference**

Section 38a-14

**Statement of Need and Program Objectives**

The Insurance Department has a statutory mandate to monitor the financial condition of insurance companies licensed to transact the business of insurance in the State of Connecticut in order to protect policyholders, claimants and the public by ensuring that only solvent, financially well managed insurers are licensed to do business in Connecticut. "Insurer" includes life insurance companies, property/casualty insurance companies, surplus lines carriers, health maintenance organizations, fraternal benefit societies, title insurance companies, mortgage guaranty insurance companies, insurance departments of savings banks, approved reinsurers, and risk retention/purchasing groups.

**Program Description**

The principal functions of the Financial Regulation Division are financial analysis, company licensing, and the financial condition examination of all Connecticut domiciled insurers.

Financial analysis is done through a quarterly review of the financial statements of licensed insurers, using a priority based system and employing accounting practices and

procedures as adopted by the National Association of Insurance Commissioners. The review and approval of domestic company mergers and acquisitions are conducted pursuant to the statutory standards of review. Other activities include re-domestications, amendments to licenses, and transactions required to be filed for prior approval under Connecticut's holding company act.

The Division reviews the applications of insurers incorporated in other states that desire to be admitted to do business in Connecticut. Effective solvency regulation begins by identifying potential concerns prior to licensing. In addition, the Division handles formation and licensing of new Connecticut domiciled insurers. The Division makes recommendations for the revocation of licenses or authority to do business in this state when its review indicates the financial condition of an insurer is such that it may jeopardize Connecticut policyholders and claimants.

The Division conducts on-site financial condition examinations of Connecticut chartered companies at least once every five years. The number of financial condition examinations completed during any one year is a function of the priority-based system in place. The companies with a higher degree of risk are examined more frequently than those with a lower priority risk.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
License applications Processed	63	62	61	61
Licensed Companies Regulated (Domestic/Foreign)	0	0	0	0
Domestic	118	118	118	118
Foreign	1,098	1,125	1,150	1,200

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	56	1	0	57	57	57	57	57

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	4,667,708	5,119,928	5,330,865	5,330,865	5,330,865	5,530,720	5,530,720	5,530,720
Other Expenses	45,195	37,246	38,028	37,246	37,246	38,561	37,246	37,246
<u>Other Current Expenses</u>								
Fringe Benefits	2,417,239	2,790,779	2,962,294	2,962,294	2,962,294	3,045,305	3,045,305	3,045,305
TOTAL-Insurance Fund	7,130,142	7,947,953	8,331,187	8,330,405	8,330,405	8,614,586	8,613,271	8,613,271

**Examination**

## LICENSING AND INVESTIGATION

### Statutory Reference

Section 38a-11 and Chapter 702

### Statement of Need and Program Objectives

To ensure that Connecticut citizens who purchase any form of insurance (property, casualty, life, accident, health, etc.) are protected against adverse effects of incompetence, financial irresponsibility or poor moral character by: licensing all individuals, partnerships, corporations, associations, and firms performing insurance services, and administering a program of continuing education for insurance producers.

### Program Description

The Department strives to assure quality through licensing twelve categories of individuals and entities, selling or servicing insurance in the following manner: establishes and

reviews educational standards and requirements to be used by all parties for pre-license training, develops and administers license examinations for special lines of insurance, monitors examinations provided by an outside examination firm, and determines qualifications of applicants, and issues initial licenses and renews existing licenses for the following classes: producer, casualty adjuster, motor vehicle physical damage appraiser, premium finance company, fraternal agent, public adjuster, insurance consultant, surplus lines broker, viatical life settlement broker, reinsurance intermediary, bail bond agent, managing general agent, and rental car company. This Division has the responsibility of maintaining official records of the 95,000 licensees and 490,000 company appointments. This Division also collects the premium tax due from Surplus Lines Brokers.

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
Insurance Fund	12	0	0	12	12	12	12	12

### Financial Summary

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
(Net of Reimbursements)								
Personal Services	750,660	806,925	826,799	826,799	826,799	845,607	845,607	845,607
<u>Other Current Expenses</u>								
Fringe Benefits	397,863	441,356	468,099	468,099	468,099	503,017	503,017	503,017
TOTAL-Insurance Fund	1,148,523	1,248,281	1,294,898	1,294,898	1,294,898	1,348,624	1,348,624	1,348,624

### Licensing and Investigation

## CONSUMER SERVICES DIVISION

### Statutory Reference

Section 38-a-9 and 38a-10, Section 38a-15

### Statement of Need and Program Objectives

To receive and review complaints from residents of this state concerning their insurance problems, including claims disputes; serve as mediator to such disputes and determine whether statutory requirements and contractual obligations have been fulfilled.

To conduct outreach programs necessary to properly inform and educate the public on insurance matters.

To review the activities of insurance companies doing business in this state with special emphasis on underwriting procedures, claims and consumer complaint handling, and actual servicing of insurance policies issued to Connecticut residents.

To provide further protection to the insurance consumer by investigation of alleged violations of the laws and regulations by individuals and organizations, with administrative action taken as warranted.

### Program Description

The Consumer Affairs Unit reviews complaints in order to answer questions, mediate disputes, and inform and educate the public on insurance matters. The Consumer Affairs Examiners respond to all forms of insurance inquiries, and review, analyze and mediate complaints. During FY 2007-2008, the unit responded to almost 6,000 formal complaints and handled over 21,000 phone calls. In addition, the Consumer Affairs unit provides insurance education by mail with the distribution of over 1,200 informational pamphlets and booklets, as well as through the Internet and in person at various locations throughout the state. As a direct result of this Unit's involvement, \$1,713,103 was recovered by Connecticut consumers during the fiscal year.

Examiners document all written and telephone complaints received and submit quarterly reports to the Commissioner. Such reports contain the number and types of complaints received and the number of such complaints which have been resolved. The findings of such reports and legislative

initiatives are reported to the joint standing committee of the General Assembly on or before January 15<sup>th</sup> each year.

The Unit maintains an active outreach program to properly inform and educate consumers on insurance matters. The Outreach program focuses on senior groups, small business owners, health fairs and medical providers. During FY 2007-2008, the outreach programs continued to include military personnel with presentations at the U.S. Naval Submarine Base, New London and the addition to our website which includes a section dedicated to the unique insurance needs of military personnel. The unit continued educational efforts with “Insure U,” an education program for consumers hosted on the website, and informed consumers of this tool during outreach programs.

Consumer Affairs Unit also oversees an independent arbitration procedure for settlement of disputes between claimants and insurance companies concerning auto physical damage and automobile property damage liability claims.

In compliance with Section 38a-478n, Consumer Affairs Unit manages the external appeal process for policyholders that have exhausted the internal appeal mechanisms provided by a managed care organization or utilization review company and handles the referral to an independent review firm for a binding determination. The unit handled over 200 external appeals during the fiscal year resulting in reversal or revision of the determination in 38% of the appeals.

The Market Conduct Unit conducts on-site examinations of insurers’ and licensed producers’ books and records as they relate to coverage written for Connecticut citizens and commercial enterprises. To assure statutory compliance, the scope of an examination includes a review of underwriting techniques, claim resolution, and complaint handling records. Random document samples of policy declinations, cancellations, and non-renewals are retrospectively analyzed for adherence to statutory mandates. The Market Conduct Unit verifies that rates being charged for various lines of insurance fall within approved parameters and that premium calculations are correct.

The Market Conduct Unit monitors the marketing and solicitation practices of insurers and their representatives by examining advertising materials, agent training procedures, consumer complaints, and client files. Examiners may visit the offices of agents representing insurers being reviewed to verify statutory compliance and to make recommendations when necessary. As part of the marketing and solicitation review, the Market Conduct Unit uses a consumer survey in an attempt to gather information from consumers to evaluate their concerns and needs. The survey focuses on questions of interest to the buying public specifically related to life, health and long term care. Questions range from, and thus provide information on, agent’s performance to the consumer’s understanding of the policy purchased.

This Market Conduct Unit monitors the conduct of medical utilization review companies to ensure that they operate in compliance with Managed Care Act and other applicable statutes and regulations. The compliance program includes the gathering and analysis of data concerning the authorization of payment for health care services and examinations of the companies’ activities.

The unit provides further protection to the insurance consumer by investigating alleged violations of laws and regulations by individuals or organizations, with administrative actions taken as warranted, including fines, suspensions, and revocations of licenses.

The Market Conduct Unit conducts investigations of licensees when possible violations of laws are alleged or suspected. If, as a result of these investigations, further administrative action is required, the Market Conduct Unit, in conjunction with the Legal Division, pursues the proper action. Where reviews result in serious statutory violations or serious mistreatment or deficiencies, the Market Conduct Unit will perform a follow up examination within six months to insure compliance.

The Market Conduct Unit, during the FY 2007-2008, completed 114 stipulated settlement agreements. The results are as follows:

<b>Outcome Measures</b>				
	Files Open	Files Closed	Fines \$ Amt	Fines # Actions
Life & Health	13	14	\$ 364,729	10
Property & Casualty	13	6	\$ 236,000	6
Enforced	62	70	\$ 49,500	6
Utilization Review	26	24	\$ 52,500	19
Total	114	114	\$ 702,729	41

This Market Conduct Unit has incorporated National Association of Insurance Commissioner’s guidelines and technology into the market conduct exam procedures for the purpose of realizing standardization within the regulatory process for more efficient reviews and communication.

In addition, the Market Conduct Unit completed 56 examination surveys, which resulted in \$1,266,000 in fines.

In addition to this amount, the Department reached the largest regulatory settlement agreement in its history of \$2.1M as a collaborative effort of Market Conduct, Consumer Affairs and our Legal Department.

Fraud Licensee Investigative and Compliance Unit

The Fraud Licensee and Investigation Unit was recently combined from resources within the department to provide focus and synergy in our investigative and fraud efforts. This unit receives complaints alleging fraud committed against insurers, individual licensees (agents) as well as health plans, and, as appropriate, refers such allegations for criminal investigation or for regulatory or civil action. It also handles the licensing and investigation of Bail Bonds activity, Medical Discount Plans, Pharmacy Benefit Managers, Preferred Provider Networks and Viatical Insurers for compliance with our statutes while issuing licenses and registrations to conduct these businesses where warranted. This Unit facilitates the efforts of the insurance industry, law enforcement and federal or state officials in the investigation and prosecution of insurance fraud committed in Connecticut.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Recovered to Consumers (\$M)	1.7	2.1	2.5	3.0
Complaints Filed	6,000	6,200	6,400	6,500

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	28	1	0	29	29	29	29	29

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	2,185,013	2,320,194	2,426,579	2,426,579	2,426,579	2,519,805	2,519,805	2,519,805
<u>Other Current Expenses</u>								
Fringe Benefits	1,188,443	1,277,041	1,362,537	1,362,537	1,362,537	1,482,822	1,482,822	1,482,822
TOTAL-Insurance Fund	3,373,456	3,597,235	3,789,116	3,789,116	3,789,116	4,002,627	4,002,627	4,002,627

**Consumer Services Division****LIFE AND HEALTH****Statutory Reference**

Chapters 700b and 700c of the General Statutes

**Statement of Need and Program Objectives**

To protect all life and health insurance policyholders in Connecticut from unfair and deceptive policies. To ensure that premium rates are neither inadequate nor excessive. To oversee the regulation of managed care organizations, utilization review companies, and preferred provider networks.

**Program Description**

All life and health insurance policies must be approved by the Life and Health Division prior to being sold in Connecticut to ensure compliance with statutes, regulations and bulletins.

Premium rates are reviewed for individual health, HMO, Medicare supplement, long-term care and credit insurance policies. Rate increase requests are disapproved if they are judged to be excessive, inadequate or unfairly discriminatory. The managed care subunit oversees the expedited review process for inpatient hospital stays, produces a managed care report card, and licenses utilization review companies.

Approximately 12,000 filings are reviewed annually for insurance companies, fraternal and health care centers licensed to sell life and health products.

Licenses were issued to or renewed for 124 utilization review companies in 2007.

The managed care report card was mailed to legislators and public libraries, and is available upon request or by accessing the Department website.

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Permanent Full-Time Positions</i>	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	10	0	0	10	10	10	10	10

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	815,211	876,894	904,191	904,191	904,191	922,996	922,996	922,996
<u>Other Current Expenses</u>								
Fringe Benefits	448,366	478,112	508,352	508,352	508,352	546,064	546,064	546,064
TOTAL-Insurance Fund	1,263,577	1,355,006	1,412,543	1,412,543	1,412,543	1,469,060	1,469,060	1,469,060

**Life and Health**

## PROPERTY AND CASUALTY DIVISION

### Statutory Reference

Section 38a-8 and Chapter 700 of the General Statutes

### Statement of Need and Program Objectives

The Division protects policyholders and the public by ensuring a competitive market as promulgated by the laws established under chapter 700 of the General Statutes, which establishes standards for the regulation of personal and commercial risk insurance.

### Program Description

The Property and Casualty (P&C) Division reviews all rate, rule and form filings made by property and casualty insurers in the state. The P&C division is responsible for regulating over 23 lines of business for over 500 licensed companies. Personal lines insurance consists of private passenger auto, homeowners, mobile home, excess liability and umbrella coverage, watercraft and recreational vehicles. Commercial insurance includes: property and liability insurance for commercial vehicles and businesses, and insurance for manufacturers, contractors, hospitals, municipalities and

workers' compensation. It also includes covering professional liability insurance for lawyers, doctors, dentists, and other professionals, as well as Title insurance and Surety.

Personal risk rate statutes rely on a competitive marketplace to establish and maintain reasonable rate levels. Rates may not be inadequate or unfairly discriminatory. Personal risk and commercial form filings are reviewed to ensure compliance with statutes and regulations.

Commercial lines is subject to file and use rating laws which also rely on competition to establish reasonable rate levels, subject to the standard that no rate shall be excessive unless the rate is unreasonably high for the insurance provided or a reasonable degree of completion does not exist.

The division also oversees operation of the residual markets (Assigned Risk Plans). Rates in the residual markets are subject to prior approval by the P&C division. Residual markets include workers' compensation, automobile assigned risk (Connecticut Automobile Insurance Assigned Risk Plan) and property assigned risk plans (Fair Access to Insurance Requirements - FAIR - Plan).

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Filings processed for forms/rates	4,500	4,400	4,450	4,500

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund	12	0	0	12	12	12	12	12

### Financial Summary

<b>(Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	980,913	1,052,326	1,088,297	1,088,297	1,088,297	1,124,224	1,124,224	1,124,224
<u>Other Current Expenses</u>								
Fringe Benefits	539,502	575,415	611,681	611,681	611,681	662,671	662,671	662,671
TOTAL-Insurance Fund	1,520,415	1,627,741	1,699,978	1,699,978	1,699,978	1,786,895	1,786,895	1,786,895

### Property and Casualty Division

## MANAGEMENT SERVICES

### Statutory Reference

Section 38a-8

### Statement of Need and Program Objectives

To plan, organize, direct and support all administrative operations of the Department of Insurance in order to ensure that the department's mission can be accomplished in an efficient and effective manner.

### Program Description

The Office of the Commissioner directs the day to day operations of the Department. The Office is responsible for developing and overseeing all aspects of Department policy, and ensuring that the Department's mission, which is to protect consumers and regulate the insurance industry, is achieved and maintained.

The Business Office is responsible for all functions relating to budget and fiscal management services which include:

preparation and administration of the department's budget; payroll preparation; purchase of all equipment, goods and services required by the department; contracting; payment of all expenses incurred; and collection and deposit of all fees and assessments levied and received by the department.

The Legal Division provides legal advice and related services to the Commissioner and the seven divisions of the Insurance Department on a broad spectrum of issues that arise in regulating the insurance industry and in providing services to the consumer. In doing so, the legal staff of this office drafts, monitors and analyzes legislation; drafts and promulgates regulations; and participates in department hearings involving rates, license enforcement, and acquisitions of domestic insurance companies. The legal division manages insurance company receiverships on behalf of the Commissioner upon appointment by the Superior Court as receiver. The division provides oversight of the insurance guaranty associations and informs the staff of the Consumer Affairs Unit, and other department staff, of developments so they may properly service the inquiries and complaints of consumers.

The Computer Systems Support Unit is responsible for all computer-related functions. The unit monitors all hardware and software to make sure it serves the needs of the Department in a responsive, innovative and cost effective manner. It also is responsible for the integrity, accuracy and

effectiveness of all shared data for meeting the business needs of the department and it ensures that all computer output is delivered on a timely basis.

The Personnel Administration Unit is responsible for recruitment, promotions, separations, time and attendance, workers' compensation, labor relations, training, performance evaluations, development and implementation of the Affirmative Action Plan.

#### The Public Affairs Unit

The public affairs unit provides support to the Insurance Department in the areas of legislative and media relations. Unit staff manages the operations of the Department's legislative program through the development of the agency's legislative agenda, seeking its enactment by the Connecticut General Assembly and monitoring all other legislative initiatives and activities impacting the regulatory authority of the Department.

Media relations staff produces new releases, media advisories, fact sheets and public service announcements conveying news about the activities and accomplishments of the Connecticut Insurance Department to print and broadcast media. Support also includes responding to media inquiries, serving as a communication consultant to other divisions within the Department, and preparing periodic newsletters.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Regulations promulgated	2	5	5	5
Fines imposed and revenue (\$)	4,200,000	4,000,000	4,250,000	4,400,000

#### **Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
Insurance Fund	29	0	0	29	29	29	29	29
Private Funds	0	0	3	3	3	3	3	3

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Other Positions Equated to Full Time						
Insurance Fund	8	8	8	8	8	8

#### **Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
(Net of Reimbursements)								
Personal Services	2,871,906	3,030,476	2,972,190	2,885,278	2,885,278	3,062,610	2,951,653	2,951,653
Other Expenses	2,480,735	2,051,366	2,157,819	2,560,303	2,542,513	2,188,122	2,560,972	2,543,182
<u>Capital Outlay</u>								
Equipment	287,299	127,775	131,100	109,100	102,375	111,100	108,100	101,375
<u>Other Current Expenses</u>								
Fringe Benefits	1,632,887	1,652,907	1,871,432	1,871,432	1,871,432	1,976,469	1,976,469	1,976,469
Indirect Overhead	291,159	175,000	650,000	370,204	370,204	675,000	395,204	395,204
TOTAL-Insurance Fund	7,563,986	7,037,524	7,782,541	7,796,317	7,771,802	8,013,301	7,992,398	7,967,883

Budget-in-Detail

Additional Funds Available

Private Funds	385,982	500,000	655,000	655,000	655,000	685,000	685,000	685,000
TOTAL - All Funds	7,949,968	7,537,524	8,437,541	8,451,317	8,426,802	8,698,301	8,677,398	8,652,883

Agency Management Services

**AGENCY FINANCIAL SUMMARY - INSURANCE FUND**

<i>Current Expenses by Minor Object</i>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	11,760,087	12,278,089	12,749,332	12,745,370	13,147,535	13,143,574
Other Positions	143,191	189,052	139,000	105,800	150,000	112,754
Other	365,705	736,987	657,589	607,839	704,427	634,677
Overtime	2,428	2,615	3,000	3,000	4,000	4,000
TOTAL-Personal Services Gross	12,271,411	13,206,743	13,548,921	13,462,009	14,005,962	13,895,005
Less Reimbursements						
Less Turnover	0	0	-50,000	-125,000	-65,000	-125,000
TOTAL-Personal Services Net	12,271,411	13,206,743	13,498,921	13,337,009	13,940,962	13,770,005

Other Expenses-Contractual Services

Dues and Subscriptions	73,820	78,000	79,638	75,700	80,753	75,700
Utility Services	75,667	62,360	62,991	64,479	63,457	64,821
Rentals, Storage and Leasing	1,261,218	1,276,000	1,302,796	1,276,000	1,321,035	1,276,000
Telecommunication Services	46,760	38,536	39,345	36,500	39,897	36,500
General Repairs	35,280	35,418	36,161	35,418	36,667	35,418
Motor Vehicle Expenses	30,178	20,000	20,420	16,000	20,706	16,000
Fees for Outside Professional Services	444,962	191,683	195,839	191,683	198,715	191,683
Fees for Non-Professional Services	9,793	8,071	8,241	7,254	8,356	7,254
DP Services, Rentals and Maintenance	110,946	98,910	100,988	555,242	102,401	555,242
Postage	98,401	77,803	79,437	77,103	80,549	77,103
Travel	176,534	108,000	123,693	102,000	126,164	102,000
Other Contractual Services	17,541	14,457	14,760	14,457	14,967	14,457
Advertising	11,988	9,880	10,087	9,880	10,228	9,880
Printing & Binding	8,002	6,595	6,733	6,595	6,827	6,595

Other Expenses-Commodities

Agriculture, Horticulture, Dairy & Food	557	459	468	367	477	367
Books	414	341	348	341	353	341
Maintenance and Motor Vehicle Supplies	11,783	9,711	9,721	8,352	9,728	8,679
Office Supplies	75,694	30,586	82,278	80,586	83,431	80,586
Refunds of Expenditures Not Otherwise Classified	5,171	4,262	4,352	4,262	4,413	4,262

Other Expenses-Sundry

Sundry - Other Items	31,221	17,540	17,551	17,540	17,559	17,540
TOTAL-Other Expenses Gross	2,525,930	2,088,612	2,195,847	2,579,759	2,226,683	2,580,428
Less Reimbursements						
TOTAL-Other Expenses Net	2,525,930	2,088,612	2,195,847	2,579,759	2,226,683	2,580,428

Other Current Expenses

Fringe Benefits	6,624,300	7,215,610	7,784,395	7,784,395	8,216,348	8,216,348
Indirect Overhead	291,159	175,000	650,000	370,204	675,000	395,204
TOTAL-Other Current Expenses	6,915,459	7,390,610	8,434,395	8,154,599	8,891,348	8,611,552

**Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	12,271,411	13,206,743	13,498,921	13,337,009	13,337,009	13,940,962	13,770,005	13,770,005
Other Expenses Net	2,525,930	2,088,612	2,195,847	2,597,549	2,579,759	2,226,683	2,598,218	2,580,428
Capital Outlay	287,299	127,775	131,100	109,100	102,375	111,100	108,100	101,375
Other Current Expenses	6,915,459	7,390,610	8,434,395	8,154,599	8,154,599	8,891,348	8,611,552	8,611,552
TOTAL-Insurance Fund Net	22,000,099	22,813,740	24,260,263	24,198,257	24,173,742	25,170,093	25,087,875	25,063,360

Additional Funds Available

Private Funds	385,982	500,000	655,000	655,000	655,000	685,000	685,000	685,000
TOTAL-All Funds Net	22,386,081	23,313,740	24,915,263	24,853,257	24,828,742	25,855,093	25,772,875	25,748,360

# OFFICE OF CONSUMER COUNSEL

## AGENCY DESCRIPTION

The Office of Consumer Counsel (OCC) is an independent state agency charged with advocating for Connecticut consumers in all matters involving utility-related services. OCC initiates and participates in regulatory and judicial proceedings, both federal and state, affecting such interests toward the goal that all of Connecticut's consumers should receive the highest level of utility-related services at the lowest reasonable cost.

OCC is a party to all contested matters before the Department of Public Utility Control (DPUC) and participates actively in DPUC proceedings as well as proceedings at the Federal Energy Regulatory Commission (FERC), the Federal

Communications Commission (FCC) and state and federal court.

The greatest focus of OCC is representing the interests of Connecticut's utility consumers in proceedings before the DPUC, which determines utility rates and services. Utilities, suppliers, aggregators and telecommunications service providers spend millions of dollars annually seeking favorable decisions on rate, service and policy matters with far reaching impacts. OCC often is the only party in a proceeding that scrutinizes, evaluates and prosecutes the full array of issues on behalf of all ratepayers and presents alternatives most beneficial to utility customers.

*In light of the current fiscal situation and the Governor's efforts to streamline state government and return it to its core functions, this commission is recommended for elimination in the Governor's budget.*

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• Remove or Limit Inflation	-11,717	-18,340
• OE/OCE General Reductions	-9,930	-9,930
• Eliminate the Office of the Consumer Counsel	-3,118,979	-3,224,134

## AGENCY PROGRAMS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Public Utility Fund	17	0	0	17	17	0	17	0

### Agency Programs by Total Funds

(Net of Reimbursements)	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Utility Consumer Advocacy & Assistance	2,822,723	3,073,971	3,103,496	3,128,909	0	3,215,274	3,234,064	0
TOTAL Agency Programs - All Funds Gross	2,822,723	3,073,971	3,103,496	3,128,909	0	3,215,274	3,234,064	0
Less Turnover								
TOTAL Agency Programs - All Funds Net	2,822,723	3,073,971	3,103,496	3,128,909	0	3,215,274	3,234,064	0
<i>Summary of Funding</i>								
Public Utility Fund Net	2,822,723	3,073,971	3,103,496	3,128,909	0	3,215,274	3,234,064	0
TOTAL Agency Programs - All Funds Net	2,822,723	3,073,971	3,103,496	3,128,909	0	3,215,274	3,234,064	0

## UTILITY CONSUMER ADVOCACY AND ASSISTANCE

### Statutory Reference

C.G.S. Sections 16-2a and 16-49

### Statement of Need and Program Objectives

To protect the interests of Connecticut's utility consumers and to help provide them with the lowest utility rates possible

commensurate with the highest levels and best array of services.

### Program Description

The Office of Consumer Counsel (OCC) fulfills its legislative mandate by representing consumers before the DPUC, state and federal courts, the FERC, the FCC and other forums. OCC has been successful for 33 years in advocating against

unreasonable rate increase requests. OCC devotes a great deal of attention at DPUC, advocating for better utility services at the lowest reasonable costs for Connecticut consumers. OCC continues to be active in state and federal court cases that affect Connecticut utility consumers, and initiates state court cases (administrative appeals) when warranted on their behalf. Lower utility bills and better utility services increase the competitiveness of Connecticut

businesses and promote the general well being of Connecticut consumers.

OCC makes a significant effort to influence correct utility policies and to inform consumers of matters affecting rates and services of utility companies. OCC also compiles an annual scorecard which tallies ratepayer savings, produces a quarterly e-newsletter, testifies on proposed legislation before state and federal legislative bodies, and maintains an updated agency website.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Interventions	550	550	0	0
Cases Decided by DPUC	545	545	0	0
Consumer Complaints	500	500	0	0
Impact of Advocacy-Savings to Rate Payers	525,000,000	600,000,000	0	0
New Dockets Opened-Not Including Reopened	225	250	0	0

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Public Utility Fund	17	0	0	17	17	0	17	0

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	1,369,451	1,482,485	1,468,251	1,476,507	0	1,515,639	1,523,895	0
Other Expenses	448,049	527,934	544,744	566,901	0	551,367	566,901	0
<u>Capital Outlay</u>								
Equipment	6,544	21,565	15,000	10,000	0	14,500	9,500	0
<u>Other Current Expenses</u>								
Fringe Benefits	762,552	817,666	866,726	866,726	0	918,729	918,729	0
Indirect Overhead	236,127	224,321	208,775	208,775	0	215,039	215,039	0
TOTAL-Public Utility Fund	2,822,723	3,073,971	3,103,496	3,128,909	0	3,215,274	3,234,064	0

**Utility Consumer Advocacy & Assistance****AGENCY FINANCIAL SUMMARY - PUBLIC UTILITY FUND**

<b>Current Expenses by Minor Object</b>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	1,339,770	1,450,354	1,443,885	0	1,506,377	0
Other	29,108	31,511	23,709	0	8,566	0
Overtime	573	620	657	0	696	0
TOTAL-Personal Services Gross	1,369,451	1,482,485	1,468,251	0	1,515,639	0
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	1,369,451	1,482,485	1,468,251	0	1,515,639	0

## Budget Summary

### Other Expenses-Contractual Services

Dues and Subscriptions	33,798	39,896	40,734	0	41,305	0
Utility Services	17,332	20,459	21,400	0	21,593	0
Rentals, Storage and Leasing	143,049	168,853	172,399	0	174,812	0
Telecommunication Services	11,633	13,732	14,020	0	14,217	0
General Repairs	38,669	45,644	46,602	0	47,255	0
Motor Vehicle Expenses	1,944	2,295	2,343	0	2,376	0
Fees for Outside Professional Services	46,358	53,778	60,000	0	60,000	0
Fees for Non-Professional Services	61,726	72,862	74,393	0	75,435	0
DP Services, Rentals and Maintenance	16,455	19,423	19,831	0	20,108	0
Postage	4,054	4,785	4,885	0	4,954	0
Travel	36,320	42,872	43,772	0	44,385	0
Other Contractual Services	14,301	16,881	17,236	0	17,478	0
Advertising	2,453	2,896	2,957	0	2,998	0
Printing & Binding	226	267	273	0	277	0

### Other Expenses-Commodities

Books	4,437	5,237	5,347	0	5,422	0
Maintenance and Motor Vehicle Supplies	541	639	652	0	652	0
Fuel	5,010	5,914	6,186	0	6,242	0
Office Supplies	8,593	10,144	10,357	0	10,501	0

### Other Expenses-Sundry

Sundry - Other Items	1,150	1,357	1,357	0	1,357	0
TOTAL-Other Expenses Gross	448,049	527,934	544,744	0	551,367	0
Less Reimbursements						
TOTAL-Other Expenses Net	448,049	527,934	544,744	0	551,367	0

### Other Current Expenses

Fringe Benefits	762,552	817,666	866,726	0	918,729	0
Indirect Overhead	236,127	224,321	208,775	0	215,039	0
TOTAL-Other Current Expenses	998,679	1,041,987	1,075,501	0	1,133,768	0

### **Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	1,369,451	1,482,485	1,468,251	1,476,507	0	1,515,639	1,523,895	0
Other Expenses Net	448,049	527,934	544,744	566,901	0	551,367	566,901	0
Capital Outlay	6,544	21,565	15,000	10,000	0	14,500	9,500	0
Other Current Expenses	998,679	1,041,987	1,075,501	1,075,501	0	1,133,768	1,133,768	0
TOTAL-Public Utility Fund Net	2,822,723	3,073,971	3,103,496	3,128,909	0	3,215,274	3,234,064	0

# DEPARTMENT OF PUBLIC UTILITY CONTROL

## AGENCY DESCRIPTION

<http://www.state.ct.us/dpuc/>

The Department of Public Utility Control (DPUC) regulates public service companies in order to balance the public's need for adequate service at affordable rates with providers' need to make a reasonable return on their investment. Electric, gas, water, telephone and cable television companies come under the department's purview.

Decisions are made by five commissioners who are appointed to four-year terms by the Governor with the advice and consent of the legislature.

The DPUC incorporates the activities of the Connecticut Siting Council.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

- Remove or Limit Inflation
- Eliminate Vacant Positions
- OE/OCE General Reductions
- Eliminate Funding for the Nuclear Energy Advisory Council

<u>2009-2010</u>	<u>2010-2011</u>
-37,837	-68,531
-156,000	-156,000
-26,818	-26,818
-9,116	-9,116

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Public Utility Fund	126	16	0	142	142	141	142	141
Siting Council	9	2	0	11	11	11	11	11

### Other Positions Equated to Full Time

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Public Utility Fund	0	1	1	1	1	1
Siting Council	1	1	1	1	1	1

### Agency Programs by Total Funds

(Net of Reimbursements)	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Public Utility Regulation	20,278,156	22,992,643	25,799,729	25,012,992	24,821,058	26,836,023	25,721,847	25,529,913
TOTAL Agency Programs - All Funds Gross	20,278,156	22,992,643	25,799,729	25,012,992	24,821,058	26,836,023	25,721,847	25,529,913
Less Turnover	0	0	-76,000	-576,000	-576,000	-78,500	-578,500	-578,500
TOTAL Agency Programs - All Funds Net	20,278,156	22,992,643	25,723,729	24,436,992	24,245,058	26,757,523	25,143,347	24,951,413
<u>Summary of Funding</u>								
General Fund Net	131,859	0	0	0	0	0	0	0
Public Utility Fund Net	18,096,720	20,355,931	22,775,764	21,489,027	21,297,093	23,725,658	22,111,482	21,919,548
Siting Council	1,657,257	2,228,692	2,527,709	2,527,709	2,527,709	2,598,665	2,598,665	2,598,665
Federal and Other Activities	392,320	408,020	420,256	420,256	420,256	433,200	433,200	433,200
TOTAL Agency Programs - All Funds Net	20,278,156	22,992,643	25,723,729	24,436,992	24,245,058	26,757,523	25,143,347	24,951,413

## PUBLIC SERVICE COMPANY REGULATION

### Statutory Reference

C.G.S. Title 16 and Chapters 445, 446a, and 446e

### Statement of Need and Program Objectives

To achieve reasonable and nondiscriminatory rates, safe and adequate service and efficient operations - while assuring revenues adequate for the operator - through the regulation of public service companies.

### Program Description

The Department pursues its goals through the following complementary courses of action:

Conducting management audits of the public service companies, performing research and analysis to provide data and support for adjudicatory decisions, monitoring and enforcement of utility safety requirements, resolving individual consumer complaints, and increasing consumers' knowledge of their rights and counter-balancing utility companies' rate increase requests with an independently prepared and presented case.

The Department schedules, coordinates, and issues legal notices, conducts public hearings and adjudicates all contested cases. In rate cases, the technical units analyze information provided by parties, including depreciation schedules, construction and design, cost appropriateness, prior expense submissions, expense projections, return on equity, revenue requirements, proposals to issue additional debt or equity capital, appropriate expense and capitalization levels, supply alternatives, revenue projections and rate structures for different customer classes.

The Department conducts investigations into generic issues, such as electric long and short term measures to reduce the state's electric ratepayers obligations for Federally Mandated Congestion Costs (FMCC) and in implementing the goals of the state's Energy Independence Act. It also analyses the possibility of further unbundling of the natural gas industry. The department also conducts or sponsors management audits of specific utility functions (e.g. long range planning, management information systems, human resources, and inventory) to require companies to improve service and lower

costs for their customers. A unit within the DPUC also monitors compliance with state and federal safety standards and investigates utility-related fatalities and accidents.

Consumer services programs involve responding to utility customers' complaints and requests for information. Response mechanisms include negotiating payment arrangements, investigating and mediating disputes over billing and service, checking the accuracy of bills and analyzing complaints to detect systematic problems affecting groups of consumers. The program promotes public understanding of the department's decisions and policies by mailing information and administrative procedures to consumers. Staff participates in rate proceedings by reviewing utility-proposed rate amendments, filing proposed modifications and testifying at hearings.

The Connecticut Siting Council reviews and acts on applications for approval of sites for construction, operation and maintenance of facilities for electric generation and transmission, fuel transmission, telecommunications, hazardous waste management, low-level radioactive waste management and ash residue management.

The Council accepts and processes applications within strict statutory time limits. Consideration must be given to probable adverse environmental effects, public need for proposed facilities, public health and safety and local land use regulations, which the council's ruling may supersede or override. The council must also respond to requests for rulings on the applicability of statutory and regulatory provisions to various projects and actions involving regulated facilities. To effectively discharge the primary responsibility of issuing decisions, the council encourages full public participation, including ample notice and the holding of public hearings in or near the site communities. The council and its staff must also conform to all state administrative procedures; conduct necessary research into relevant subjects; conduct reviews of annual electric forecasts filed by electric utilities; participate in activities of various interagency boards and task forces; communicate and coordinate activities with related state and federal agencies and respond to public, legislative and media inquiries.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Gas Pipeline Safety Inspections	397	395	395	395
"Call Before You Dig" Investigations Initiated	164	165	165	165
Regulatory Decisions Issued	547	547	550	550
Days of Hearing	164	175	210	210
Reports and Generic Decisions Issued	4	4	4	4
Telecom Tariffs and Interconnection Agreements Processed	579	554	550	550

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Public Utility Fund	126	16	0	142	142	141	142	141
Siting Council	9	2	0	11	11	11	11	11
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Public Utility Fund			0	1	1	1	1	1
Siting Council			1	1	1	1	1	1
<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<u>Other Current Expenses</u>								
Statewide Energy Efficiency and Outreach	131,859	0	0	0	0	0	0	0
TOTAL-General Fund	131,859	0	0	0	0	0	0	0
Personal Services	10,568,158	11,653,159	12,813,926	12,802,237	12,702,237	13,191,976	13,181,589	13,081,589
Other Expenses	1,746,166	1,617,009	1,782,940	1,704,489	1,677,671	1,788,512	1,705,304	1,678,486
<u>Capital Outlay</u>								
Equipment	42,778	92,626	169,900	60,500	60,500	250,900	80,500	80,500
<u>Other Current Expenses</u>								
Fringe Benefits	5,715,795	6,834,901	7,688,356	7,101,159	7,045,159	8,152,874	7,302,693	7,246,693
Indirect Overhead	23,823	149,575	387,526	387,526	387,526	410,780	410,780	410,780
Nuclear Energy Advisory Council	0	8,661	9,116	9,116	0	9,116	9,116	0
TOTAL-Public Utility Fund	18,096,720	20,355,931	22,851,764	22,065,027	21,873,093	23,804,158	22,689,982	22,498,048
<u>Additional Funds Available</u>								
Siting Council	1,657,257	2,228,692	2,527,709	2,527,709	2,527,709	2,598,665	2,598,665	2,598,665
<b>Federal Contributions</b>								
20700 Pipeline Safety	392,320	408,020	420,256	420,256	420,256	433,200	433,200	433,200
TOTAL - All Funds	20,278,156	22,992,643	25,799,729	25,012,992	24,821,058	26,836,023	25,721,847	25,529,913

**Public Service Company Regulation****AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Other Current Expenses</u>						
Statewide Energy Efficiency and Outreach	131,859	0	0	0	0	0
TOTAL-Other Current Expenses	131,859	0	0	0	0	0

**AGENCY FINANCIAL SUMMARY - PUBLIC UTILITY FUND**

<b><i>Current Expenses by Minor Object</i></b>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<b><i>Personal Services</i></b>						
Permanent Fulltime Positions	9,965,589	10,671,751	11,808,925	11,705,036	12,109,975	12,006,086
Other Positions	0	12,800	12,800	12,800	12,800	12,800
Other	534,588	902,588	920,080	915,080	994,916	989,916
Overtime	67,981	66,020	72,121	69,321	74,285	72,787
TOTAL-Personal Services Gross	10,568,158	11,653,159	12,813,926	12,702,237	13,191,976	13,081,589
Less Reimbursements						
Less Turnover	0	0	-76,000	-576,000	-78,500	-578,500
TOTAL-Personal Services Net	10,568,158	11,653,159	12,737,926	12,126,237	13,113,476	12,503,089
<b><i>Other Expenses-Contractual Services</i></b>						
Dues and Subscriptions	100,537	97,033	99,070	94,364	100,457	94,364
Utility Services	64,703	54,534	67,450	67,450	68,067	68,069
Rentals, Storage and Leasing	789,080	749,490	773,640	759,490	784,471	759,490
Telecommunication Services	49,314	47,596	48,595	44,451	49,275	44,451
General Repairs	151,077	120,705	148,873	145,811	150,958	145,811
Motor Vehicle Expenses	18,874	18,216	18,599	14,573	18,859	14,573
Fees for Outside Professional Services	7,298	7,044	7,277	7,044	7,466	7,044
Fees for Non-Professional Services	139,815	124,943	137,777	134,943	139,706	134,943
DP Services, Rentals and Maintenance	105,369	101,697	123,834	100,134	105,288	100,134
Postage	18,991	18,329	18,714	18,329	18,976	18,329
Travel	95,157	91,841	96,770	75,136	98,082	75,136
Other Contractual Services	46,951	35,315	46,267	45,315	46,915	45,315
Advertising	76,035	73,385	74,926	73,385	75,975	73,385
Printing & Binding	6,507	6,280	6,412	6,280	6,502	6,280
<b><i>Other Expenses-Commodities</i></b>						
Agriculture, Horticulture, Dairy & Food	286	276	282	221	288	221
Books	14,671	14,160	14,457	14,160	14,659	14,160
Clothing and Personal Supplies	29	28	28	28	28	28
Maintenance and Motor Vehicle Supplies	3,131	3,022	3,082	2,481	3,082	2,481
Medical Supplies	398	384	404	384	422	384
Fuel	21,639	20,885	21,846	21,846	22,042	22,042
Office Supplies	22,996	19,002	61,821	39,002	64,178	39,002
<b><i>Other Expenses-Sundry</i></b>						
Sundry - Other Items	13,308	12,844	12,816	12,844	12,816	12,844
TOTAL-Other Expenses Gross	1,746,166	1,617,009	1,782,940	1,677,671	1,788,512	1,678,486
Less Reimbursements						
TOTAL-Other Expenses Net	1,746,166	1,617,009	1,782,940	1,677,671	1,788,512	1,678,486

Other Current Expenses

Fringe Benefits	5,715,795	6,834,901	7,688,356	7,045,159	8,152,874	7,246,693
Indirect Overhead	23,823	149,575	387,526	387,526	410,780	410,780
Nuclear Energy Advisory Council	0	8,661	9,116	0	9,116	0
<b>TOTAL-Other Current Expenses</b>	<b>5,739,618</b>	<b>6,993,137</b>	<b>8,084,998</b>	<b>7,432,685</b>	<b>8,572,770</b>	<b>7,657,473</b>

**Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Other Current Expenses	131,859	0	0	0	0	0	0	0
<b>TOTAL-General Fund Net</b>	<b>131,859</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
Personal Services Net	10,568,158	11,653,159	12,737,926	12,226,237	12,126,237	13,113,476	12,603,089	12,503,089
Other Expenses Net	1,746,166	1,617,009	1,782,940	1,704,489	1,677,671	1,788,512	1,705,304	1,678,486
Capital Outlay	42,778	92,626	169,900	60,500	60,500	250,900	80,500	80,500
Other Current Expenses	5,739,618	6,993,137	8,084,998	7,497,801	7,432,685	8,572,770	7,722,589	7,657,473
<b>TOTAL-Public Utility Fund Net</b>	<b>18,096,720</b>	<b>20,355,931</b>	<b>22,775,764</b>	<b>21,489,027</b>	<b>21,297,093</b>	<b>23,725,658</b>	<b>22,111,482</b>	<b>21,919,548</b>

Additional Funds Available

Siting Council	1,657,257	2,228,692	2,527,709	2,527,709	2,527,709	2,598,665	2,598,665	2,598,665
Federal and Other Activities	392,320	408,020	420,256	420,256	420,256	433,200	433,200	433,200
<b>TOTAL-All Funds Net</b>	<b>20,278,156</b>	<b>22,992,643</b>	<b>25,723,729</b>	<b>24,436,992</b>	<b>24,245,058</b>	<b>26,757,523</b>	<b>25,143,347</b>	<b>24,951,413</b>

# OFFICE OF THE HEALTHCARE ADVOCATE

## AGENCY DESCRIPTION

The Office of the Healthcare (OHA) assists health insurance consumers to make informed choices when selecting a plan, to understand their rights and responsibilities under their plan, to appeal denials of service and reimbursement, and to access services through information, referral and assistance.

OHA also provides information to the public, providers, agencies, and others regarding problems and concerns of health care consumers, and makes legislative and regulatory recommendations to resolve those concerns.

*In light of the current fiscal situation and the Governor's efforts to streamline state government and return it to its core functions, this commission is recommended for elimination in the Governor's budget. The Insurance Department's Consumer Services Division will assume its functions.*

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• Remove or Limit Inflation	-3,020	-5,078
• Rollout FY2009 Rescissions	-4,000	-4,000
• OE/OCE General Reductions	-619	-619
• Eliminate the Office of the Healthcare Advocate	-1,047,634	-1,065,475

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Insurance Fund	7	0	0	7	7	0	7	0
<i>Other Positions Equated to Full Time</i>								
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund			2	2	2	0	2	0

### Agency Programs by Total Funds

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Healthcare Advocate	839,145	1,008,072	1,039,101	1,052,253	0	1,063,677	1,070,094	0
TOTAL Agency Programs - All Funds Gross	839,145	1,008,072	1,039,101	1,052,253	0	1,063,677	1,070,094	0
Less Turnover								
TOTAL Agency Programs - All Funds Net	839,145	1,008,072	1,039,101	1,052,253	0	1,063,677	1,070,094	0
<u>Summary of Funding</u>								
Insurance Fund Net	839,145	1,008,072	1,039,101	1,052,253	0	1,063,677	1,070,094	0
TOTAL Agency Programs - All Funds Net	839,145	1,008,072	1,039,101	1,052,253	0	1,063,677	1,070,094	0

## HEALTHCARE ADVOCATE

**Statutory Reference**

Public Act 99-284

**Statement of Need and Program Objectives**

Assist health insurance consumers with plan selections, understanding their rights and responsibilities and accessing services through information, referral and assistance.

**Program Description**

The Office of the Healthcare Advocate maintains a toll-free number to assist and provide information to consumers, facilitates public comment on health insurance policies,

tracks complaints from the public and quantifies these complaints in order to make legislative and regulatory recommendations on behalf of consumers, and, analyzes and monitors federal and state law related to health insurance consumers and makes recommendations to enhance consumer protection as necessary.

OHA assists consumers with health insurance plan selection by providing information, referral and assistance to individuals about means of obtaining health insurance coverage and services, assist consumers with filing complaints and appeals and reviews consumers' health insurance records with written consent.

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
Insurance Fund	7	0	0	7	7	0	7	0
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Insurance Fund			2	2	2	0	2	0

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	437,490	541,822	556,987	556,987	0	565,235	565,235	0
Other Expenses	144,779	137,542	147,801	144,970	0	149,859	144,970	0
<u>Capital Outlay</u>								
Equipment	8,533	1,266	2,400	2,400	0	2,400	2,400	0
<u>Other Current Expenses</u>								
Fringe Benefits	233,465	303,692	311,913	327,896	0	322,183	333,489	0
Indirect Overhead	14,878	23,750	20,000	20,000	0	24,000	24,000	0
TOTAL-Insurance Fund	839,145	1,008,072	1,039,101	1,052,253	0	1,063,677	1,070,094	0

**Healthcare Advocate****AGENCY FINANCIAL SUMMARY - INSURANCE FUND**

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Current Expenses by Minor Object</i>						
<u>Personal Services</u>						
Permanent Fulltime Positions	413,889	512,498	524,837	0	528,835	0
Other Positions	22,793	27,669	30,000	0	35,000	0
Other	808	1,655	2,150	0	1,400	0
TOTAL-Personal Services Gross	437,490	541,822	556,987	0	565,235	0
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	437,490	541,822	556,987	0	565,235	0

## Budget Summary

### Other Expenses-Contractual Services

Dues and Subscriptions	4,863	4,586	4,682	0	4,748	0
Rentals, Storage and Leasing	14,290	13,476	13,759	0	13,952	0
Telecommunication Services	887	836	854	0	866	0
Fees for Outside Professional Services	500	472	482	0	489	0
Fees for Non-Professional Services	36	34	35	0	35	0
DP Services, Rentals and Maintenance	21,500	20,275	20,700	0	20,989	0
Postage	208	196	200	0	203	0
Travel	1,406	1,325	1,352	0	1,371	0
Other Contractual Services	475	448	457	0	463	0
Advertising	88,762	86,717	93,886	0	95,200	0

### Other Expenses-Commodities

Books	558	526	537	0	545	0
Office Supplies	10,445	7,850	10,056	0	10,197	0

### Other Expenses-Sundry

Sundry - Other Items	849	801	801	0	801	0
TOTAL-Other Expenses Gross	144,779	137,542	147,801	0	149,859	0
Less Reimbursements						
TOTAL-Other Expenses Net	144,779	137,542	147,801	0	149,859	0

### Other Current Expenses

Fringe Benefits	233,465	303,692	311,913	0	322,183	0
Indirect Overhead	14,878	23,750	20,000	0	24,000	0
TOTAL-Other Current Expenses	248,343	327,442	331,913	0	346,183	0

### **Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	437,490	541,822	556,987	556,987	0	565,235	565,235	0
Other Expenses Net	144,779	137,542	147,801	144,970	0	149,859	144,970	0
Capital Outlay	8,533	1,266	2,400	2,400	0	2,400	2,400	0
Other Current Expenses	248,343	327,442	331,913	347,896	0	346,183	357,489	0
TOTAL-Insurance Fund Net	839,145	1,008,072	1,039,101	1,052,253	0	1,063,677	1,070,094	0

# DEPARTMENT OF CONSUMER PROTECTION

## AGENCY DESCRIPTION

The Department of Consumer Protection is a regulatory agency responsible for protecting citizens from physical injury and financial loss that may occur as the result of unsafe or fraudulent products and services marketed in the State of Connecticut. The department's mission is to ensure a fair and equitable marketplace as well as safe products and services for consumers in the industries that it regulates. This protection is achieved through the licensure, inspection, investigation, enforcement and public education activities conducted by staff in six major programs: the Regulation of Food and Standards; the Regulation of Drugs, Cosmetics and Medical Devices; the Regulation of Alcoholic Liquor; the Regulation of Occupational and Professional Licensing; the Regulation of Trade Practices; and Management Services.

The extent of the department's regulatory oversight is unique among state agencies since its jurisdiction frequently overlaps with that of many other Connecticut state agencies. The department is responsible for enforcing numerous significant consumer protection laws including: the Connecticut Unfair Trade Practices Act; the Connecticut Pure Food, Drug and Cosmetic Act; the Connecticut State Child Protection Act; and the Connecticut Weights and Measures Act.

The agency remains vigilant against unexpected as well as ongoing health, safety and product-related problems. The Department of Consumer Protection must be able to mobilize staff at any time in order to respond quickly and effectively to a food, drug, product safety or economic crisis affecting Connecticut's marketplace or citizens.

*The Board of Accountancy is recommended for consolidation within the Department of Consumer Protection in the Governor's budget as part of her proposal to streamline state government.*

## AGENCY PROGRAM INDEX

Regulation of Food and Standards	290	Regulation of Trade Practices	295
Regulation of Drugs, Cosmetics & Med Devices	292	Regulation of Occupational & Prof Licensing	296
Regulation of Alcoholic Liquor	293	Agency Management Services	298

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• Remove or Limit Inflation	-27,741	-44,676
• Rollout FY2009 Rescissions	-143,154	-143,154
• Eliminate Vacant Positions	-118,000	-118,000
• OE/OCE General Reductions	-95,162	-95,162
• Transfer Equipment to CEPF	-100,000	-100,000

### Reallocations or Transfers

• Streamline Agency Operations - Transfer the Board of Accountancy to the Department of Consumer Protection	322,069	326,170
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## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	139	8	0	147	147	146	147	146
Federal Contributions	1	0	0	1	1	1	1	1
Private Funds	27	2	3	32	32	32	32	32

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Other Positions Equated to Full Time						
General Fund	6	6	8	8	8	8

Budget-in-Detail

<b>Agency Programs by Total Funds</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Regulation of Food and Standards	2,173,289	2,375,544	2,429,252	2,423,173	2,340,125	2,474,840	2,457,354	2,400,649
Regulation of Drugs, Cosmetics & Medical Devices	1,442,195	1,599,013	1,783,317	1,766,253	1,730,160	1,787,044	1,794,094	1,758,002
Regulation of Alcoholic Liquor	3,220,813	3,515,222	3,808,468	3,731,577	3,673,836	3,955,707	3,866,802	3,809,062
Regulation of Trade Practices	2,677,525	3,028,348	3,325,294	3,260,035	3,207,291	3,471,464	3,377,891	3,329,531
Regulation of Occupational & Professional Licensing	1,417,246	1,610,461	1,673,470	1,712,147	1,999,485	1,728,869	1,762,705	2,054,144
Agency Management Services	4,242,861	4,759,159	4,761,325	4,706,334	4,514,375	4,830,597	4,840,578	4,617,890
<b>TOTAL Agency Programs - All Funds Gross</b>	<b>15,173,929</b>	<b>16,887,747</b>	<b>17,781,126</b>	<b>17,599,519</b>	<b>17,465,272</b>	<b>18,248,521</b>	<b>18,099,424</b>	<b>17,969,278</b>
Less Turnover	0	0	-12,702	-152,730	-152,730	-13,083	-149,597	-149,597
<b>TOTAL Agency Programs - All Funds Net</b>	<b>15,173,929</b>	<b>16,887,747</b>	<b>17,768,424</b>	<b>17,446,789</b>	<b>17,312,542</b>	<b>18,235,438</b>	<b>17,949,827</b>	<b>17,819,681</b>
<u>Summary of Funding</u>								
General Fund Net	11,673,174	11,834,169	12,851,041	12,529,406	12,395,159	13,049,400	12,763,789	12,633,643
Federal and Other Activities	185,268	359,500	444,800	444,800	444,800	445,100	445,100	445,100
Bond Funds	156,934	395,049	0	0	0	0	0	0
Private Funds	3,158,553	4,299,029	4,472,583	4,472,583	4,472,583	4,740,938	4,740,938	4,740,938
<b>TOTAL Agency Programs - All Funds Net</b>	<b>15,173,929</b>	<b>16,887,747</b>	<b>17,768,424</b>	<b>17,446,789</b>	<b>17,312,542</b>	<b>18,235,438</b>	<b>17,949,827</b>	<b>17,819,681</b>

**REGULATION OF FOOD AND STANDARDS**

**Statutory Reference**

Chapters 250, 250a, 296a, 416, 417, 418, 419a, 419b, 419c, 420d, 743b, 750, 751, 752, and 753

**Statement of Need and Program Objectives**

To protect the health and safety of Connecticut citizens by regulating all persons and businesses that manufacture or sell packaged food products in the state in order to detect and prevent the distribution of adulterated, contaminated, or unsanitary food products. To protect both buyer and seller in marketplace transactions involving the determination of quantity and quality by ensuring that measurements are correct.

**Program Description**

Program objectives are achieved through the following activities.

Enforcement The Food and Standards Division conducts inspections of food-processing plants, warehouses, retail food stores, bakeries, non-alcoholic beverage plants, frozen dessert plants, vending machine locations, apple juice and cider plants, gasoline stations, heating oil dealers and all weighing and measuring devices used commercially such as retail store scales, motor truck scales, petroleum meters and home delivery truck meters. It checks the packaging, labeling, unit pricing, scanning and advertising of food products, kosher foods and non-food items as well as restaurant menus, advertisements and gasoline station price signs to ensure that the contents and their weights are represented correctly. New models of weighing and

measuring devices are examined in the laboratory or field prior to their use, sale and distribution to ensure that they meet the department’s requirements and motor fuel is tested for compliance with state and national standards. The division works cooperatively with the Department of Motor Vehicles and the Department of Public Safety on the Commercial Vehicle Safety and Inspection Program and the Calibration of Portable Scales Program by calibrating portable wheel load weighers in order to determine if trucks are overweight. It also regulates fuel retailers in the state and oversees and supplements the inspection work performed by municipal sealers of weights and measures. The division’s investigation of consumer complaints entails interviews with consumers, manufacturers, wholesalers and retailers as well as sample collection and, in many cases, laboratory analysis. Pursuant to a memorandum of understanding with the U. S. Department of Agriculture, the Food and Standards Division is responsible for conducting effectiveness checks on any meat and poultry recalls that affect the State of Connecticut. Pursuant to a memorandum of understanding with the State Department of Environmental Protection, the division is also responsible for the enforcement and compliance requirements of the Stage II Vapor Recovery Program.

Crisis Response The Food and Standards Division is an integral part of the State’s inter-agency network for rapid response to food crises during emergency situations, natural disasters and nuclear-related emergencies. Food involved in fires, floods, vehicular accidents, recalls and other incidents is inspected for contamination or adulteration and may be embargoed or designated for destruction. Two of the program’s most important crisis response functions are those which pertain to product-tampering incidents and the

federal/state recalls of food products. Both of these emergency situations entail communication with manufacturers and distributors, the collection of samples for testing, the possible removal of products from store shelves and complete monitoring of the incident or recall.

**Information and Referral** The Food and Standards Division responds to inquiries from citizens and licensees who are seeking information about food products, food-handling facilities, laboratory services, weights and measures devices, gasoline stations, petroleum products, product recalls, advertisements, state and federal laws and a wide variety of related issues. It also provides speakers and materials to consumer groups, civic and professional organizations, schools and trade shows to further the public education and outreach efforts that are a key component of its enforcement program.

**The Measurement Laboratory** The Food and Standards Division houses the State of Connecticut Measurement Center which has custody of the physical standards of mass, length, volume, and temperature (clinical thermometer standards.) The department must maintain accreditation from the U. S. Department of Commerce National Institute of Standards and Technology (NIST) in order to ensure that the calibration services provided to its public and private sector customers are certifiable. Businesses and industries in the State of Connecticut must utilize NIST standards which guarantee uniform measurement in order to compete successfully in the national and international marketplace. Calibration services are also performed on the standards used by other state agencies, municipalities, registered dealers of weighing and measuring devices, institutions, and those carried by the division's field inspectors.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Ratio and percentage of fuel meters inspected that are in compliance to the total number of fuel meters inspected annually	8371/9151 (91%)	8371/9151 (91%)	8371/9151 (91%)	8371/9151 (91%)
Ratio and percentage of consumer complaints closed to the total number of consumer complaints received annually	837/2658 (31%)	664/925 (72%)	664/925 (72%)	664/925 (72%)
Ratio and percentage of samples collected & analyzed to the total number of samples scheduled annually	452/850 (53%)	452/850 (53%)	452/850 (53%)	452/850 (53%)

#### **Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	23	1	0	24	24	24	24	24
Private Funds	3	0	0	3	3	3	3	3

#### **Financial Summary**

<b>(Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,601,140	1,658,399	1,751,407	1,769,455	1,733,599	1,825,033	1,816,555	1,780,699
Other Expenses	229,300	221,013	225,070	228,675	207,826	227,185	218,177	197,328

#### Capital Outlay

Equipment	0	0	54,075	26,343	0	0	0	0
TOTAL-General Fund	1,830,440	1,879,412	2,030,552	2,024,473	1,941,425	2,052,218	2,034,732	1,978,027

#### Additional Funds Available

Bond Funds	7,368	120,000	0	0	0	0	0	0
Private Funds	335,481	376,132	398,700	398,700	398,700	422,622	422,622	422,622
TOTAL - All Funds	2,173,289	2,375,544	2,429,252	2,423,173	2,340,125	2,474,840	2,457,354	2,400,649

#### **Regulation of Food and Standards**

## REGULATION OF DRUGS, COSMETICS AND MEDICAL DEVICES

### *Statutory Reference*

Chapters 370, 400j, 416, 417, 418, 419, 420b, and 420c

### *Statement of Need and Program Objectives*

To protect the health and safety of Connecticut citizens by regulating all persons and firms involved in the distribution of drugs, cosmetics and medical devices in order to detect and prevent the diversion of drugs from those channels.

### *Program Description*

Program objectives are achieved through the following activities.

**Enforcement** The Drug Control Division has both regulatory and enforcement authority (administrative and criminal) relating to the distribution of legal drugs in the State of Connecticut. Its oversight includes all health care practitioners who are authorized to prescribe controlled drugs in the state; all in-state manufacturers, wholesalers and laboratories that handle controlled drugs and/or other drugs, medical devices and cosmetics; and all out-of-state wholesalers that distribute drugs, medical devices and cosmetics within the State of Connecticut. Drug control agents conduct inspections of in-state pharmacies, institutional health care facilities, drug treatment programs, laboratories, individual practitioners' controlled substance stocks, and manufacturers and wholesalers of drugs, cosmetics and medical devices. A single routine inspection requires from 2 to 48 person-hours depending upon the type of facility being inspected. Field agents also conduct re-inspections and special inspections for reasons that may include non-compliance, suspected excess drug purchases or pharmacy robberies. They receive and supervise the destruction of drug stocks from legal sources as well as evidence from law enforcement authorities and perform controlled substance audits of pharmacies, hospitals, practitioners and wholesalers. The division investigates consumer complaints involving drugs, cosmetics and medical devices; the diversion, loss, theft or misuse of controlled substances from all legal sources; all reported instances of non-compliance involving persons and firms in the legal distribution chain; and all reports of excess drug purchases by legal distributors. It prepares investigative reports for the proper licensing authority, search and seizure warrants, arrest warrants and provides testimony at criminal trials and administrative hearings. The Drug Control Division administers the State's Prescription Drug Monitoring Program which is used by physicians, pharmacists and law enforcement to monitor distribution of controlled substance prescriptions, identify patterns of abuse, and initiate enforcement action

where necessary. It also implements programs designed to address the problem of prescription drug abuse and promotes drug safety in the home by educating the public as to the proper disposal of outdated/unwanted medications since discarding these items in drains or other sites could contaminate the water supply or soil.

**Crisis Response** The Drug Control Division is an integral component of the State's inter-agency network for rapid response to drug crises during emergency situations, natural disasters and nuclear-related emergencies. Drugs, cosmetics and medical devices involved in fires, floods, vehicular accidents, recalls and other incidents are inspected for contamination or adulteration and may be embargoed or designated for destruction. Two of the program's most important crisis response functions are those which pertain to product-tampering incidents and the federal/state recalls of drug products since potential public harm could occur as a result of the distribution of damaged or sub-potent products. Both of these emergency situations entail communication with manufacturers and distributors, the collection of samples for testing, the possible removal of products from store shelves and complete monitoring of the incident or recall. The division must respond immediately to cases of drug abuse or misuse by health care practitioners and to cases where special problems develop that represent a serious threat to public health and safety. Since September 11, 2001, the nation has worked purposefully towards developing response systems for disasters such as acts of terrorism, environmental accidents and infrastructure failures. These situations require new and innovative methods of drug supply, access and distribution for immediate delivery and the department is assisting in the development of these new systems.

**Information and Referral** The Drug Control Division responds to inquiries from citizens, licensees and law enforcement personnel who are seeking information about pharmaceutical products, drugs, cosmetics, medical devices, pharmacists, pharmacies, health care practitioners, product recalls, advertisements, state/federal laws and a wide variety of related issues. Its web page assists the public in readily accessing information related to the distribution of drug products in Connecticut. The division provides narcotic training programs for state and municipal law enforcement personnel and Judicial marshals; seminars, in-service training and continuing education programs for healthcare professionals; and newsletters and publications for healthcare practitioners and facilities. It also provides speakers and materials to consumer groups, civic and professional organizations, schools and trade shows to further the public education and outreach efforts that are a key component of its enforcement program.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Ratio and percentage of scheduled inspection hours conducted annually	2575/2720 (95%)	2575/2720 (95%)	2575/2720 (95%)	2575/2720 (95%)
Ratio and percentage of assigned investigations resulting in administrative or criminal actions	273/574 (48%)	273/574 (48%)	273/574 (48%)	273/574 (48%)
Ratio and percentage of law enforcement & health care professionals trained annually	2900/3000 (97%)	3100/3200 (97%)	3500/3600 (97%)	3500/3600 (97%)

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	14	0	0	14	14	14	14	14
Federal Contributions	1	0	0	1	1	1	1	1

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	1,139,541	1,163,605	1,260,456	1,241,526	1,216,368	1,262,491	1,274,573	1,249,415
Other Expenses	161,502	115,908	118,061	119,927	108,992	119,453	114,421	103,487
TOTAL-General Fund	1,301,043	1,279,513	1,378,517	1,361,453	1,325,360	1,381,944	1,388,994	1,352,902

Additional Funds Available**Federal Contributions**

16002 Law Enforcement Asst-Narc/Dangerous Drugs State	141,152	319,500	404,800	404,800	404,800	405,100	405,100	405,100
TOTAL - All Funds	1,442,195	1,599,013	1,783,317	1,766,253	1,730,160	1,787,044	1,794,094	1,758,002

**Regulation of Drugs, Cosmetics & Med Devices****REGULATION OF ALCOHOLIC LIQUOR****Statutory Reference**

Chapter 545

**Statement of Need and Program Objectives**

To protect the health and safety of Connecticut citizens by regulating all persons and firms involved in the distribution, sale and dispensing of alcoholic liquor in order to prevent sales to minors and intoxicated persons, guarantee product integrity and ensure that licensed premises are safe and sanitary.

**Program Description**

Program objectives are achieved through the following activities.

Enforcement The Liquor Control Division conducts inspections and investigations to ensure compliance with the provisions of state laws and regulations pertaining to the manufacture, importation, sale and dispensing of alcoholic liquor. Applicants for liquor permits are investigated to assess their eligibility for licensure while establishments with permits are inspected to ensure that safety, sanitary conditions and suitability of conduct requirements are met. Field agents investigate alleged violations of the State Liquor

Control Act that include the sale of alcohol to minors and intoxicated persons; the conduct of premises as it pertains to unlawful activity such as suspected drug dealing, fights, and illegal gambling; deceptive or unfair trade practices; pricing; labeling; violations of regulations regarding adult entertainment; purchases of alcoholic liquor from prohibited entities; brand registration; reported instances of non-compliance; and consumer complaints involving alcoholic liquor. The division works in a collaborative manner with state and municipal police officers to conduct joint enforcement actions such as alcohol compliance operations that utilize trained minors. It also seizes alcoholic liquor products, maintains the evidence for hearings and court cases and subsequently supervises the destruction or disposal of these products. Liquor control agents prepare investigative reports, testify at administrative proceedings that result in dispositions of violations by fining, suspending or revoking liquor permits and may testify in federal or state courts.

Information and Referral The Liquor Control Division responds to inquiries from citizens, permittees and law enforcement personnel who are seeking information about permit holders, permit requirements, brand registrations, the State Liquor Control Act and regulations, acceptable forms of identification and a wide variety of related issues. It conducts training programs for state and local law

Budget-in-Detail

enforcement officers, holds workshops for permittees and servers and assists organizations by providing information and strategies designed to prevent underage drinking. The division also provides speakers and materials to all of these entities as well as to consumer groups, civic and professional organizations, schools and trade shows to further the public education and outreach efforts that are a key component of its enforcement program.

**Liquor Control Commission** The Liquor Control Commission is a three-member regulatory body within the department that is chaired by the Commissioner of Consumer Protection. It

oversees provisional permits and holds formal administrative hearings as well as compliance meetings regarding allegations about the suitability of applicants and permittee premises, obtaining liquor permits by fraud, sales to minors and intoxicated persons, unlawful activity on permittee premises and other matters as are delegated to the Liquor Control Commission by the Commissioner of Consumer Protection. The commission reviews and approves final liquor permits, substitute permittee applications, patio requests and other issues that come before it for consideration.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Ratio and percentage of assigned alcohol compliance checks completed annually	693/700 (99%)	750/800 (94%)	800/850 (94%)	800/850 (94%)
Ratio and percentage of new application investigations completed within 90 days	691/721 (96%)	725/750 (97%)	725/750 (97%)	725/750 (97%)
Ratio and percentage of assigned investigations resulting in administrative action	500/600 (83%)	525/600 (88%)	525/600 (88%)	525/600 (88%)

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	27	1	0	28	28	27	28	27
Private Funds	10	0	0	10	10	10	10	10

*Other Positions Equated to Full Time*

	2007-2008 <u>Actual</u>	2008-2009 <u>Estimated</u>	2009-2010 <u>Requested</u>	2009-2010 <u>Recommended</u>	2010-2011 <u>Requested</u>	2010-2011 <u>Recommended</u>
General Fund	1	1	1	1	1	1

**Financial Summary**

	2007-2008 <u>Actual</u>	2008-2009 <u>Estimated</u>	2009-2010 <u>Requested</u>	Current <u>Services</u>	2009-2010 <u>Recommended</u>	2010-2011 <u>Requested</u>	Current <u>Services</u>	2010-2011 <u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	1,822,922	1,827,992	2,030,412	1,950,405	1,910,881	2,082,938	2,002,321	1,962,798
Other Expenses	222,152	193,108	196,687	199,803	181,586	198,918	190,630	172,413
TOTAL-General Fund	2,045,074	2,021,100	2,227,099	2,150,208	2,092,467	2,281,856	2,192,951	2,135,211

Additional Funds Available

Private Funds	1,131,623	1,454,122	1,541,369	1,541,369	1,541,369	1,633,851	1,633,851	1,633,851
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**Federal Contributions**

20600 State & Community Highway Safety	44,116	40,000	40,000	40,000	40,000	40,000	40,000	40,000
TOTAL - All Funds	3,220,813	3,515,222	3,808,468	3,731,577	3,673,836	3,955,707	3,866,802	3,809,062

**Regulation of Alcoholic Liquor**

## REGULATION OF TRADE PRACTICES

### *Statutory Reference*

Chapters 399a, 400, 400m, 400o, 407, 407a, 419d, 420, 420a, 420d, 420e, 734b, 735a, 735b, 735c, 736, 737, 738b, 739, 740, 741, 743b, 743c, 743d, 743e, 743h, 743i, 743l, 743m, 743n, 743o, 743p, 743q, 743s, 743t, 743u

### *Statement of Need and Program Objectives*

To protect Connecticut citizens from unfair or deceptive practices in the marketplace through the enforcement of consumer protection laws and the mediation of disputes between buyers and sellers. To protect public health and safety by regulating the manufacture, distribution and sale of bedding and upholstered furniture products and by enforcing the provisions of the State Child Protection Act. To provide arbitration for the resolution of complaints concerning new automobiles and motorcycles purchased in Connecticut.

### *Program Description*

Program objectives are achieved through the following activities.

**Enforcement** The Trade Practices Division receives complaints and conducts investigations to determine if violations of applicable consumer protection laws exist. Documented violations are resolved by either voluntary compliance or referral for legal actions such as consent agreements, cease and desist orders, criminal arrest, injunctive action, restitution and civil penalties. In complaints where no statutory violations are found, the division may provide informal mediation services to consumers. When no resolution is possible, consumers are counseled on their available options and given advice for future preventative measures. The division also enforces the State Child Protection Act and conducts product testing, monitors injury/death statistics and identifies priority issues from consumer complaints. Recalls are initiated and monitored when products do not comply with mandatory safety standards. Manufacturers of hazardous substances are inspected to determine if cautionary labeling is accurate and complete. Inspections of bedding and upholstered furniture are conducted at all levels of the manufacturing and distribution chain. The division regulates closing out sales, home improvement contractors, new home construction contractors, health clubs, homemaker companion agencies, itinerant vendors and hypnotists. It also administers the Lemon Law Arbitration Program which provides an independent arbitration mechanism to settle disputes between consumers and automobile manufacturers regarding defective new cars and motorcycles. The Trade Practices Division provides financial relief to consumers from fraudulent activities through its administration of the Home Improvement Guaranty Fund, the Health Club Guaranty Fund, the Itinerant Vendor Guaranty Fund and the New Home Construction Guaranty Fund.

**Crisis Response** The Trade Practices Division recalls products that fail to meet mandatory safety standards. These recall

actions entail communication with manufacturers and distributors, collection of samples for testing, possible removal of products from store shelves and a complete monitoring of the product removed from distribution. The division must also respond immediately to cases where emerging hazards develop for new products that represent a serious threat to public health and safety.

**Information and Referral** The agency's Consumer Complaint Center is an important component of the department. It serves the public by processing, referring, tracking, mediating and making final disposition on all written complaints received by the Trade Practices Division. It responds to Freedom of Information requests and inquiries for the complaint history of any business or person, prepares complaint files for potential legal action, provides information to other state, local and federal agencies and provides ongoing updated information to consumers who contact the department. The center provides important analyses of emerging trends and problem areas through its case management database information system. This analysis provides the Commissioner of Consumer Protection with the information necessary to direct industry-wide investigations, develop legislation, prepare statewide consumer alerts and prioritize staff assignments. The Trade Practices Division also provides speakers and materials to consumer groups, civic and professional organizations, schools and trade shows to further the public education and outreach efforts that are a key component of its enforcement program.

**Public Charities Unit** The Public Charities Unit is a joint activity of the Department of Consumer Protection and the Office of the Attorney General. Combining the administrative, investigatory and prosecutorial resources of the two agencies into one unit facilitates the accomplishment of two interrelated program objectives. Registered charities are required to file annual financial reports that provide comprehensive information on their income and expenditures. Paid soliciting firms hired by charities are also required to register with the unit, file a notice of each upcoming solicitation campaign and submit a post-campaign financial report. Reports and notices are reviewed for completeness and, where problems are noted, the charity or solicitor is asked to file an amended report. These sources provide the basis for an investigation of possible statutory violations which usually includes a detailed review of the alleged offender's financial records by the unit's auditor. If a violation is established, the Public Charities Unit proceeds with one or more of the following enforcement options: a civil suit in Superior Court; a criminal arrest; or an administrative action to revoke or suspend the registration of the charity or paid soliciting firm. The unit compiles and disseminates comprehensive statistics on charitable activity in Connecticut as well as on the activity of paid soliciting firms. It receives and responds to complaints and inquiries from the public, businesses and law enforcement agencies.

Budget-in-Detail

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Ratio and percentage of investigations resulting in administrative and criminal referrals	701/1500 (47%)	719/1530 (47%)	750/1600 (47%)	750/1600 (47%)
Ratio and percentage of consumer complaints completed within 60 days	6140/7986 (77%)	6175/8000 (77%)	6400/8200 (78%)	6500/8300 (78%)
Ratio and percentage of scheduled inspections conducted annually	922/1700 (54%)	950/1700 (56%)	970/1700 (57%)	980/1700 (58%)
Ratio and percentage of arbitration requests resolved within 90 days	132/145 (91%)	134/145 (92%)	140/150 (93%)	145/152 (95%)

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	23	1	0	24	24	23	24	23
Private Funds	7	2	2	11	11	11	11	11

<i>Other Positions Equated to Full Time</i>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1	1	1	1	1	1

**Financial Summary**

<b>(Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,563,653	1,611,495	1,782,373	1,719,409	1,684,567	1,852,402	1,765,177	1,730,335
Other Expenses	153,626	143,295	145,942	148,263	134,745	147,804	141,456	127,938
<u>Capital Outlay</u>								
Equipment	0	0	9,000	4,384	0	0	0	0
TOTAL-General Fund	1,717,279	1,754,790	1,937,315	1,872,056	1,819,312	2,000,206	1,906,633	1,858,273
<u>Additional Funds Available</u>								
Private Funds	960,246	1,273,558	1,387,979	1,387,979	1,387,979	1,471,258	1,471,258	1,471,258
TOTAL - All Funds	2,677,525	3,028,348	3,325,294	3,260,035	3,207,291	3,471,464	3,377,891	3,329,531

**Regulation of Trade Practices**

**REGULATION OF OCCUPATIONAL AND PROFESSIONAL LICENSING**

**Statutory Reference**

Chapters 390, 391, 392, 393, 393b, 393c, 394, 396, 396a, 399b, 400b, 400f, 400g, 400h, 400i, 400l, 412, 416, 482, 734a, and 826

**Statement of Need and Program Objectives**

To protect Connecticut citizens from health and safety hazards and from unsafe or unscrupulous practitioners by administering a professional licensing procedure which ensures that only qualified, competent individuals are licensed in the occupational trades and in several professional licensing categories. To protect public health and safety through the enforcement of licensing obligations for numerous occupational and professional trades.

**Program Description**

Program objectives are achieved through the following activities.

Enforcement The Occupational and Professional Licensing Division enforces laws governing approximately 93,000 licensees in 33 areas and, where applicable, administers nationally standardized examinations as approved by each licensing board. License categories handled include, but are not limited to, plumbers, pipefitters, steamfitters, elevator repairers, well-drillers, real estate salespersons and brokers, real estate appraisers, interstate land sales, architects, professional engineers, land surveyors, landscape architects, interior designers, mechanical contractors, television and radio repairers, major contractors, public service technicians, home inspectors, automatic fire sprinkler system layout technicians, mobile home parks, glaziers, operating stationary engineers and pool and spa repairers. The division ensures

that applicants for licensure possess the required education and training by testing for specific knowledge of the licensed fields. It conducts inspections at worksites to ensure that all workers are properly licensed, investigates consumer complaints regarding the occupational and professional trades and visits the business locations of various license holders to examine their records. The Occupational and Professional Licensing Division provides financial relief to consumers from fraudulent activities through its administration of the Real Estate Guaranty Fund.

**Boards, Commissions and Councils** The Occupational and Professional Licensing Division provides administrative support and works closely with numerous licensing boards, commissions and councils to administer and enforce laws regarding eligibility for licensure and to develop and administer testing procedures that determine competency. These boards include the following: Plumbing and Piping Work Examining Board; Heating, Piping, Cooling and Sheet Metal

Work Examining Board; Electrical Work Examining Board; Elevator Craftsman Work Examining Board; Fire Protection Sprinkler Work Examining Board; Automotive and Flat Glass Work Examining Board; Home Inspector Licensing Board; Architectural Licensing Board; State Boards of Examiners for Professional Engineers and Land Surveyors; State Board of Landscape Architects; Real Estate Commission; Real Estate Appraisal Commission; Board of Examiners of Shorthand Reporters; Major Contractor Advisory Council; and Mobile Manufactured Home Park Council.

**Information and Referral** The division responds to inquiries from citizens and licensees who are seeking information about licensing requirements, fees, state and local laws, licensees and a wide variety of related issues. It also provides speakers and materials to consumer groups, civic and professional organizations, schools and trade shows to further the public education and outreach efforts that are a key component of its enforcement activities.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Ratio and percentage of inspections and investigations resulting in administrative referrals	529/1204 (44%)	540/1210 (45%)	555/1215 (46%)	565/1225 (46%)
Ratio and percentage of new license applications processed within 33 days	5704/7221 (79%)	5993/7221 (83%)	6138/7221 (85%)	6282/7221 (87%)
Ratio and percentage of scheduled inspections conducted annually	487/700 (70%)	510/700 (73%)	525/700 (75%)	540/700 (77%)

#### **Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	15	1	0	16	16	19	16	19
Private Funds	3	0	1	4	4	4	4	4

#### **Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,086,731	1,126,232	1,164,745	1,201,652	1,421,013	1,194,881	1,233,638	1,457,594
Other Expenses	125,556	110,032	112,076	113,846	181,823	113,541	108,620	176,103
TOTAL-General Fund	1,212,287	1,236,264	1,276,821	1,315,498	1,602,836	1,308,422	1,342,258	1,633,697

#### **Additional Funds Available**

Private Funds	204,959	374,197	396,649	396,649	396,649	420,447	420,447	420,447
TOTAL - All Funds	1,417,246	1,610,461	1,673,470	1,712,147	1,999,485	1,728,869	1,762,705	2,054,144

#### **Regulation of Occupational & Prof Licensing**

**MANAGEMENT SERVICES**

**Statutory Reference**

Chapter 416

**Statement of Need and Program Objectives**

To coordinate and administer policies and programs designed to provide consumer protection to the general public through licensing, investigation, inspection, regulation, enforcement and education.

**Program Description**

The nature of the department's responsibilities demands constant vigilance against unexpected as well as ongoing health, safety and product-related problems. This is best accomplished by programs designed to prevent marketplace problems. Above all, it requires the ability to mobilize staff and resources in order to respond immediately and efficiently to food, drug, product safety and economic violations that threaten the physical and financial well-being of the citizenry. Six distinct areas comprise Management Services.

The Office of the Commissioner sets the agency's course by identifying priorities and by anticipating marketplace problems. Policy directives, often influenced by federal or multi-state activity, are tailored to the needs of Connecticut's marketplace and are issued to the agency's program directors for study and action.

The Office of Consumer Education and Communications is responsible for providing relevant information to the public and alerting citizens to consumer news. This includes preparing and distributing press releases and public service announcements that are designed to increase citizen awareness of unsafe products and deceptive trade practices.

The office also disseminates information regarding product recalls, embargoes, tampering and contamination through all available media resources. It maintains the department's website and works with other governmental agencies, professional associations, business and civic organizations, schools and special interest groups on consumer protection issues.

The Legal Services Office provides in-house legal support services through administrative enforcement actions such as formal hearings, compliance meetings, agreements containing consent orders, assurances of voluntary compliance, investigative demands and subpoenas. Investigations conducted by the department's divisions are referred to the Legal Services Office for action. The office is involved in the enforcement of all regulated entities such as home improvement, liquor control, occupational and professional licensing, food, weights and measures and drug control. The attorneys in the Legal Services Office also draft legislation, regulations and declaratory rulings. They provide daily guidance to agency staff and respond to inquiries from consumers, licensees and outside counsel.

The License Services Division processes all licenses, permits, registrations and certificates issued by the department. During FY08, the issuance of approximately 229,000 licenses in 208 different categories generated more than \$29 million in revenue for the State of Connecticut.

The Administrative and Accounting Services Office administers consumer restitution funds and accounts receivable activity. It also provides financial and administrative support services to the agency.

The Technical Systems Unit provides information technology support services to the agency.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Ratio and percentage of renewal applications processed & licenses issued in less than 5 days	143M/203M (70%)	143M/203M (70%)	143M/203M (70%)	143M/203M (70%)
Ratio and percentage of renewal license applications processed electronically	32M/183M (17%)	36M/183M (20%)	40M/203M (20%)	45M/203M (22%)

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	37	4	0	41	41	39	41	39
Private Funds	4	0	0	4	4	4	4	4
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			4	4	6	6	6	6

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	3,050,242	3,065,031	3,250,789	3,270,283	3,204,014	3,325,878	3,357,333	3,291,063
Other Expenses	516,809	598,059	620,250	618,792	562,375	561,959	590,385	533,967
<u>Capital Outlay</u>								
Equipment	0	0	142,400	69,373	100	150,000	100,100	100
TOTAL-General Fund	3,567,051	3,663,090	4,013,439	3,958,448	3,766,489	4,037,837	4,047,818	3,825,130
<u>Additional Funds Available</u>								
Bond Funds	149,566	275,049	0	0	0	0	0	0
Private Funds	526,244	821,020	747,886	747,886	747,886	792,760	792,760	792,760
TOTAL - All Funds	4,242,861	4,759,159	4,761,325	4,706,334	4,514,375	4,830,597	4,840,578	4,617,890
<b>Agency Management Services</b>								

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<b>Current Expenses by Minor Object</b>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	9,689,362	9,875,747	10,619,250	10,742,158	10,909,856	11,037,359
Other Positions	193,543	187,100	208,075	160,075	215,149	163,075
Other	279,443	347,728	367,746	283,098	368,007	280,859
Overtime	101,881	74,056	76,988	16,988	82,488	22,488
TOTAL-Personal Services Gross	10,264,229	10,484,631	11,272,059	11,202,319	11,575,500	11,503,781
Less Reimbursements	0	-31,877	-31,877	-31,877	-31,877	-31,877
Less Turnover	0	0	-12,702	-152,730	-13,083	-149,597
TOTAL-Personal Services Net	10,264,229	10,452,754	11,227,480	11,017,712	11,530,540	11,322,307
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	29,126	27,290	28,572	33,072	28,972	33,072
Utility Services	565	530	568	530	573	530
Rentals, Storage and Leasing	634	594	623	594	632	594
Telecommunication Services	90,117	84,438	88,408	79,922	89,647	79,922
General Repairs	65,018	58,185	60,917	58,302	61,770	58,302
Motor Vehicle Expenses	262,857	265,033	277,485	210,793	281,369	210,793
Fees for Outside Professional Services	3,545	3,321	3,477	3,321	3,526	3,321
Fees for Non-Professional Services	106,548	115,931	65,222	79,600	66,134	79,600
DP Services, Rentals and Maintenance	219,662	310,018	353,025	403,713	291,179	337,602
Postage	218,550	196,645	205,884	208,477	208,767	208,477
Travel	53,009	39,708	41,572	38,390	42,153	38,390
Other Contractual Services	5,649	5,293	5,542	5,293	5,620	5,293
Printing & Binding	13,229	8,369	8,762	9,446	8,885	9,446
<u>Other Expenses-Commodities</u>						
Agriculture, Horticulture, Dairy & Food	2,174	2,037	2,131	1,826	2,173	1,826
Books	1,164	1,090	1,141	1,090	1,157	1,090
Clothing and Personal Supplies	98	92	96	92	97	92
Maintenance and Motor Vehicle Supplies	190,233	144,299	150,934	115,588	150,998	115,588

**Budget-in-Detail**

Medical Supplies	147	138	148	138	155	138
Fuel	6	6	6	6	6	6
Office Supplies	100,975	82,844	86,734	90,909	87,950	90,909
Refunds of Expenditures Not Otherwise Classified	25,893	17,652	18,481	17,652	18,739	17,652
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	19,746	17,902	18,358	18,593	18,358	18,593
TOTAL-Other Expenses Gross	1,408,945	1,381,415	1,418,086	1,377,347	1,368,860	1,311,236
Less Reimbursements						
TOTAL-Other Expenses Net	1,408,945	1,381,415	1,418,086	1,377,347	1,368,860	1,311,236

**Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	10,264,229	10,452,754	11,227,480	11,000,000	11,017,712	11,530,540	11,300,000	11,322,307
Other Expenses Net	1,408,945	1,381,415	1,418,086	1,429,306	1,377,347	1,368,860	1,363,689	1,311,236
Capital Outlay	0	0	205,475	100,100	100	150,000	100,100	100
TOTAL-General Fund Net	11,673,174	11,834,169	12,851,041	12,529,406	12,395,159	13,049,400	12,763,789	12,633,643
<i>Additional Funds Available</i>								
Federal and Other Activities	185,268	359,500	444,800	444,800	444,800	445,100	445,100	445,100
Bond Funds	156,934	395,049	0	0	0	0	0	0
Private Funds	3,158,553	4,299,029	4,472,583	4,472,583	4,472,583	4,740,938	4,740,938	4,740,938
TOTAL-All Funds Net	15,173,929	16,887,747	17,768,424	17,446,789	17,312,542	18,235,438	17,949,827	17,819,681

# DEPARTMENT OF LABOR

## AGENCY DESCRIPTION

The mission of the Department of Labor (DOL) is to protect and promote the interests of Connecticut's workers and assist workers and employers to be competitive in the global economy.

The department accomplishes its mission by providing a variety of services that benefit the workplace. These services include: income support that assists workers between jobs and stimulates the local economy; protection on the job (through statutes covering wages, safety regulations, working conditions, and on-site health and safety consultations); work-related training programs; job search and recruitment assistance (through the CT Job Central and local and regional job fairs); tax credit incentive programs and maintenance of the collective bargaining relationship. As the Connecticut arm of the U.S. Bureau of Labor Statistics, the department collects, analyzes and disseminates workforce data to inform businesses, the general public, educational institutions, and government planners and policymakers about employment issues and trends.

Informational and enforcement responsibilities that serve both workers and employers are assigned to the department by statutes that cover the payment of wages, collection of Unemployment Insurance (UI) taxes, payment of UI benefits, health and safety, employment of minors, family and medical

leave, representation by labor organizations and resolution of labor disputes.

Placing a strong emphasis on continuous improvement in terms of quality and customer satisfaction, the department provides both employment and unemployment services to workers and employers. In addition to providing unemployment insurance through its TeleBenefits telephone system and the Internet Online Service, DOL employees provide employment services from the department's central office in Wethersfield, and the 14 CTWorks one-stop centers located throughout the state. The department's website is also highly utilized by job seekers and employers interested in job fairs, wage standards, unemployment insurance, labor market information, and Connecticut's job bank and a wide variety of other workforce services.

DOL's major programs, Unemployment Insurance (UI) and the Wagner-Peyser Labor Exchange/Employment Services, are federally funded. Federal funding for the administration of the state's UI program is tied to the unemployment rate. Connecticut's unemployment rate has ranged from 4.5 percent to 5.8 percent during 2007 - 2008.

DOL continues to work with a coalition of business, labor and state and federal government agencies to develop federal legislation that would, among other things, increase administrative funding for UI and employment services.

*Certain programs within the Department of Labor are proposed for elimination through consolidation with the newly formed Connecticut Middle College System in the Governor's budget as part of her initiative to streamline state government.*

## AGENCY PROGRAM INDEX

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## RECOMMENDED SIGNIFICANT CHANGES

### *Reductions to Current Services*

	<u>2009-2010</u>	<u>2010-2011</u>
• Remove or Limit Inflation	-616,143	-1,040,680
• Rollout FY2009 Rescissions	-1,592,970	-1,592,970
• Eliminate Vacant Positions	-297,518	-298,518
• OE/OCE General Reductions	-45,995	-45,995
• Transfer Equipment to CEPF	-70,922	-60,203
• Eliminate Funding for Connecticut's Youth Employment Program	-4,750,000	-4,750,000

*Remaining funding after rollout of FY2009 rescission of \$250,000 is eliminated. It is anticipated that the federal stimulus legislation will provide additional funding for initiatives such as summer youth employment.*

Budget-in-Detail

- Re-bid Contracted Services for Jobs First Employment Services and TANF Job Reorganization -3,496,607 -3,496,607  
*It is anticipated that considerable savings can be achieved through a competitive bid process for the services required to place persons on Temporary Family Assistance in appropriate employment and training activities.*
- Eliminate Funding for Individual Development Accounts -570,000 -570,000
- Transfer Funding for Unemployment Compensation Benefits for Military Spouses To UI Trust Fund -175,000 -175,000  
*Unemployment compensation benefits for military spouses are fully funded through the Unemployment Insurance trust fund.*
- Eliminate Funding for Occupational Health Clinics -674,587 -674,587  
*Occupational Health Clinics are funded from the Workers' Compensation Fund. Support for the collection of injury data is redundant of other data collection efforts. Occupational injury data is available from other sources.*
- Reduce Funding for Various Programs -370,999 -370,999  
*Due to anticipated efficiencies employment service and training related program funds and associated staff are transferred to the Middle College initiative.*

**Reallocations or Transfers**

- Reallocate Funds For Job Training and Education to the Middle College Initiative -2,882,665 -2,883,361  
*Funds and related positions for specific programs are transferred to the newly created Middle College. Programs transferred from DOL are Opportunity Industrial Centers, STRIDE, the Apprenticeship Program, Connecticut Career Resource Center, 21st Century Jobs, Incumbent Worker Training and STRIVE.*
- Combine Funding JOBS First Employment Services and TANF Job Reorganization 0 0  
*Funding in the TANF Job Reorganization account is combined with funding for the JFES Program as both accounts serve the same function. There is no program impact as a result of this reallocation.*

**AGENCY PROGRAMS**

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	206	18	8	232	225	209	225	209
Employment Security Admin Fund	578	0	0	578	578	578	578	578
Private Funds	11	0	0	11	11	11	11	11
<i>Other Positions Equated to Full Time</i>								
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			3	4	4	4	4	4
Employment Security Admin Fund			20	20	20	17	20	17
Special Funds, Non-Appropriated			1	1	1	1	1	1

**Agency Programs by Total Funds**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Job Readiness and Employment Services	70,833,487	75,620,787	81,456,914	75,000,568	64,281,370	83,732,661	76,537,875	65,817,744
Unemployment Insurance	54,538,368	53,437,871	58,744,977	58,744,977	58,744,977	59,588,167	59,588,167	59,588,167
Labor Market Information	2,618,000	2,538,014	2,902,693	2,891,172	2,716,028	2,909,449	2,892,793	2,716,392
Workforce Job Training & Skill Development	3,822,327	3,671,462	3,871,595	3,823,141	864,549	3,919,033	3,837,598	879,006
Wage & Workplace Standards	3,246,243	3,356,157	3,600,574	3,691,369	3,600,011	3,602,087	3,608,153	3,617,914
Occupational Safety and Health	3,274,003	3,397,937	3,512,416	3,411,797	2,577,198	3,653,689	3,641,902	2,701,194
Maintaining the Collective Bargaining Relationship	2,385,004	2,508,249	2,911,349	2,829,976	2,726,308	2,882,178	2,787,890	2,691,592
Agency Management Services	13,246,258	13,846,265	14,854,728	14,799,609	14,740,656	15,061,593	15,001,041	14,941,917
TOTAL Agency Programs - All Funds Gross	153,963,690	158,376,742	171,855,246	165,192,609	150,251,097	175,348,857	167,895,419	152,953,926
Less Turnover	0	0	-179,722	-179,722	-179,723	-199,800	-199,800	-199,800
TOTAL Agency Programs - All Funds Net	153,963,690	158,376,742	171,675,524	165,012,887	150,071,374	175,149,057	167,695,619	152,754,126

Summary of Funding

General Fund Net	66,251,213	64,836,814	70,009,984	65,899,523	51,646,847	70,876,547	66,010,786	51,767,133
Banking Fund Net	0	2,500,000	2,552,176	0	0	2,587,677	0	0
Workers' Compensation Fund Net	665,399	674,587	688,837	688,837	0	697,840	697,840	0
Employment Security Admin Fund	84,864,569	87,575,530	96,050,815	96,050,815	96,050,815	98,589,518	98,589,518	98,589,518
Federal and Other Activities	15,724	25,000	25,500	25,500	25,500	26,010	26,010	26,010
Special Funds, Non-Appropriated	170,882	481,028	481,620	481,620	481,620	482,283	482,283	482,283
Bond Funds	463,005	784,720	300,000	300,000	300,000	300,000	300,000	300,000
Private Funds	1,532,898	1,499,063	1,566,592	1,566,592	1,566,592	1,589,182	1,589,182	1,589,182
TOTAL Agency Programs - All Funds Net	153,963,690	158,376,742	171,675,524	165,012,887	150,071,374	175,149,057	167,695,619	152,754,126

**JOB READINESS AND EMPLOYMENT SERVICES****Statutory Reference**

C.G.S. Chapters 565 and 567, Public Law 105-220, Subtitle B, Sec. 112 (b)(18)(C), Sec. 31-3j, Sec. 31-3k, Sec. 31-3o, Chapter 319oo, Sec. 31-51w, Sec. 4-124w, Sec. 17b-694, Sec. 12-217y, Sec. 17b-16.

**Statement of Need and Program Objectives**

To provide job placement, supportive services and temporary financial assistance to individuals who are unemployed and/or are training for employment.

**Program Description**

The Workforce Investment Act (WIA) is funded by the U.S. Department of Labor and administered by the CT DOL. It requires that workforce programs must be accountable, customer driven, locally designed and able to deliver high quality services to citizens and business. It builds upon the Connecticut Works one-stop system and brings state agency partners into the system. WIA program funds are distributed to the five Workforce Investment Boards (WIBs), which assess regional job training needs and operate the one-stop delivery system in their region.

WIA administration includes a wide variety of administrative support and services. WIA mandates that programs be monitored through performance tracking. During the most recently completed program year for which final data is available, over 5,000 participants were served. Of those exiting services, more than 80% were employed or had another positive outcome.

DOL's Rapid Response Unit provides information to workers affected by layoff and to their employers and unions. The unit conducts informational sessions for workers affected by mass layoffs and plant closings. At these sessions, workers learn about unemployment insurance benefits, job search assistance, the HUSKY plan and community resources.

Another responsibility of the Rapid Response Unit is to obtain and administer National Emergency Grants (NEGs). Staff works with the appropriate WIBs to request additional funding in cases of large layoffs and plant closings when regular WIA funding is not sufficient to support the numbers being separated. In FY2007, the Rapid Response Unit continued to administer NEGs for two companies with funding of over \$3,300,000 received in previous years.

Job Corps is a primarily residential, no-charge education and vocational training program administered by the U.S. Department of Labor that helps youth, ages 16-24 (no age limit for people with disabilities) get a better job, make more money and take control of their lives. At the Connecticut Job Corps Centers located in Hartford and New Haven, over 400 students a year enroll to learn a trade, earn a high school diploma or GED and get help finding a good job. The Job Corps pays the students a monthly allowance and provides health and dental services, drivers' education, on-site day care for children of non-residential students, career counseling and transition support for up to twelve months after graduation from the program.

CTDOL efforts directly link students with an array of CTWorks employment-related services. In addition to providing employment services and other supports to the students and staff, onsite DOL employees work with state and community agencies to bring more than \$1.5 million in resources to the Job Corps. A coalition of state agencies supports Job Corps Center by providing such services as a child day care center, additional instructors and counselors, volunteer tutors and training seminars.

There are currently five Opportunities Industrialization Centers (OICs), located in New Haven, New Britain, Bridgeport, Waterbury and New London, which deliver services to individuals with significant barriers to employment.

The Department of Labor administers Jobs First Employment Services (JFES) which provides employment services to recipients of the Temporary Family Assistance (TFA), the Department of Social Services' cash assistance program. The goals of JFES are to enable TFA recipients to become independent of cash assistance, through employment, within 21 months; to remain independent of cash assistance; and to achieve federally mandated work participation rates.

All TFA families, who are not determined to be exempt, have 21 months to reach independence through employment. These families are referred to as "time limited" welfare families and during the 21 months, the parents are required to participate with JFES.

JFES served 16,272 welfare recipients during FY2007. Of these, 5,905 entered employment at some time during that year. A range of services are provided including; assessment,

case management, assistance in preparing for and finding a job, vocational education, adult basic education, subsidized employment and other support services. DOL staff provided direct job search assistance to 2,733 participants who obtained employment at an average wage of \$9.78 per hour.

STRIDE (Skills, Transitional support, Respect, Integrity, Direction, and Employment) is a collaborative effort in Eastern Connecticut between the Department of Correction, Department of Labor, Department of Social Services and Quinebaug Valley Community College (QVCC). The program is designed to provide incarcerated and paroled individuals with the occupational skills and resources to enter competitive employment positions.

Individual Development Accounts (IDA) allow low-income individuals or individuals with disabilities to deposit modest savings from their earnings or disability income, which are matched at rate up to a 2:1 basis by private or public contributions. As individuals save regularly, usually over a one- to five-year period, community based organizations work with them to provide basic money management and financial skills training, credit repair assistance and asset specific training related to their savings goals.

Under the Wagner-Peyser Act, DOL receives federal funding to provide a public labor exchange system. CT JobCentral is the web-based job bank used to facilitate the labor exchange between individuals seeking employment and employers posting job openings. Other related employment services provided to individuals and employers are available at *CT Works* Career Centers located throughout the state. Federal funding for Wagner-Peyser employment services has decreased in the past decade.

CT JobCentral was launched July 1, 2007. This new job bank replaces America's Job Bank as a web-based system. It provides state labor exchange in alliance with JobCentral National Labor Exchange powered by Direct Employer Association and endorsed by NASWA (National Association of State Workforce Agencies). In FY2007, 13,266 individuals posted résumés, more than 3,700 employer accounts were granted access to use the system, including 18,598 job opportunities posted and over 400 CT employers indexed job openings.

For job seeking customers needing assistance beyond self-service resources, Career Centers offer a variety of employment services including career guidance and job search assistance; and workshops. In addition, Career Center staff provide job seekers occupational information and assistance with labor exchange activities, career guidance, assessments, referral to education and/or training as well as referral to supportive services. This year enhancements to Résumé Basics, Job Search Strategies and Interviewing Techniques Workshops were piloted in Hamden. New specialty workshops for Ex-Offender, Older Worker and Résumé Advanced were also launched statewide. In FY2007, *CT Works* Career Centers provided employment services to more than 45,000 individuals and 4,500 intensive services to veterans.

The *Career Express* mobile career center, now in its fourth year, has continued to offer workforce and job skills development services throughout CT. In FY2007, *Career Express* made 153 stops and provided services to 4,721 individuals.

### ***Special Population Groups***

Veterans Workforce Development DOL is committed to the federal mandate that veterans receive priority in all USDOL funded programs if veterans meet the eligibility requirements for said programs. All DOL staff in each CTWorks Center provide services to veterans with special emphasis given to services for disabled veterans and newly separating veterans including Connecticut National Guard and armed forces reserve members. A total of 6,904 veterans were served through CTWorks employment services in FY2007. Additionally, each CTWorks Center has specialized veteran staff to provide employment and training services exclusively to veterans. A total of 2,138 veterans, including 308 disabled veterans and 196 special disabled veterans, were served by the specialized DOL veteran staff. DOL staff concentrate efforts into two categories: Disabled Veteran Outreach Program representatives (DVOPs) and Local Veteran Employment Representatives (LVERs). The DVOPs/LVERs devote their time to serving veterans only and dedicate a portion of their time to outstation and outreach activities bringing DOL services to veterans who may not be aware of the employment assistance available to them. In Connecticut, the DOL veterans' program also runs a series of Transitional Assistance Program workshops (TAP) which are specifically targeted to Transitioning Service Members (TSMs) prior to leaving the armed forces. In FY2007, 1,125 TSMs attended the 21 TAP workshops.

Unemployment Claimants are required to register for employment services as a condition of eligibility for Unemployment Compensation benefits. The worker reemployment services program, known in Connecticut as "Enhanced Reemployment Services," identifies individuals who are likely to exhaust their unemployment benefits, who are unlikely to return to their previous jobs or occupations, and who will need job search assistance services to make a successful transition to new employment. DOL provides additional services to these customers to speed their return to the workforce. For FY2007, a total of 5,229 individuals attended orientation sessions.

Shared Work Program This voluntary program provides an alternative to layoffs for employers faced with a temporary decline in business. Rather than laying off a percentage of the workforce to cut costs, an employer may reduce the hours and wages of all or a particular group of employees. The employees whose hours and wages are reduced can receive partial unemployment compensation benefits to supplement their lost wages. During FY 08, 56 companies and their employees benefited from this program. Program highlights and regulations, along with a downloadable plan application, may be found at the department's website:

(<http://www.ctdol.state.ct.us/progsupt/bussrvce/swp.htm>).

People with Disabilities DOL is an active participant in and provides staff support to the Governor's Committee on Employment of People with Disabilities. It is the mission of the committee to facilitate the development and implementation of programs and initiatives for the employment of people with disabilities and promote a culture that strives to integrate people with disabilities into the workforce. With the support of DOL, the committee has established four statewide initiatives: Connecticut Youth Leadership Project (CTYLP), Connecticut Business Leadership

Network (CTBLN), High School/High Tech (HS/HT) and Start on Success (SOS). DOL staff also serve on the Commission on the Deaf and Hearing Impaired Advisory Board.

Migrant and Seasonal Farm workers (MSFWs) DOL is committed to providing MSFWs equal access to the full range of employment services available to the general population. The Department's State Monitor Advocate ensures compliance with all laws concerning Migrant and Seasonal Farmworkers. Outreach services were provided to approximately 437 workers.

Trade Adjustment Assistance (TAA) The TAA program is available to workers whose jobs have been impacted by foreign imports or shifts in production to a foreign country. TAA offers a variety of benefits and reemployment services to help unemployed workers prepare for and obtain suitable jobs. Through TAA, workers may receive retraining, job search and relocation assistance, health coverage tax credit, and weekly income support (Trade Readjustment Allowances-TRA) following exhaustion of their unemployment benefits. Some certifications also provide a wage subsidy (Alternative Trade Adjustment Assistance-ATAA) for older workers. During FY2007: 1,205 individuals were determined eligible for TAA

and 324 started training; USDOL issued Trade Act certifications covering Connecticut workers at 35 companies. FY2008: 1,247 individuals were determined eligible for TAA and 478 started training; USDOL issued 26 certifications covering Connecticut workers.

Alien Labor Certification (ALC) This program allows employers who have been unsuccessful in securing United States workers to hire foreign nationals on a temporary basis in both non-agricultural and agricultural employment environments. In order for an Alien Labor Certification to be approved, the U.S. Department of Labor must ensure that there are in fact an insufficient number of U.S. workers who are able, willing, qualified and available to fill these positions. Further, it must be established that the employment of the alien will not adversely affect the wages and working conditions of similarly employed U.S. workers. DOL also responds to requests for prevailing wages from employers intent on hiring H-1B non-immigrant professionals; H-2B Temporary Nonagricultural and Permanent Workers. ALC handled 4,038 requests for prevailing wages and inspected 43 farms in connection with agricultural certifications.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
ES-Job Posted on JobCentral	18,598	18,000	18,500	19,000
ES-Number Entered Employment	74,957	60,000	65,000	70,000
ES-Number Employment Retention (at 6 months)	61,657	50,000	55,000	60,000
ES-Number of Individuals Received Staff Assisted Service	28,773	30,000	30,000	30,000
ES-Number of Individuals Received Career Guidance	3,940	4,000	4,000	4,000
ES-Number of Individuals Referred to Employment	2,019	2,000	2,000	2,000
JFES-Number served	15,915	15,915	15,915	15,915
JFES-Number entered employment	5,638	5,638	5,638	5,638
JFES-Number retained employment 13 weeks	4,510	4,510	4,510	4,510
WIA-Entered Employment Rate - Adult (%)	79	81	81	81
WIA-Entered Employment Rate - Dislocated Worker (%)	86	89	89	89
WIA-Entered Employment Rate - Older Youth (%)	82	75	75	75
WIA-Skill Attainment Rate - Younger Youth (%)	87	86	86	86
VETS-Total Veterans/Eligibles Served	2,070	2,300	2,300	2,300
VETS-Disabled Veterans Served	418	450	450	450
VETS-Special Disabled Vets Served	226	230	230	230
VETS-Veteran Entered Employment Rate (%)	59	58	58	58
VETS-Veteran Emp Retention Rate (%)	77	77	77	77
VETS-Transitional Service Members Served	360	425	400	450
VETS-Transitional Assistance Program Workshops	20	20	20	20

## Budget-in-Detail

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	87	13	0	100	100	84	100	84
Employment Security Admin Fund	85	0	0	85	85	85	85	85
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Employment Security Admin Fund			4	4	4	4	4	4
Special Funds, Non-Appropriated			1	1	1	1	1	1

### Financial Summary

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	163,580	163,869	170,521	165,018	159,519	201,624	194,919	188,488
Other Expenses	6,266	6,347	6,620	6,511	6,318	6,711	6,514	6,320
<u>Other Current Expenses</u>								
Workforce Investment Act	25,158,470	24,464,108	26,499,842	22,957,988	22,957,988	26,839,578	22,957,988	22,957,988
Connecticut's Youth Employment Program	5,000,000	4,750,000	5,105,000	5,000,000	0	5,176,470	5,000,000	0
Jobs First Employment Services	16,219,096	15,521,077	16,970,590	16,692,533	18,555,803	17,162,014	16,694,693	18,557,963
Individual Development Accounts	350,000	570,000	612,600	600,000	0	621,176	600,000	0
STRIDE	234,427	285,000	306,300	300,000	0	310,588	300,000	0
TANF Job Reorganization	6,412,434	6,175,000	6,631,523	6,501,776	0	6,719,838	6,501,776	0
Unemployment Benefits for Military Spouses	0	175,000	0	175,000	0	0	175,000	0
TOTAL-General Fund	53,544,273	52,110,401	56,302,996	52,398,826	41,679,628	57,037,999	52,430,890	41,710,759
Customized Services	0	2,500,000	2,552,176	0	0	2,587,677	0	0
TOTAL-Banking Fund	0	2,500,000	2,552,176	0	0	2,587,677	0	0
<u>Additional Funds Available</u>								
Employment Security Admin Fund	16,730,585	20,081,799	21,820,122	21,820,122	21,820,122	23,324,702	23,324,702	23,324,702
Special Funds, Non-Appropriated	170,882	481,028	481,620	481,620	481,620	482,283	482,283	482,283
Bond Funds	300,000	447,559	300,000	300,000	300,000	300,000	300,000	300,000
Private Funds	87,747	0	0	0	0	0	0	0
TOTAL - All Funds	70,833,487	75,620,787	81,456,914	75,000,568	64,281,370	83,732,661	76,537,875	65,817,744

### Job Readiness and Employment Services

## UNEMPLOYMENT INSURANCE

### Statutory Reference:

C.G.S. Chapter 567

### Statement of Need and Program Objectives

To reduce the financial hardship of workers unemployed for short periods of time and to stimulate the local economy by maintaining purchasing power.

### Program Description

Unemployment Insurance (UI) provides a cushion from the effects of unemployment through partial wage replacement. The program is an economic stabilizer that helps to maintain the purchasing power of the unemployed. Benefits are payable to an eligible unemployed individual for 26 weeks

within a 52 week period. The average claimant collects 16.2 weeks of the 26 weeks of unemployment insurance. Other federal unemployment programs administered by the DOL include Disaster Unemployment Assistance for loss of earnings due to natural disaster and Trade Adjustment Assistance for worker groups certified by the U.S. DOL as adversely affected by imports or production shifts to certain countries. The Trade Adjustment Assistance benefits include: Training; relocation allowances and job search allowances; Trade Readjustment Allowances - weekly federally funded benefits after exhaustion of state unemployment benefits for those individuals in approved training; Alternative Trade Adjustment Assistance (ATAA), which provides eligible individuals over the age of 50 who obtain new employment within 26 weeks of their separation with a wage subsidy to help bridge the salary

gap between their old and new employment; and the health coverage tax credit, which is a refundable tax credit equal to 65% of the health insurance premium paid by an eligible individual or as an advance credit paid by the IRS and eligible individuals pay the remaining 35% of the premium for health coverage for themselves and qualified family members (Information on this credit may be located at <http://www.irs.gov> keyword *HCTC* or by calling the HCTC Call Center directly toll-free at 1-866-628-4282 (TDD/TYY 1-866-626-4282).

Initial unemployment claims are filed through an automated telephone system, "Dial to File" or over the Internet, in English or Spanish. Separation packets (English and Spanish versions), which include the separation notice or "pink slip", for use with these systems may be obtained by calling (860) 263-6635 or by download from DOL's Internet site (<http://www.ctdol.state.ct.us/tic/sep-pack.html>). Weekly continued claims are also filed using the automated TeleBenefits and WebBenefits systems, and *WebBenefits* gives claimants access to their benefit payment history with the capability to print out the information. Over 35% of all individuals filing weekly unemployment claims now use the Internet method.

Employers continue to use the UC-62V, Vacation Shutdown Claim for Unemployment, for temporary layoffs of 6 weeks or less.

Eligibility determinations through interviews with claimants and employers are conducted by telephone or in person at 9 adjudication centers throughout the state.

DOL staff in local One-Stop Career Centers assist the claimant in developing a work-search plan and provide enhanced re-employment services such as résumé writing and interviewing workshops.

An independent, statutory appeals division consisting of referees and a Board of Review ensures the right of appeal to all parties on any unemployment decision regarding the award or denial of unemployment benefits. This ensures that all parties receive due process. Claimants and employers may use one of the forms listed on DOL's website (<http://www.ctdol.state.ct.us/appeals/apfrmnt.htm>) to file an electronic appeal in unemployment compensation matters.

DOL also provides assistance to the Department of Social Services in the collection of child support payments owed by UI claimants.

The UI tax division collects and accounts for taxes used to pay unemployment benefits. It also registers and maintains records for all registered employers; conducts field investigations to determine if an employer is subject to UI law and performs audits of taxable employers to ensure conformance with the law.

<b>Outcome Measure:</b>					
<u>Calendar Fiscal Year</u>	<u>2004</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>	<u>2008 (e)</u>
UI Benefits Paid (in millions)	\$824.9 Includes TEUC	\$528.2	\$530.9	\$546.3	\$680
Employers Registered	97,370	98,067	99,042	99,365	99,800
FY Collections (in millions)	\$621.1	\$590.6	\$524.9	\$516.1	\$570
Estimates for 2008(e.)					

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Total Benefits paid to Claimants (\$M)	632	765	730	755
Average weeks collected	16.3	17	17	17
Average amount of payment (\$)	301	310	320	330
Taxes paid by employers including Trust Fund Interest (\$M)	613	653	631	627
Percent of employers delinquent (%)	5	5	5	5
Balance in Unemployment Trust Fund (\$M)	611	468	359	220

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
Employment Security Admin Fund	399	0	0	399	399	399	399	399
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
Other Positions Equated to Full Time			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Employment Security Admin Fund			13	13	13	13	13	13

## Budget-in-Detail

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<i>Additional Funds Available</i>								
Employment Security Admin Fund	54,538,368	53,436,871	58,744,977	58,744,977	58,744,977	59,588,167	59,588,167	59,588,167
Private Funds	0	1,000	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>54,538,368</b>	<b>53,437,871</b>	<b>58,744,977</b>	<b>58,744,977</b>	<b>58,744,977</b>	<b>59,588,167</b>	<b>59,588,167</b>	<b>59,588,167</b>

## Unemployment Insurance

## LABOR MARKET INFORMATION

### Statutory Reference

C.G.S. Section. 31-2 and Sec. 31-3a

### Statement of Need and Program Objectives

To collect, analyze and disseminate an array of data on workforce issues and trends that allow employers, workers and those who assist them to make informed economic, workforce and career decisions. To serve as an information resource to users including businesses, jobseekers, students, government planners and policymakers, economic and workforce development agents, education and training providers, labor and employer organizations, economists, and the public at large.

### Program Description

The Office of Research is Connecticut's leading producer of information and statistics on the economy, workforce, occupations, and careers. The office prepares a variety of resources for tracking the health of the state's economy, for assessing the state's needs for skilled workers, for assisting in economic development initiatives, for aiding in education and training program planning, and for guiding the career choices of job seekers and students. Labor market information (LMI) is provided in numerous publications and other resources in print and on the Internet. Staff respond to numerous requests for economic and workforce information, and participate in many initiatives to strengthen the economy, identify and evaluate the workforce needs of targeted regions or groups, and respond to critical economic and workforce issues.

Web-based LMI for employers, job seekers, students and others includes the *Connecticut Job & Career ConneCTion (JCC)* and the *Connecticut Education & Training ConneCTion (ETC)*. The JCC ([www.ctjobandcareer.org](http://www.ctjobandcareer.org)) includes job descriptions, education and training requirements, wage information and employment projections for nearly 900 occupations, making it the most extensive source of local information on jobs and careers in the state. The *Potential Employer Search* finds contact information on Connecticut employers by desired occupation or company search. The Military Skills Translator feature uses the *Military Occupation Classification (MOC)* to identify similar occupations in the civilian workforce.

*The Connecticut Education & Training ConneCTion* ([www.cttraining.info](http://www.cttraining.info)) includes information on more than 250 providers and 8,700 training programs and courses, and is the most comprehensive source of information on education and training in Connecticut.

### *The Workforce Investment System Approved Training Programs* ([www1.ctdol.state.ct.us/etpl](http://www1.ctdol.state.ct.us/etpl))

Is a web-based tool for counselors, career developers, and other CTWorks staff to aide individuals receiving WIA assistance with the selection of training programs to obtain the knowledge and skills that can help them get the job of their choice.

### *Workforce Employment Dynamics*

([www1.ctdol.state.ct.us/employmentdynamics](http://www1.ctdol.state.ct.us/employmentdynamics))

Provide information on the characteristics of Connecticut's jobholders, including detailed breakdowns by age, gender, industry, geographic region and wages earned.

The *Information for Workforce Investment Planning (IWIP)* publication provides the state's Workforce Investment Boards with labor market information for strategic planning, evaluating services, and developing training programs. The IWIP includes information on the labor force, industry employment trends, population changes, public aid recipients, high school dropout rates, and persons with other barriers to employment. The geographic detail contained in the IWIP is extremely useful for planners and policy makers involved in making critical workforce system decisions.

The Office undertakes special studies and projects of importance to the state on topics relevant to the labor market, workforce, and the workforce development system. These have included:

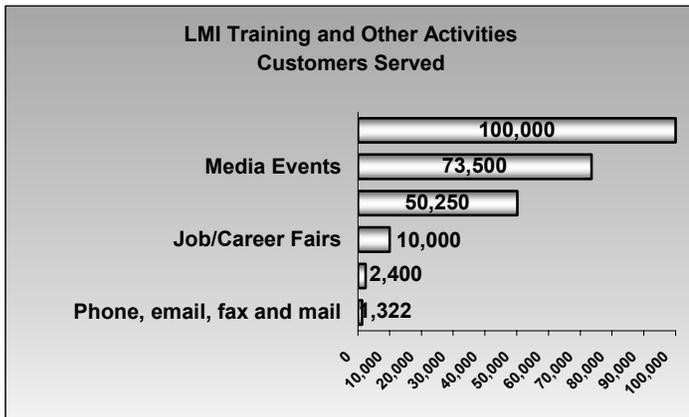
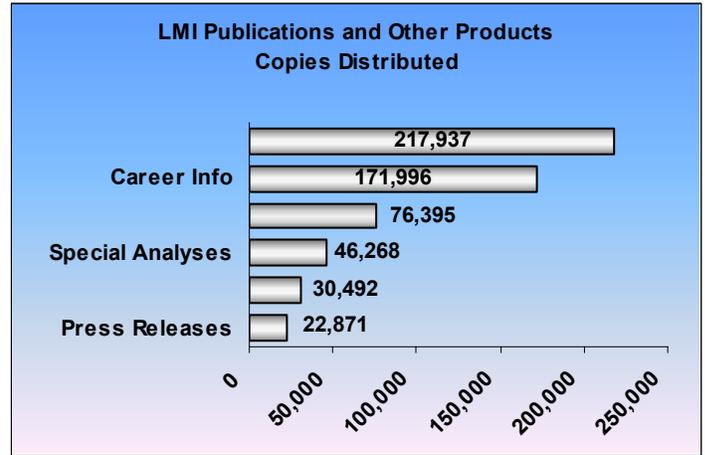
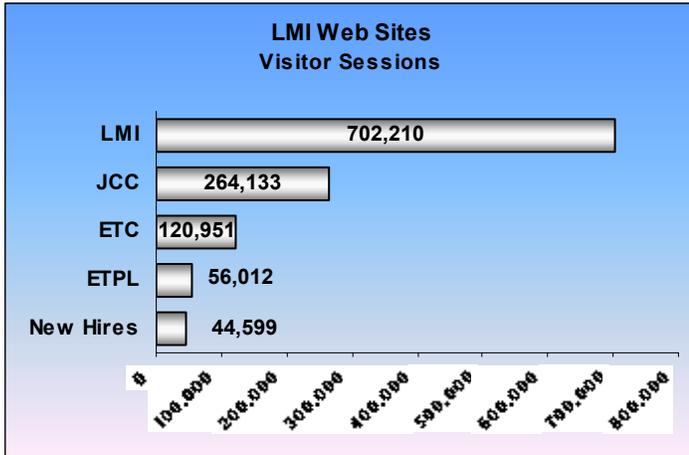
- Intensive studies of the impact of employment services on the employment and earnings of participants, of the long-term effect of job displacement on the income of workers, and of the dynamics of job gain and loss in the Connecticut labor market;
- Analyses of Connecticut's older workers: the industrial distribution, geographic distribution, and the wage distribution of the jobs held, and the detailed estimates of earnings losses of older workers (ages 40 and over) who experience mass layoffs relative to a continuously employed comparison group;
- Examination of the earnings losses of displaced workers in Connecticut highlights prime age workers who have lived and worked in Connecticut and who lose their jobs due to a reduction in employment at their place of work;
- Special reports on the demand in Connecticut for occupational skills requiring knowledge in science and math, the profiles of Connecticut's industry clusters, the employment and earnings outcomes of graduates of

public higher education, and career information and planning guidance for students.

The Office of Research is also the leading provider of job fairs in Connecticut, bringing more than 700 companies and 10,000 job seekers together through 11 job fairs in FY2007. Two *Heroes4Hire Veterans' fairs and Veterans' Benefits & Information* fair were held to provide attendees with

information on veterans' benefits, vocational rehabilitation and education and career options, and to showcase the talents and skills that they bring to the workforce. Through the success of these events, the Office assisted other state agencies and non-profit organizations with specialized recruitment efforts to assist target groups and to address the growing employment needs of specific industries.

**Labor Market Information Graphs**



Program Measure	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
LMI Website Visitor Sessions	1,100,899	1,200,200	1,236,200	12,732,300
LMI Products Requested Print and Web	565,959	650,000	669,500	689,600
LMI Training, Presentations, Conferences: Customers Served Other Activities	15,832	17,500	18,025	18,570

## Budget-in-Detail

### Personnel Summary

As of 06/30/2008	2008-2009		2008-2009		2009-2010		2009-2010		2010-2011		2010-2011	
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions												
General Fund	5	0	0	5	5	5	5	5	5	5	5	5
Employment Security Admin Fund	15	0	0	15	15	15	15	15	15	15	15	15

Other Positions Equated to Full Time	2007-2008		2008-2009		2009-2010		2009-2010		2010-2011		2010-2011	
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	0	1	1	1	1	1	1	1	1	1	1	1

### Financial Summary

(Net of Reimbursements)	2007-2008		2008-2009		2009-2010		Current		2009-2010		2010-2011		Current		2010-2011	
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>									
Personal Services	353,727	268,862	306,541	296,648	286,763	296,123	286,276	276,830								
Other Expenses	3,307	3,805	3,963	2,898	3,782	4,014	3,896	3,780								
<u>Other Current Expenses</u>																
Connecticut Career Resource Network	161,398	156,514	166,706	166,143	0	173,530	166,839	0								
TOTAL-General Fund	518,432	429,181	477,210	465,689	290,545	473,667	457,011	280,610								
<u>Additional Funds Available</u>																
Employment Security Admin Fund	2,092,953	2,100,368	2,425,483	2,425,483	2,425,483	2,435,782	2,435,782	2,435,782								
Bond Funds	3,983	8,465	0	0	0	0	0	0								
Private Funds	2,632	0	0	0	0	0	0	0								
TOTAL - All Funds	2,618,000	2,538,014	2,902,693	2,891,172	2,716,028	2,909,449	2,892,793	2,716,392								

### Labor Market Information

## WORKFORCE JOB TRAINING AND SKILL DEVELOPMENT

### Statutory Reference

C.G.S. Sections 31-22m to 31-22t

### Statement of Need and Program Objectives

To meet the need for a highly skilled and trained workforce in apprenticeable occupations and to help businesses develop a stable, highly-skilled workforce that will enable them to be highly productive and globally competitive.

### Program Description

Registered Apprenticeship is an unsubsidized, proven training system that combines on-the-job training with related classroom instruction to prepare highly skilled workers for Connecticut's industries. Apprentices learn industry-defined skills at industry-accepted standards. Apprenticeship gives workers versatility by teaching all aspects of a trade and helps participants learn to work with a variety of people in actual working situations. It specifically addresses worker and industry needs.

In Connecticut, apprenticeship is a voluntary training system representing a unique partnership in which business and labor are the primary operators of programs with government playing a support role. An employer/employee relationship must be in existence to establish an apprenticeship program. After successfully completing an apprenticeship program (which usually lasts 3 to 4 years, but may range from 1 to 6

years) the worker receives an apprenticeship completion certificate and is recognized as a qualified journeyman nationwide. This certificate is one of the oldest and most highly portable industry credentials in use today.

A tax credit designed to encourage the development of skilled workers through apprenticeship training programs is available in manufacturing, construction and plastics-related trades.

Apprenticeship services are provided to the public through the unit's regional apprenticeship representatives. The representatives develop apprenticeship training programs for sponsors (employers and joint labor management apprenticeship committees), register, monitor and complete apprentices (employees) while providing technical assistance to program participants. The staff makes presentations to employer, labor and educational associations as well as students and outreach organizations to promote the benefits and opportunities available through apprenticeship.

Collaboration with Workforce and Economic Development the CT DOL in consultation with the Departments of Economic and Community Development and Education, identifies high growth occupation and economically vital industries in Connecticut.

DOL consults with individual firms and industry/cluster stakeholders to identify innovative solutions to specific skill shortages. High growth industry training grants are also coordinated with initiatives of state agencies such as Office of Workforce Competitiveness, the Governor's Competitiveness Council, the Department of Economic and Community

Development, State Department of Education, the Community Colleges, Connecticut State Technology Extension Program (CONNSTEP), Central Connecticut State University's Institute of Technology and Business Development (ITBD), state and regional business associations, labor organizations, and Workforce Investment Boards.

Training program services are provided by DOL staff who are located in six of the One-Stop Career Centers statewide.

In the recent year July 1, 2007 through June 30, 2008, DOL's Business Services Division awarded \$771,000 of the million dollar program to 128 firms directly and through six

collaborative projects. The firms provided a cash match of \$959,000 to leverage \$1.7 million in training for 2,039 workers. Demand driven, training was customized to focus on the individual training needs of new and expanding businesses. Training widely ranged to include workplace literacy in manufacturing, intern training in computer software testing for the financial services sector, and lean practices to improve response time in emergency room health care. Collaborative projects included CONNSTEP and Central Connecticut State University's ITBD. The Connecticut Department of Labor also awarded \$178,000 to the workforce investment boards to administer training in adult basic skills.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Apprenticeship-Employers using apprenticeship	1,677	1,777	0	0
Apprenticeship-Individuals entering training	3,300	3,450	0	0
Apprenticeship-Individuals completing training	622	700	0	0
Apprenticeship-Minorities (males) entering training (%)	18	19	0	0
Apprenticeship-Females entering training (%)	1.9	2.1	0	0
Apprenticeship-Active apprentice enrollment as of 6/30	5,531	5,731	0	0

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	9	0	7	16	9	9	9	9
Private Funds	4	0	0	4	4	4	4	4

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	17,949	0	0	0	0	0	0	0
<u>Other Current Expenses</u>								
Opportunity Industrial Centers	500,000	475,000	510,500	500,000	0	517,647	500,000	0
Apprenticeship Program	610,224	621,965	657,683	656,582	0	658,432	656,582	0
21st Century Jobs	1,000,532	951,859	1,022,063	1,002,010	0	1,035,713	1,002,010	0
Incumbent Worker Training	509,436	475,000	510,500	500,000	0	517,647	500,000	0
STRIVE	300,000	285,000	306,300	300,000	0	310,588	300,000	0
TOTAL-General Fund	2,938,141	2,808,824	3,007,046	2,958,592	0	3,040,027	2,958,592	0
<u>Additional Funds Available</u>								
Employment Security Admin Fund	62,165	63,090	55,125	55,125	55,125	55,125	55,125	55,125
Bond Funds	42,727	17,504	0	0	0	0	0	0
Private Funds	779,294	782,044	809,424	809,424	809,424	823,881	823,881	823,881
TOTAL - All Funds	3,822,327	3,671,462	3,871,595	3,823,141	864,549	3,919,033	3,837,598	879,006

#### Workforce Job Training & Skill Develop

## WAGE AND WORKPLACE STANDARDS

### Statutory Reference

Chapters 556, 557 Part III, and 558

### Statement of Need and Program Objectives

To ensure that the more than 1.7 million Connecticut employees receive all the wages to which they are entitled without the need for litigation and to enforce labor statutes that safeguard and protect the rights of workers.

### Program Description

The Wage and Workplace Standards Division is responsible for two major programs, regulation of wages and regulation of working conditions.

In FY2007, through the regulation of wages program, \$8.9 million in wages was recovered that would otherwise not have been remitted to employees who had legally earned them. Most individual complaints range from \$100 to \$1,000, amounts not sufficient to interest and retain a private attorney. Further, if all complaints were filed with the courts, they would have an adverse impact on the civil docket.

The regulation of wages staff undertake the following activities as a result of a complaint received:

Complaints concerning wages are received, both in writing and by telephone. If the complaint concerns minimum wage, overtime, or prevailing wages, a compliance audit is made of all employees, past and present, covering a period of two years from the date of the complaint. If the complaint concerns nonpayment of wages, only that specific complaint is investigated.

Routine audits are also made to ensure compliance with minimum wage, overtime and wages agreed upon for labor or service rendered and prevailing wage. Violations are identified and corrective action recommended.

Where underpayments are discovered, hours and payroll records are transcribed and proper payment is required from the employer. In disputed cases, hearings may be held and every effort is made to resolve the cases.

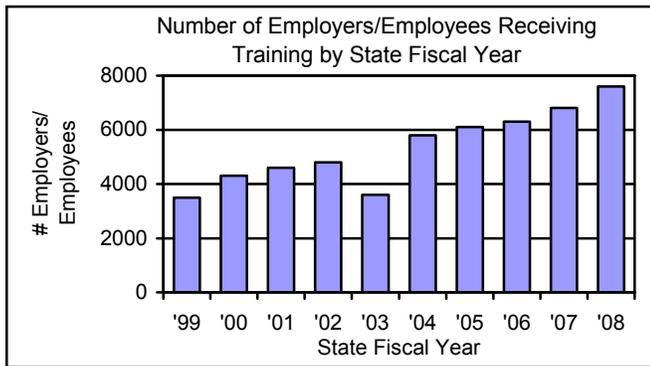
When all administrative procedures have been exhausted with no hope of resolution, disputes/complaints are referred for criminal prosecution or for civil prosecution.

The penalties for non-payment of wages reflect the severity of the non-payment. If more than \$2,000 was not paid, it is a Class D felony. The Labor Commissioner may assess civil penalties for violation of labor laws amounting to \$300 per violation.

The Wage and Workplace Standards Division is also responsible for regulating the working conditions of Connecticut's employers. The various elements of specific labor laws comprise the activities of the regulation of working conditions program. The division's major function is to investigate complaints from employees and former employees and requests from employers pertaining to laws governing the following areas: hazardous employment of minors; working hours and working papers of minors under 18 years of age; polygraph as a condition of employment; blacklisting of employees; more than six days employment in a calendar week; cancellation of medical insurance; heat and utilities in the workplace; written employment policy in the workplace; access to personnel files; meal periods; family and medical leave from employment; smoking in the workplace; drug testing in the workplace and whistle blowing.

In addition, the department licenses, inspects, regulates and otherwise exercises control over the activities of private employment agencies doing business within the state. The department also interviews applicants, evaluates applications and investigates complaints pertaining to industrial homework.

To increase public awareness of the wage and workplace laws the division has published guidebooks and bookmarks that are available free of charge.



<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Complaints, requests and inquiries	28,000	28,500	30,000	30,500
Conditions of employment inspections	614	626	638	640
Private employment agencies	268	273	278	284
Complaint investigations	4,770	4,865	4,960	5,050
Recommendations issued	1,328	1,355	1,382	1,409
Average amount of wages collected per agent/investigator(s) (\$)	253,162	258,225	263,390	268,657
Employees paid wages	6,857	6,994	7,134	7,277
Complaints Received	4,799	4,895	4,993	5,093
Minimum Wage/Overtime Section:				
Time between receipt of complaint and start of investigation (months)	5	4	3	2
Employer citations for record keeping violations	378	386	393	401
Hearings held on disputed cases	368	375	383	391

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	35	2	0	37	37	37	37	37
Private Funds	7	0	0	7	7	7	7	7

Other Positions Equated to Full Time	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	1	1	1	1	1	1

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	2,391,329	2,441,241	2,655,998	2,750,001	2,664,353	2,646,941	2,658,818	2,674,284
Other Expenses	182,753	187,674	195,308	192,100	186,390	197,745	191,934	186,229
TOTAL-General Fund	2,574,082	2,628,915	2,851,306	2,942,101	2,850,743	2,844,686	2,850,752	2,860,513
<u>Additional Funds Available</u>								
Bond Funds	16,198	19,077	0	0	0	0	0	0
Private Funds	655,963	708,165	749,268	749,268	749,268	757,401	757,401	757,401
TOTAL - All Funds	3,246,243	3,356,157	3,600,574	3,691,369	3,600,011	3,602,087	3,608,153	3,617,914

**Wage & Workplace Standards****OCCUPATIONAL SAFETY AND HEALTH**

**Statutory Reference**

C.G.S. Chapters 571 and 573

**Statement of Need and Program Objectives**

To reduce the incidence of occupational injuries and illnesses by ensuring that workplaces are free from recognized safety and health hazards.

**Program Description**

The Division of Occupational Safety and Health has four primary responsibilities:

- Protecting 224,400 state and local government employees by enforcing safety and health standards in public sector workplaces, which includes conducting routine safety and health inspections, responding to complaints/requests and investigating fatalities or serious accidents.
- Providing free safety and/or health consultative services, at the employer's request, to Connecticut's public and private employers at their locations. The program is geared to help high-hazard establishments and smaller

firms or government agencies who lack the expertise or resources to interpret complex standards or conduct extensive health monitoring.

- Developing and conducting individualized safety and health training programs in the private and public sectors.
- Compiling, analyzing and annually publishing safety and health data on the private and public sectors within the state. This data serves as a basis for scheduling inspections, utilizing education/training resources and measuring program effectiveness. The 2006 injury/illness incidence rate was 5.2 per 100 full-time workers in Connecticut.
- In addition, the division administers the occupational health clinic program. This program serves workers and employers through recognition, diagnosis and prevention of occupational diseases and injuries. It also collects significant data on occupational health and safety.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
OSHA-Compliance inspections	198	204	210	216
OSHA-Violations (Other than Serious)	432	445	458	472
OSHA-Instances of Violations (Other than Serious)	578	596	615	633
OSHA-Violations (Serious)	161	166	171	176
OSHA-Instances of violations (Serious)	215	221	227	234
OSHA-On-site consultations	620	626	632	638
OSHA-Training and education programs	90	93	96	99
OSHA-Firms surveyed for injury-illness data	8,200	8,200	8,200	8,200

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	29	0	0	29	29	29	29	29

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Other Positions Equated to Full Time						
General Fund	1	1	1	1	1	1

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	2,316,212	2,349,274	2,486,178	2,405,940	2,325,767	2,620,075	2,632,845	2,449,369
Other Expenses	215,070	226,862	236,654	232,767	225,848	239,686	232,643	225,728
<u>Capital Outlay</u>								
Equipment	0	0	75,247	58,753	83	70,078	52,564	87
TOTAL-General Fund	2,531,282	2,576,136	2,798,079	2,697,460	2,551,698	2,929,839	2,918,052	2,675,184

Other Current Expenses

Occupational Health Clinics	665,399	674,587	688,837	688,837	0	697,840	697,840	0
TOTAL-Workers' Compensation Fund	665,399	674,587	688,837	688,837	0	697,840	697,840	0
<u>Additional Funds Available</u>								
Bond Funds	61,598	122,214	0	0	0	0	0	0
<b>Federal Contributions</b>								
17504 Consultation Agreements	15,724	25,000	25,500	25,500	25,500	26,010	26,010	26,010
TOTAL - All Funds	3,274,003	3,397,937	3,512,416	3,411,797	2,577,198	3,653,689	3,641,902	2,701,194

**Occupational Safety and Health****MAINTAIN COLLECTIVE BARGAINING RELATIONSHIPS****Statutory Reference**

C.G.S. Sections 5-270 - Sec. 5-280, Sec. 7-467 - Sec. 7-479, Sec. 31-90 - Sec 31-111(b), Sec. 52-418 - Sec. 52-420 and Sec. 10-153e

**Statement of Need and Program Objectives**

To define and protect the statutory rights of employees to form, join or assist labor organizations and to encourage and protect the right of employees and employers to bargain collectively.

**Program Description**

The State Board of Mediation and Arbitration resolves impasses in order to promote and maintain stability in collective bargaining whenever disputes occur. Mediation is an informal process to assist the disputing parties in reaching an agreement. Upon receipt of a contract expiration notice, or upon notification that a strike is imminent, a state mediator is assigned to the dispute in an attempt to bring about a settlement. Mediators also assist in resolving grievances prior to and after submission to the Board for final and binding arbitration.

Arbitration is a process to resolve grievances by holding a formal hearing to take testimony and receive evidence resulting in the arbitrator's rendering of a final and binding arbitration award.

The board's mission is to have grievances heard in as expeditious a manner as possible by shortening the time between the date when a demand for arbitration is received to when the case is heard. For priority cases, the goal is to have the case heard within four months and non-priority cases from four months to a year.

In FY2007/08 a total of 896 grievances were filed for arbitration; 1,412 grievance arbitration hearings were scheduled; 933 grievance arbitration cases were closed and 160 awards were issued.

By law, public employees may not strike. Instead, procedures are in place for arriving at a new contract, without resort to job action. The State Board of Mediation and Arbitration has considerable responsibilities in this process.

Municipal Interest Arbitration: This entire procedure is fixed by statute with a series of mandatory time limits. The panels of arbitrators are not necessarily members of the board. The procedure results in a final and binding arbitration award (contract) in resolution of municipal contract impasses.

*State Employees Arbitration:* State employee bargaining units are eligible for mandatory interest arbitration. Whenever an impasse occurs, the parties can jointly, or singly, initiate arbitration by filing with the State Board of Mediation and Arbitration.

In FY2006, expiration notices on 312 private sector contracts were received and the board imposed/scheduled binding arbitration on 273 municipal contracts under Sec. 7-473c, Connecticut General Statutes and five state contracts under Sec. 5-267a, CGS. A total of 263 requests were received for mediation.

The function of the Board of Labor Relations is to ensure that employers and employee organizations abide by the statutory requirements for collective bargaining for public sector employees and a small number of private sector employees in Connecticut. The Board of Labor Relations administers portions of 4 statutes setting forth the requirements of the collective bargaining process.

The board performs its functions in the following ways:

Processing petitions from employees seeking to be represented by an employee organization. As part of that process, the labor board conducts secret ballot elections among employees to determine if they wish to be represented by an employee organization. In FY2007, 46 elections were held among employees for this purpose.

Upon receipt of written complaints from employee organizations, employees or employers alleging violations of the statutes, informal conferences are conducted with parties to investigate and mediate complaints in order to resolve disputes. In FY2007, 605 cases were filed. During that same time period, 656 cases were closed, the vast majority through the mediation and settlement process.

If settlement is not reached after a complaint has been filed and investigated, the case is either recommended for a formal hearing or recommended for dismissal. If a party timely objects to a recommendation for dismissal, the case will be scheduled for a hearing before a full panel of the board. After a full evidentiary hearing, the board issues a final, written decision in the matter.

In FY2006 the board held 72 days of hearings and issued 81 decisions. After the issuance of the final decision, the aggrieved party may then appeal to the Superior Court. A petition for court enforcement may be filed if a party does not comply with an order of the board.

Budget-in-Detail

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Labor Relations-Cases filed	605	650	650	650
Labor Relations-Unfair labor and prohibited practice	534	575	575	575
Labor Relations-Petitions for representations	71	75	75	75
Labor Relations-Percent of Cases settled without formal hearings (%)	90	90	90	90
Labor Relations-Formal hearings (days of evidentiary hearings)	72	75	75	75
Labor Relations-Decisions issued	81	80	80	80
Labor Relations-Cases pending end of fiscal year	289	375	375	375
Med & Arb-Total cases filed	1,744	1,830	1,906	1,994
Med & Arb-Mediation cases				
Mediation Cases	848	881	901	929
Grievances Filed	896	949	1,005	1,065
Med & Arb-Grievance Arbitration closed	933	979	1,027	1,078
Med & Arb-Grievance Arbitration cases				
Filing fees collected (\$)	45,450	46,500	47,875	50,750
Filing fees not collected (\$)	3,825	2,750	2,800	2,900
Med & Arb-Interest Arbitration cases				
Municipal Contracts	273	280	280	280
State Contracts	5	5	5	5

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	22	2	2	26	26	26	26	26

**Financial Summary**

(Net of Reimbursements)	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,612,085	1,618,543	1,987,405	1,923,264	1,859,175	1,951,119	1,886,235	1,823,998
Other Expenses	755,632	862,776	900,330	886,543	859,216	912,841	886,016	859,681

Capital Outlay

Equipment	0	0	15,714	12,269	17	10,318	7,739	13
TOTAL-General Fund	2,367,717	2,481,319	2,903,449	2,822,076	2,718,408	2,874,278	2,779,990	2,683,692

Additional Funds Available

Bond Funds	10,025	19,076	0	0	0	0	0	0
Private Funds	7,262	7,854	7,900	7,900	7,900	7,900	7,900	7,900
TOTAL - All Funds	2,385,004	2,508,249	2,911,349	2,829,976	2,726,308	2,882,178	2,787,890	2,691,592

**Maintaining the Collective Bargaining**

**MANAGEMENT SERVICES**

### **Statutory Reference**

C.G.S. Section 31-1 and 31-2

### **Statement of Need and Program Objectives**

To ensure that the department delivers necessary services to the public in an integrated and efficient manner and to set policy and manage the department's financial, human and information resources.

### **Program Description**

The Office of the Commissioner provides overall management of activities and policy direction to ensure that all DOL programs meet the needs of both employees and employers. The Commissioner of Labor is a member of the Governor's Jobs Cabinet and the Connecticut Employment and Training Commission. The office works closely with the Office for Workforce Competitiveness, Workforce Investment Boards, other state agencies and community-based organizations to promote effective workforce development strategies in the CTWorks system.

DOL's Office of Diversity and Equity Programs (ODEP) acts on behalf of the Commissioner on matters concerning affirmative action and equal employment opportunity. The ODEP achieved seventy-five percent of its hiring and promotional goals for FY2007. The contract compliance program exceeded its goals for utilizing small business and minority/women business enterprise vendors. ODEP conducted Diversity Training for all employees and Sexual Harassment Prevention Training for all managers and supervisors.

The Communications Unit is the primary contact for media inquiries and strives to heighten public awareness of the agency's available services and accomplishments.

Staff Development ensures that DOL staff have the knowledge, skills and abilities to support the agency's strategic goals. The unit assists the executive management in developing programs that support organizational change through performance improvement initiatives, including training programs.

The responsibilities of the Office of Program Policy include: facilitating the development of agency policy which is legally sound and promotes the department's mission; overseeing the promulgation and adoption of regulations under the Uniform Administrative Procedure Act (UAPA); providing legal counsel to the executive administration and to all divisions (except the State Board of Mediation and Arbitration, the State Board of Labor Relations and the Employment Security Board of Review); acting as liaison to the Office of the Attorney General; promoting quality adjudicating through technical assistance and training of Unemployment Insurance (UI) staff in interpretation and application of unemployment compensation statutes and regulations and all aspects of determining benefit eligibility; representing the Administrator of the Unemployment Compensation Act in proceedings before the Employment Security Board of Review and Appeals Division; serving as hearing officers for the Labor Commissioner in contested case hearings; administrative

prosecution of cases within CTDOL's jurisdiction including hearings under the state Family and Medical Leave Act (FMLA); preparing declaratory rulings and responding to questions about Connecticut's employment laws. Additionally, the Director of Program Policy serves as CTDOL's Freedom of Information Officer, Ethics Liaison and Attorney General Designee in representation of CTDOL before the Commission on Human Rights & Opportunities (CHRO).

In FY2008, the office issued advisory opinions in 322 individual unemployment compensation cases and about 85 multi-claimant cases. The office submitted over 40 appeals, written arguments or motions to the Board of Review and Appeals Division. Office attorneys conducted administrative prosecution of cases alleging violation of laws within the agency's jurisdiction and brought 45 FMLA cases to final disposition, including eight settlements which secured over \$200,000 for complainants. Attorneys served as hearing officers and/or mediators in thirteen cases involving allegations of retaliation for filing wage claims, applying for unemployment benefits and filing OSHA complaints. The office oversaw the promulgation of several regulations, including CONN-OSHA standards and UI eligibility rules.

Business Management is responsible for the fiscal management of the agency's state and federal appropriations, grants and contractual funding. The functions performed include accounting, budgeting, contract administration, payroll and purchasing.

Facilities Management provides services which include facilities leasing and compliance for local offices (a total of 248,000 square feet); design and planning; facilities project management; printing services; mail services and warehousing, including property and inventory control.

The Human Resources unit provides personnel related services to over 845 employees located in 15 offices throughout the state and employed in nearly 200 job classifications.

The Information Technology (IT) division provides information technology infrastructure and applications systems.

The Performance Measurement unit serves the state's workforce investment system by providing periodic reports for program managers. These include monthly reports that provide information at a glance as well as an array of detailed quarterly and yearly reports. The unit collects customer satisfaction data using scannable surveys, creates data displays in map formats and continues to play a central role in providing continuous improvement services, especially the Agency's Lean Government initiative. In addition, the unit has developed a web-based intranet performance site, entitled, *CTDOL Performs* to be used by management to assist in decision making and planning.

The Project Management Office (PMO), established in early 2007, provides skilled resources trained in the discipline of project management to Agency automation and technology projects. This critical link between program and information technology staff insures successful project outcomes and consistency with established statewide project practices and controls.

## Budget-in-Detail

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	19	1	-1	19	19	19	19	19
Employment Security Admin Fund	79	0	0	79	79	79	79	79

<i>Other Positions Equated to Full Time</i>	2007-2008	2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>
General Fund	1	1	1	1	1	1	1
Employment Security Admin Fund	3	3	3	3	0	3	0

### Financial Summary

<b>(Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,591,265	1,597,921	1,619,450	1,567,184	1,514,961	1,642,554	1,587,931	1,535,537
Other Expenses	185,021	204,067	230,170	227,317	220,587	233,297	227,368	220,638

### Capital Outlay

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Equipment	1,000	50	0	0	0	0	0	0
<b>TOTAL-General Fund</b>	<b>1,777,286</b>	<b>1,802,038</b>	<b>1,849,620</b>	<b>1,794,501</b>	<b>1,735,548</b>	<b>1,875,851</b>	<b>1,815,299</b>	<b>1,756,175</b>

### Additional Funds Available

Employment Security Admin Fund	11,440,498	11,893,402	13,005,108	13,005,108	13,005,108	13,185,742	13,185,742	13,185,742
Bond Funds	28,474	150,825	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>13,246,258</b>	<b>13,846,265</b>	<b>14,854,728</b>	<b>14,799,609</b>	<b>14,740,656</b>	<b>15,061,593</b>	<b>15,001,041</b>	<b>14,941,917</b>

### Agency Management Services

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

### Current Expenses by Minor Object

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	7,979,200	7,959,161	8,708,421	8,316,182	8,841,635	8,454,343
Other Positions	145,462	154,988	166,745	159,235	175,091	167,421
Other	306,546	321,997	347,146	331,510	337,698	322,906
Overtime	14,939	3,564	3,781	3,611	4,012	3,836
<b>TOTAL-Personal Services Gross</b>	<b>8,446,147</b>	<b>8,439,710</b>	<b>9,226,093</b>	<b>8,810,538</b>	<b>9,358,436</b>	<b>8,948,506</b>
Less Reimbursements						
Less Turnover	0	0	-179,722	-179,723	-199,800	-199,800
<b>TOTAL-Personal Services Net</b>	<b>8,446,147</b>	<b>8,439,710</b>	<b>9,046,371</b>	<b>8,630,815</b>	<b>9,158,636</b>	<b>8,748,706</b>

### Other Expenses-Contractual Services

Dues and Subscriptions	7,008	7,754	8,091	7,689	8,203	7,689
Utility Services	45	50	53	49	53	49
Rentals, Storage and Leasing	28,291	31,300	32,665	31,042	33,122	31,042
Telecommunication Services	25,641	28,369	29,602	28,133	30,016	28,133
General Repairs	5,620	6,221	6,491	6,168	6,581	6,168
Motor Vehicle Expenses	112,271	110,039	114,833	109,128	116,440	109,129
Fees for Outside Professional Services	6,904	7,295	7,613	7,235	7,720	7,235
Fees for Non-Professional Services	50,079	55,410	57,822	54,949	58,632	54,949

DP Services, Rentals and Maintenance	117,560	130,071	152,537	151,029	154,673	151,259
Postage	52,598	59,056	61,630	58,567	62,493	58,567
Travel	145,320	142,991	149,221	141,808	151,311	141,808
Other Contractual Services	660,980	762,798	796,032	756,481	807,177	756,484
Advertising	588	651	679	645	689	645
Printing & Binding	5,094	5,635	5,881	5,589	5,963	5,589
<u>Other Expenses-Commodities</u>						
Agriculture, Horticulture, Dairy & Food	4,379	4,846	5,052	4,806	5,153	4,806
Books	9,934	10,992	11,471	10,901	11,631	10,901
Clothing and Personal Supplies	2,959	3,274	3,416	3,247	3,464	3,247
Maintenance and Motor Vehicle Supplies	41,099	45,474	47,409	46,025	47,411	46,025
Medical Supplies	35	39	42	39	44	39
Fuel	10	11	12	11	12	11
Office Supplies	59,975	66,357	69,247	65,809	70,216	65,810
Refunds of Expenditures Not Otherwise Classified	2,664	2,947	3,075	2,922	3,119	2,922
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	8,995	9,951	10,171	9,869	10,171	9,869
TOTAL-Other Expenses Gross	1,348,049	1,491,531	1,573,045	1,502,141	1,594,294	1,502,376
Less Reimbursements						
TOTAL-Other Expenses Net	1,348,049	1,491,531	1,573,045	1,502,141	1,594,294	1,502,376
<u>Other Current Expenses</u>						
Workforce Investment Act	25,158,470	24,464,108	26,499,842	22,957,988	26,839,578	22,957,988
Connecticut's Youth Employment Program	5,000,000	4,750,000	5,105,000	0	5,176,470	0
Jobs First Employment Services	16,219,096	15,521,077	16,970,590	18,555,803	17,162,014	18,557,963
Opportunity Industrial Centers	500,000	475,000	510,500	0	517,647	0
Individual Development Accounts	350,000	570,000	612,600	0	621,176	0
STRIDE	234,427	285,000	306,300	0	310,588	0
Apprenticeship Program	610,224	621,965	657,683	0	658,432	0
Connecticut Career Resource Network	161,398	156,514	166,706	0	173,530	0
21st Century Jobs	1,000,532	951,859	1,022,063	0	1,035,713	0
TANF Job Reorganization	6,412,434	6,175,000	6,631,523	0	6,719,838	0
Incumbent Worker Training	509,436	475,000	510,500	0	517,647	0
STRIVE	300,000	285,000	306,300	0	310,588	0
Unemployment Benefits for Military Spouses	0	175,000	0	0	0	0
TOTAL-Other Current Expenses	56,456,017	54,905,523	59,299,607	41,513,791	60,043,221	41,515,951

## AGENCY FINANCIAL SUMMARY - BANKING FUND

<i>Current Expenses by Minor Object</i>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Other Current Expenses</u>						
Customized Services	0	2,500,000	2,552,176	0	2,587,677	0
TOTAL-Other Current Expenses	0	2,500,000	2,552,176	0	2,587,677	0

**AGENCY FINANCIAL SUMMARY - WORKERS' COMPENSATION FUND**

<b>Current Expenses by Minor Object</b>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Other Current Expenses</i>						
Occupational Health Clinics	665,399	674,587	688,837	0	697,840	0
TOTAL-Other Current Expenses	665,399	674,587	688,837	0	697,840	0

<b>Character &amp; Major Object Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	8,446,147	8,439,710	9,046,371	8,928,333	8,630,815	9,158,636	9,047,224	8,748,706
Other Expenses Net	1,348,049	1,491,531	1,573,045	1,548,136	1,502,141	1,594,294	1,548,371	1,502,376
Capital Outlay	1,000	50	90,961	71,022	100	80,396	60,303	100
Other Current Expenses	56,456,017	54,905,523	59,299,607	55,352,032	41,513,791	60,043,221	55,354,888	41,515,951
TOTAL-General Fund Net	66,251,213	64,836,814	70,009,984	65,899,523	51,646,847	70,876,547	66,010,786	51,767,133
Other Current Expenses	0	2,500,000	2,552,176	0	0	2,587,677	0	0
TOTAL-Banking Fund Net	0	2,500,000	2,552,176	0	0	2,587,677	0	0
Other Current Expenses	665,399	674,587	688,837	688,837	0	697,840	697,840	0
TOTAL-Workers' Compensation Fund Net	665,399	674,587	688,837	688,837	0	697,840	697,840	0
<i>Additional Funds Available</i>								
Employment Security Admin Fund	84,864,569	87,575,530	96,050,815	96,050,815	96,050,815	98,589,518	98,589,518	98,589,518
Federal and Other Activities	15,724	25,000	25,500	25,500	25,500	26,010	26,010	26,010
Special Funds, Non-Appropriated	170,882	481,028	481,620	481,620	481,620	482,283	482,283	482,283
Bond Funds	463,005	784,720	300,000	300,000	300,000	300,000	300,000	300,000
Private Funds	1,532,898	1,499,063	1,566,592	1,566,592	1,566,592	1,589,182	1,589,182	1,589,182
TOTAL-All Funds Net	153,963,690	158,376,742	171,675,524	165,012,887	150,071,374	175,149,057	167,695,619	152,754,126

# OFFICE OF THE VICTIM ADVOCATE

## AGENCY DESCRIPTION

The Office of the Victim Advocate (OVA) was established in 1998 as an independent agency to protect the legal rights of

crime victims in Connecticut and to advance policies that promote the fair and just treatment of crime victims.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

- OE/OCE General Reductions

*25% reduction to cellular communications services and out of state travel; 20% to motor vehicle rentals, catering, food and beverage; 10% to in-state travel and subscriptions.*

- Transfer Equipment to CEPF
- Remove or Limit Inflation

	<u>2009-2010</u>	<u>2010-2011</u>
	-2,241	-2,241
	-900	-1,900
	-1,098	-1,846

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	4	0	0	4	4	4	4	4
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
Other Positions Equated to Full Time			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			0	1	1	0	1	0

### Agency Programs by Total Funds

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Advocacy for Victims	314,057	366,772	406,377	379,495	376,354	408,237	386,008	381,867
TOTAL Agency Programs - All Funds Gross	314,057	366,772	406,377	379,495	376,354	408,237	386,008	381,867
Less Turnover								
TOTAL Agency Programs - All Funds Net	314,057	366,772	406,377	379,495	376,354	408,237	386,008	381,867
<u>Summary of Funding</u>								
General Fund Net	311,883	364,772	406,377	379,495	376,354	408,237	386,008	381,867
Bond Funds	2,174	0	0	0	0	0	0	0
Private Funds	0	2,000	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	314,057	366,772	406,377	379,495	376,354	408,237	386,008	381,867

## ADVOCACY FOR VICTIMS

### Statutory Reference

C.G.S. Sections 46a-13b, et seq.

### Statement of Need or Program Objective

The Office of the Victim Advocate (OVA) provides oversight and advocacy when it has been determined the criminal justice or victim service delivery systems failed crime victims and witnesses, works to promote the fair and just treatment of crime victims/witnesses throughout the criminal justice process and helps ensure that the voices of crime victims play

a central role in Connecticut's response to violence and those victimized by crime.

### Program Description

The Office of the Victim Advocate protects and promotes the rights of crime victims through individual case advocacy; engages in multi-agency efforts to further the constitutional rights of crime victims and advocates for systemic reforms regarding victims' rights and services, legal action, public education and legislative advocacy.

Budget-in-Detail

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	4	0	0	4	4	4	4	4
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			0	1	1	0	1	0

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	259,961	315,077	345,879	326,204	326,204	352,497	331,717	331,717
Other Expenses	51,922	49,695	52,998	52,291	50,050	53,740	52,291	50,050
<i>Capital Outlay</i>								
Equipment	0	0	7,500	1,000	100	2,000	2,000	100
TOTAL-General Fund	311,883	364,772	406,377	379,495	376,354	408,237	386,008	381,867
<i>Additional Funds Available</i>								
Bond Funds	2,174	0	0	0	0	0	0	0
Private Funds	0	2,000	0	0	0	0	0	0
TOTAL - All Funds	314,057	366,772	406,377	379,495	376,354	408,237	386,008	381,867

**Advocacy for Victims**

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

**Current Expenses by Minor Object**

	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	224,334	280,694	298,518	298,518	303,813	303,813
Other Positions	1,019	28,782	30,617	27,686	30,717	27,686
Other	34,608	5,601	16,744	0	17,967	218
TOTAL-Personal Services Gross	259,961	315,077	345,879	326,204	352,497	331,717
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	259,961	315,077	345,879	326,204	352,497	331,717

*Other Expenses-Contractual Services*

Dues and Subscriptions	1,129	1,044	1,153	1,044	1,169	1,044
Rentals, Storage and Leasing	9,500	9,498	9,697	9,498	9,833	9,498
Telecommunication Services	5,246	4,292	5,355	4,647	5,430	4,647
General Repairs	488	488	498	488	505	488
Motor Vehicle Expenses	207	166	211	166	214	166
Fees for Non-Professional Services	17,207	17,095	17,564	17,095	17,810	17,095
Postage	484	484	494	484	501	484
Travel	8,464	7,451	8,640	7,451	8,761	7,451

Budget-in-Detail

Other Contractual Services	4,767	4,766	4,866	4,766	4,934	4,766
Printing & Binding	497	497	507	497	514	497
<u>Other Expenses-Commodities</u>						
Agriculture, Horticulture, Dairy & Food	95	76	97	76	99	76
Books	777	777	793	777	805	777
Office Supplies	2,976	2,976	3,038	2,976	3,080	2,976
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	85	85	85	85	85	85
TOTAL-Other Expenses Gross	51,922	49,695	52,998	50,050	53,740	50,050
Less Reimbursements						
TOTAL-Other Expenses Net	51,922	49,695	52,998	50,050	53,740	50,050

**Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	259,961	315,077	345,879	326,204	326,204	352,497	331,717	331,717
Other Expenses Net	51,922	49,695	52,998	52,291	50,050	53,740	52,291	50,050
Capital Outlay	0	0	7,500	1,000	100	2,000	2,000	100
TOTAL-General Fund Net	311,883	364,772	406,377	379,495	376,354	408,237	386,008	381,867
<u>Additional Funds Available</u>								
Bond Funds	2,174	0	0	0	0	0	0	0
Private Funds	0	2,000	0	0	0	0	0	0
TOTAL-All Funds Net	314,057	366,772	406,377	379,495	376,354	408,237	386,008	381,867

# COMMISSION ON HUMAN RIGHTS & OPPORTUNITIES

## AGENCY DESCRIPTION

<http://www.state.ct.us/chro>

The mission of the Connecticut Commission on Human Rights and Opportunities (CHRO) is to eliminate discrimination through civil and human rights law enforcement and to

establish equal opportunity and justice for all persons within the state through advocacy and education.

*Closure of the Norwich and Waterbury Offices is recommended in the Governor's budget as part of her proposal to streamline state government.*

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• Transfer Equipment to CEPF	-474,900	-124,997
• Eliminate Vacant Positions	-81,656	-81,656
<i>Eliminate six vacant positions.</i>		
• Remove or Limit Inflation	-11,313	-17,981
• Rollout FY2009 Rescissions	-11,124	-11,124
• OE/OCE General Reductions	-1,124	-1,124
• Streamline Agency Operations-Close Norwich and Waterbury Offices	-1,675,355	-1,660,203

*As part of the reorganization of state government, the Norwich and Waterbury Offices are recommended for closure.*

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	96	7	0	103	103	75	103	75
			2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
<i>Other Positions Equated to Full Time</i>			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			1	2	2	2	2	2

### Agency Programs by Total Funds

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Equal Opportunity Assurance	7,572,012	8,105,147	9,680,910	9,432,015	7,187,856	8,795,262	8,724,278	6,845,174
TOTAL Agency Programs - All Funds Gross	7,572,012	8,105,147	9,680,910	9,432,015	7,187,856	8,795,262	8,724,278	6,845,174
Less Turnover	0	0	-32,221	-301,643	-301,643	-32,221	-301,643	-301,643
TOTAL Agency Programs - All Funds Net	7,572,012	8,105,147	9,648,689	9,130,372	6,886,213	8,763,041	8,422,635	6,543,531
<i>Summary of Funding</i>								
General Fund Net	7,349,351	7,929,560	9,138,689	8,620,372	6,376,213	8,603,041	8,262,635	6,383,531
Federal and Other Activities	129,754	35,960	35,000	35,000	35,000	35,000	35,000	35,000
Bond Funds	92,907	139,627	475,000	475,000	475,000	125,000	125,000	125,000
TOTAL Agency Programs - All Funds Net	7,572,012	8,105,147	9,648,689	9,130,372	6,886,213	8,763,041	8,422,635	6,543,531

## EQUAL OPPORTUNITY ASSURANCE

### Statutory Reference

C.G.S. Sections 46a-51 through 46a-104

### Statement of Program Objectives

To prohibit discrimination in employment, credit transactions, housing and other public accommodations on the basis of race, religious creed, national origin, ancestry, sex, age, marital status, mental retardation, learning disability, physical disability, history of mental disorder (employment), mental disability (housing and public accommodations), lawful source of income (housing and public accommodations), familial status (housing) and sexual orientation (excludes affirmative action).

### Program Description

The Commission on Human Rights and Opportunities receives, investigates, conciliates and processes individual complaints alleging discriminatory practices. CHRO may also initiate complaints in the public interest. It also monitors and enforces compliance with laws requiring affirmative action in state employment and laws requiring contractors and subcontractors doing business with the state to make every effort to implement affirmative action in their employment practices.

CHRO serves as an advocate for civil rights in Connecticut and as a source of education for the public about human rights issues and the services provided by the agency.

CHRO compiles facts and data concerning compliance with the various state civil rights laws and other related matters in Connecticut and reports to the Governor at least yearly regarding the outcomes of the agency's activities.

### Outcome Measure

The agency has a goal of maintaining a ratio of cases filed to cases closed of 100% or less.

Ratio of Cases Filed to Cases Closed	
FY 2006	103.9%
FY 2007	104.6%
FY 2008	108.7%
Projected Ratio of Cases Filed to Cases Closed	
FY 2009	100.0%
FY 2010	100.0%
FY 2011	100.0%

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	96	7	0	103	103	75	103	75

	2007-2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Actual	Estimated	Requested	Recommended	Requested	Recommended	Requested	Recommended
Other Positions Equated to Full Time								
General Fund	1	2	2	2	2	2	2	2

### Financial Summary

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
(Net of Reimbursements)								
Personal Services	6,639,050	7,205,787	7,609,410	7,541,074	5,996,363	7,631,728	7,560,392	6,015,681
Other Expenses	697,851	717,456	1,079,710	899,291	675,076	871,552	872,139	663,076
Capital Outlay								
Equipment	5,800	0	475,000	475,000	100	125,097	125,097	100
Other Current Expenses								
Martin Luther King, Jr. Commission	6,650	6,317	6,790	6,650	6,317	6,885	6,650	6,317
TOTAL-General Fund	7,349,351	7,929,560	9,170,910	8,922,015	6,677,856	8,635,262	8,564,278	6,685,174
Additional Funds Available								
Bond Funds	92,907	139,627	475,000	475,000	475,000	125,000	125,000	125,000

## Budget-in-Detail

### Federal Contributions

14401 Fair Housing Assist Pgm-State & Local	101,176	30,000	30,000	30,000	30,000	30,000	30,000	30,000
30002 Employment Discrimination State & Local	28,578	5,960	5,000	5,000	5,000	5,000	5,000	5,000
<b>TOTAL - All Funds</b>	<b>7,572,012</b>	<b>8,105,147</b>	<b>9,680,910</b>	<b>9,432,015</b>	<b>7,187,856</b>	<b>8,795,262</b>	<b>8,724,278</b>	<b>6,845,174</b>

### Equal Opportunity Assurance

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	6,417,740	6,940,783	7,373,049	5,828,002	7,395,453	5,850,406
Other Positions	55,310	51,000	53,000	53,000	55,000	55,000
Other	132,339	179,004	145,361	85,361	140,275	80,275
Overtime	33,661	35,000	38,000	30,000	41,000	30,000
<b>TOTAL-Personal Services Gross</b>	<b>6,639,050</b>	<b>7,205,787</b>	<b>7,609,410</b>	<b>5,996,363</b>	<b>7,631,728</b>	<b>6,015,681</b>
Less Reimbursements						
Less Turnover	0	0	-32,221	-301,643	-32,221	-301,643
<b>TOTAL-Personal Services Net</b>	<b>6,639,050</b>	<b>7,205,787</b>	<b>7,577,189</b>	<b>5,694,720</b>	<b>7,599,507</b>	<b>5,714,038</b>

### Other Expenses-Contractual Services

Dues and Subscriptions	3,749	3,728	3,904	3,605	3,958	3,605
Utility Services	8,077	9,360	22,292	9,600	22,492	9,600
Rentals, Storage and Leasing	116,869	102,939	236,561	91,436	237,162	91,436
Telecommunication Services	37,425	31,966	192,305	31,242	33,944	31,242
General Repairs	114,541	2,340	66,165	1,588	28,699	1,588
Motor Vehicle Expenses	6,035	5,741	6,011	4,775	6,095	4,775
Fees for Outside Professional Services	7,519	8,190	8,576	5,888	8,696	5,888
Fees for Non-Professional Services	125,528	116,365	139,346	107,270	123,561	95,270
DP Services, Rentals and Maintenance	95,268	320,956	277,377	322,251	287,780	322,251
Postage	48,076	51,917	54,366	51,897	55,126	51,897
Other Contractual Services	46,670	19,696	20,624	19,274	20,913	19,274
Advertising	1,191	3,067	1,500	1,421	1,500	1,421
Printing & Binding	7,136	4,875	5,105	2,810	5,176	2,810

### Other Expenses-Commodities

Agriculture, Horticulture, Dairy & Food	276	293	306	244	312	244
Books	543	0	0	0	0	0
Maintenance and Motor Vehicle Supplies	2,405	1,853	1,939	1,853	1,939	1,853
Office Supplies	73,518	31,736	42,833	19,434	33,699	19,434

### Other Expenses-Sundry

Sundry - Other Items	3,025	2,434	500	488	500	488
<b>TOTAL-Other Expenses Gross</b>	<b>697,851</b>	<b>717,456</b>	<b>1,079,710</b>	<b>675,076</b>	<b>871,552</b>	<b>663,076</b>
Less Reimbursements						
<b>TOTAL-Other Expenses Net</b>	<b>697,851</b>	<b>717,456</b>	<b>1,079,710</b>	<b>675,076</b>	<b>871,552</b>	<b>663,076</b>

Other Current Expenses

Martin Luther King, Jr. Commission	6,650	6,317	6,790	6,317	6,885	6,317
TOTAL-Other Current Expenses	6,650	6,317	6,790	6,317	6,885	6,317

**Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	6,639,050	7,205,787	7,577,189	7,239,431	5,694,720	7,599,507	7,258,749	5,714,038
Other Expenses Net	697,851	717,456	1,079,710	899,291	675,076	871,552	872,139	663,076
Capital Outlay	5,800	0	475,000	475,000	100	125,097	125,097	100
Other Current Expenses	6,650	6,317	6,790	6,650	6,317	6,885	6,650	6,317
TOTAL-General Fund Net	7,349,351	7,929,560	9,138,689	8,620,372	6,376,213	8,603,041	8,262,635	6,383,531

Additional Funds Available

Federal and Other Activities	129,754	35,960	35,000	35,000	35,000	35,000	35,000	35,000
Bond Funds	92,907	139,627	475,000	475,000	475,000	125,000	125,000	125,000
TOTAL-All Funds Net	7,572,012	8,105,147	9,648,689	9,130,372	6,886,213	8,763,041	8,422,635	6,543,531

# OFFICE OF PROTECTION & ADVOCACY FOR PERSONS WITH DISABILITIES

## AGENCY DESCRIPTION

The primary purpose of the Office of Protection and Advocacy for Persons with Disabilities (OPA) is to protect the civil and human rights of people who have disabilities in Connecticut.

In fulfillment of various state and federal statutory requirements, OPA operates advocacy and investigation programs for people with all types of disabilities. Specific mandates include investigation of allegations of abuse and neglect of mentally retarded adults, review of accessibility-related building code waiver requests, and operation of advocacy programs for adults and children with psychiatric, developmental, physical, cognitive and sensory disabilities. In addition, the agency provides information and referral services, public education and training, technical assistance and support to community advocacy groups, and organization and leadership on selected disability issues.

OPA is organized into an administrative unit and two operating divisions. The operating divisions are defined primarily by function: Case Services (which includes all advocacy, information and referral functions), and Abuse Investigation (which investigates allegations of abuse and neglect with respect to adults with mental retardation). The functions of the former Community Development Division, which provided training and support to local advocacy groups, have been assumed within the administrative unit.

<i>Outcome Measure</i>				
	FY2006	FY2007	FY2008	FY2009
In Response to Consumer Satisfaction Surveys				
Individuals who receive information & referral services responding favorably overall	95%	95%	95%	95%
People with disabilities (or their families) who receive advocacy through organizations that receive training, technical assistance and/or funding from agency				
	1,000	1,000	1,000	1,000
In Response to Allegations of Abuse and Neglect				
Percentage of direct investigations completed within 90 days	70%	85%	85%	85%

## AGENCY PROGRAM INDEX

Advocacy for Persons with Disabilities	329	Abuse Investigation	330
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## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• Rollout FY2009 Rescissions	-10,020	-10,020
• OE/OCE General Reductions	-7,070	-7,070
• Transfer Equipment to CEPF	-4,900	-4,900

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	33	0	0	33	33	33	33	33
Federal Contributions	0	0	16	16	16	16	16	16

### Agency Programs by Total Funds

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Advocacy for Persons with Disabilities	3,455,585	3,280,331	3,459,265	3,391,802	3,374,957	3,453,336	3,381,162	3,364,317
Abuse Investigation	912,325	965,591	963,563	946,782	941,637	966,559	947,132	941,987
TOTAL Agency Programs - All Funds Gross	4,367,910	4,245,922	4,422,828	4,338,584	4,316,594	4,419,895	4,328,294	4,306,304

Less Turnover	0	0	0	-40,779	-40,779	0	-40,779	-40,779
TOTAL Agency Programs - All Funds Net	4,367,910	4,245,922	4,422,828	4,297,805	4,275,815	4,419,895	4,287,515	4,265,525
<i>Summary of Funding</i>								
General Fund Net	2,587,433	2,733,487	2,864,822	2,739,799	2,717,809	2,875,248	2,742,868	2,720,878
Federal and Other Activities	1,776,101	1,508,543	1,554,114	1,554,114	1,554,114	1,540,755	1,540,755	1,540,755
Bond Funds	742	0	0	0	0	0	0	0
Private Funds	3,634	3,892	3,892	3,892	3,892	3,892	3,892	3,892
TOTAL Agency Programs - All Funds Net	4,367,910	4,245,922	4,422,828	4,297,805	4,275,815	4,419,895	4,287,515	4,265,525

## ADVOCACY FOR PERSONS WITH DISABILITIES

### Statutory Reference

C.G.S. Sections 46a-7 through 46a-13a (as amended by P.A. 03-88 and 04-12); Sec. 45a-694; Sec. 29-200(b); Sec. 29-269(b); Sec. 9-168d.

### Statement of Need and Program Objectives

To protect civil rights and challenge barriers that limit participation and contribution by people with disabilities in the civic and economic lives of Connecticut communities.

To increase the degree to which services provided to people with disabilities are relevant to their needs, respectful of their individual rights, competent to ensure their safety and supportive of their membership in their families, neighborhoods and communities.

To expand and strengthen the disability advocacy base in Connecticut, with special emphasis on traditionally underserved racial and ethnic minority groups.

### Program Description

The Advocacy Program of the Office of Protection and Advocacy for Persons with Disabilities provides an array of responses to people who are referred or who seek assistance

from the agency. OPA is Connecticut's designated protection and advocacy program, as required by federal law. Most callers (approximately 7,000 per year) receive assistance in the form of information, consultation and short-term troubleshooting about the specific question or problem prompting their inquiry. Priorities for service delivery are developed on a biennial basis in collaboration with the 15 member volunteer advisory board, and are updated annually as required by federal law. The priority-setting process involves biennial public forums, analysis of needs reflected in case experience and input from the agency's Advisory Board. Clients with disabilities, whose civil rights issues fall within specific program mandates and whose situations meet priority criteria, receive more extensive advocacy services. OPA also devotes some of its resources to educating, organizing and supporting community advocacy groups. Staff members from all program areas provide training to service providers and disability interest groups. Community development staff provide technical assistance and limited resource support to local citizen advocacy programs and parent and self-advocacy organizations and pursue outreach efforts in minority communities. To better ensure statewide presence, OPA subcontracts some of its functions with advocacy agencies in Bridgeport, Danbury, New Haven and Colchester.

<i>Program Measure</i>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Timeliness of initial response to consumer requests: Individuals who receive information and referral services within two business days of initial contact.		75%	85%	95%
People with disabilities (or their families) who receive advocacy through organizations that receive training, technical assistance, and/or funding from agency	1,000	1,000	1,000	1,000

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	21	0	0	21	21	21	21	21
Federal Contributions	0	0	16	16	16	16	16	16

Budget-in-Detail

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	1,420,407	1,504,711	1,581,882	1,558,607	1,558,607	1,586,525	1,561,326	1,561,326
Other Expenses	253,701	263,185	280,359	270,189	258,244	284,232	270,189	258,244
<u>Capital Outlay</u>								
Equipment	1,000	0	39,018	5,000	100	37,932	5,000	100
TOTAL-General Fund	1,675,108	1,767,896	1,901,259	1,833,796	1,816,951	1,908,689	1,836,515	1,819,670
<u>Additional Funds Available</u>								
Bond Funds	742	0	0	0	0	0	0	0
Private Funds	3,634	3,892	3,892	3,892	3,892	3,892	3,892	3,892
<b>Federal Contributions</b>								
84128 Rehabilitation Services Service Project	101,673	117,465	117,465	117,465	117,465	117,465	117,465	117,465
84240 Protection and Advocacy - Indiv Rights	260,857	207,505	207,505	207,505	207,505	207,505	207,505	207,505
93234 Traumatic Brain Injury State Demo	80,602	50,000	50,000	50,000	50,000	50,000	50,000	50,000
93618 Voting Access of -Individ w/Disabilities	43,101	70,000	70,000	70,000	70,000	70,000	70,000	70,000
93630 Developmental Disabilities Basic Supp	1,064,464	819,684	819,684	819,684	819,684	819,684	819,684	819,684
93667 Social Services Block Grant	124,930	143,889	146,589	146,589	146,589	146,589	146,589	146,589
96008 Soc Sec Benefits Planning, Assistance	100,474	100,000	142,871	142,871	142,871	129,512	129,512	129,512
TOTAL - All Funds	3,455,585	3,280,331	3,459,265	3,391,802	3,374,957	3,453,336	3,381,162	3,364,317

Advocacy for Persons with Disabilities

**ABUSE INVESTIGATION**

**Statutory Reference**

C.G.S. Sections 46a-11b through 46a-11g, as amended by P.A.03-146 and P.A.04-12.

**Statement of Need and Program Objectives**

To ensure that allegations of abuse and neglect arising within systems of service for adults with mental retardation are reported, investigated and responded to appropriately.

To ensure the adequacy of investigations of allegations of abuse and neglect of adults with mental retardation that arise within human service programs, and to conduct such investigations into allegations that arise outside the scope of formal service systems.

To ensure that protective services are implemented when necessary to assure the safety of an adult with mental retardation.

To ensure that independent investigations are conducted into the death of any DDS client where abuse or neglect is suspected to have contributed to the death.

**Program Description**

The Abuse Investigation Unit receives reports of suspected abuse and neglect of persons with mental retardation between the ages of 18 and 59 and either directly investigates those allegations or ensures that an agency that is otherwise responsible for conducting an investigation does so in a timely, competent manner. Recently enacted legislation also requires the unit to investigate deaths of DDS clients when it is suspected that abuse or neglect may have contributed to that death. Most reports of suspected abuse or neglect are made by professionals or service providers who are statutorily mandated to report such cases. Service providers are required to cooperate with OPA investigations and the agency may subpoena relevant records. When an investigation concludes that protective services are warranted to ensure the safety of a person with mental retardation, investigative staff requests that the Department of Developmental Services develop a protective services plan. If protective services are immediately necessary to protect the health or safety of a victim of alleged abuse or neglect, they must be provided pending completion of the investigation.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
In response to allegations of Abuse and Neglect: Percentage of direct investigations completed within 90 days	70%	85%	85%	85%

<b>Personnel Summary</b>	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	12	0	0	12	12	12	12	12

<b>Financial Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
<b>(Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	804,901	852,223	842,798	830,398	830,398	844,156	830,748	830,748
Other Expenses	107,424	113,368	120,765	116,384	111,239	122,403	116,384	111,239
TOTAL-General Fund	912,325	965,591	963,563	946,782	941,637	966,559	947,132	941,987

**Abuse Investigation****AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	2,168,433	2,295,749	2,343,628	2,343,300	2,347,481	2,347,154
Other Positions	5,120	6,825	6,825	6,825	7,235	6,825
Other	50,087	52,596	72,357	37,116	73,983	36,331
Overtime	1,668	1,764	1,870	1,764	1,982	1,764
TOTAL-Personal Services Gross	2,225,308	2,356,934	2,424,680	2,389,005	2,430,681	2,392,074
Less Reimbursements						
Less Turnover	0	0	0	-40,779	0	-40,779
TOTAL-Personal Services Net	2,225,308	2,356,934	2,424,680	2,348,226	2,430,681	2,351,295

Other Expenses-Contractual Services

Dues and Subscriptions	4,632	6,060	7,208	5,358	7,309	5,358
Rentals, Storage and Leasing	5,693	6,210	6,340	6,210	6,429	6,210
Telecommunication Services	16,770	16,105	18,773	15,691	19,036	15,691
General Repairs	630	687	701	687	710	687
Motor Vehicle Expenses	16,272	17,750	18,123	14,200	18,376	14,200
Fees for Outside Professional Services	109,677	110,354	114,713	110,354	116,319	110,354
Fees for Non-Professional Services	117,477	130,319	133,057	130,209	134,920	130,209
DP Services, Rentals and Maintenance	7,287	7,699	9,196	7,699	9,324	7,699
Postage	6,566	7,560	7,719	7,516	7,827	7,516
Travel	11,141	11,153	12,407	10,360	12,581	10,360
Other Contractual Services	24,157	24,453	27,009	24,453	27,388	24,453
Printing & Binding	1,481	616	1,650	616	1,673	616

Other Expenses-Commodities

Books	1,846	2,014	2,056	2,014	2,085	2,014
Maintenance and Motor Vehicle Supplies	6,514	7,286	7,432	5,829	7,432	5,829
Office Supplies	9,355	9,695	10,653	9,695	10,802	9,695
Refunds of Expenditures Not Otherwise Classified	207	226	231	226	234	226

Other Expenses-Sundry

Sundry - Other Items	21,420	18,366	23,856	18,366	24,190	18,366
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Budget-in-Detail

TOTAL-Other Expenses Gross	361,125	376,553	401,124	369,483	406,635	369,483
Less Reimbursements						
TOTAL-Other Expenses Net	361,125	376,553	401,124	369,483	406,635	369,483

**Character & Major Object Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	2,225,308	2,356,934	2,424,680	2,348,226	2,348,226	2,430,681	2,351,295	2,351,295
Other Expenses Net	361,125	376,553	401,124	386,573	369,483	406,635	386,573	369,483
Capital Outlay	1,000	0	39,018	5,000	100	37,932	5,000	100
TOTAL-General Fund Net	2,587,433	2,733,487	2,864,822	2,739,799	2,717,809	2,875,248	2,742,868	2,720,878
<u>Additional Funds Available</u>								
Federal and Other Activities	1,776,101	1,508,543	1,554,114	1,554,114	1,554,114	1,540,755	1,540,755	1,540,755
Bond Funds	742	0	0	0	0	0	0	0
Private Funds	3,634	3,892	3,892	3,892	3,892	3,892	3,892	3,892
TOTAL-All Funds Net	4,367,910	4,245,922	4,422,828	4,297,805	4,275,815	4,419,895	4,287,515	4,265,525

# OFFICE OF THE CHILD ADVOCATE

## AGENCY DESCRIPTION

The Office of the Child Advocate oversees the protection and care of Connecticut's children and to advocate for their well-being.

*In light of the current fiscal situation and the Governor's efforts to streamline state government and return it to its core functions, this agency is recommended for elimination in the Governor's budget. In addition, the budget recommends the transfer of one position and funding for the Child Advocate to the Office of the Attorney General.*

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>2009-2010</u>	<u>2010-2011</u>
• Remove or Limit Inflation	-3,804	-6,390
• Transfer Equipment to CEPF	-1,246	-2,028
• OE/OCE General Reductions	-6,455	-6,455
• Rollout FY2009 Rescissions	-71,747	-71,747
• Streamline Agency Operations - Administrative Savings	-815,788	-816,286

*As part of the Governor's initiative to streamline state government, administrative savings will be realized through consolidating the essential activities of the Child Advocate into the Office of the Attorney General. Savings include the elimination of nine positions.*

### Reallocations or Transfers

• Transfer the Child Advocate to the Attorney General's Office	-141,000	-141,000
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*As part of Governor Rell's initiative to streamline state government, one position and funding for the Child Advocate is transferred to the Office of the Attorney General.*

## AGENCY PROGRAMS

### Personnel Summary

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	8	2	0	10	10	0	10	0
Other Positions Equated to Full Time								
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			0	2	2	0	2	0

### Agency Programs by Total Funds

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
(Net of Reimbursements)	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Advocacy for Children	918,014	1,142,277	1,193,767	1,036,236	0	1,206,568	1,037,516	0
TOTAL Agency Programs - All Funds Gross	918,014	1,142,277	1,193,767	1,036,236	0	1,206,568	1,037,516	0
Less Turnover								
TOTAL Agency Programs - All Funds Net	918,014	1,142,277	1,193,767	1,036,236	0	1,206,568	1,037,516	0
<u>Summary of Funding</u>								
General Fund Net	887,845	1,045,752	1,193,767	1,036,236	0	1,206,568	1,037,516	0
Bond Funds	2,604	0	0	0	0	0	0	0
Private Funds	27,565	96,525	75,525	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	918,014	1,142,277	1,269,292	1,036,236	0	1,206,568	1,037,516	0

**ADVOCACY FOR CHILDREN****Statutory Reference**

C.G.S. Sections 46a-13k through 46a-13q

**Statement of Need and Program Objectives**

The mission of the Office of the Child Advocate is to oversee the protection and care of children and to advocate for their well-being and legal rights.

**Program Description**

The Office of the Child Advocate has authority to:

- Evaluates the delivery of services to children by state agencies and state funded entities.
- Reviews the procedures of any state department providing services to children with a view toward their rights.
- Reviews complaints and investigates those where it appears that a child or family may be in need of assistance.
- Reviews facilities and procedures of any institution or residence where a juvenile has been placed by either the Family Division of Superior Court or the Department of Children and Families.
- Recommends changes in policies and procedures for dealing with juvenile problems and in the systems providing childcare, foster care and treatment to children.
- Reviews the number of special needs children in any foster care or permanent care facility, and recommends changes in policies and procedures for the placement of such children.
- Serves or designates a person to serve as a member of the child fatality review panel.

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Permanent Full-Time Positions</i>								
General Fund	8	2	0	10	10	0	10	0

	2007-2008	2008-2009	2009-2010	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Other Positions Equated to Full Time</i>							
General Fund	0	2	2	0	2	0	0

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
<b>(Net of Reimbursements)</b>								
Personal Services	681,555	785,364	912,364	759,196	0	921,834	759,694	0
Other Expenses	120,100	175,471	188,488	180,684	0	191,037	180,684	0
<u>Capital Outlay</u>								
Equipment	1,000	0	2,296	1,346	0	3,078	2,128	0
<u>Other Current Expenses</u>								
Child Fatality Review Panel	85,190	84,917	90,619	95,010	0	90,619	95,010	0
<b>TOTAL-General Fund</b>	<b>887,845</b>	<b>1,045,752</b>	<b>1,193,767</b>	<b>1,036,236</b>	<b>0</b>	<b>1,206,568</b>	<b>1,037,516</b>	<b>0</b>
<u>Additional Funds Available</u>								
Bond Funds	2,604	0	0	0	0	0	0	0
Private Funds	27,565	96,525	75,525	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>918,014</b>	<b>1,142,277</b>	<b>1,269,292</b>	<b>1,036,236</b>	<b>0</b>	<b>1,206,568</b>	<b>1,037,516</b>	<b>0</b>

**Advocacy for Children**

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<i>Current Expenses by Minor Object</i>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Personal Services</u>						
Permanent Fulltime Positions	534,129	606,541	730,363	0	730,363	0
Other Positions	130,975	154,706	153,143	0	162,066	0
Other	10,766	17,221	21,548	0	21,657	0
Overtime	5,685	6,896	7,310	0	7,748	0
TOTAL-Personal Services Gross	681,555	785,364	912,364	0	921,834	0
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	681,555	785,364	912,364	0	921,834	0
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	1,050	1,232	1,258	0	1,275	0
Rentals, Storage and Leasing	108	127	130	0	132	0
Telecommunication Services	17,389	23,740	24,238	0	24,576	0
General Repairs	7,179	8,424	8,602	0	8,722	0
Motor Vehicle Expenses	7,348	8,622	8,803	0	8,926	0
Fees for Outside Professional Services	34,363	40,324	43,171	0	43,747	0
Fees for Non-Professional Services	4,607	5,404	5,518	0	5,595	0
DP Services, Rentals and Maintenance	10,934	51,251	52,327	0	53,060	0
Postage	1,554	1,823	1,862	0	1,887	0
Travel	12,128	14,231	14,530	0	14,734	0
Other Contractual Services	800	939	959	0	972	0
Printing & Binding	1,643	1,928	1,968	0	1,996	0
<u>Other Expenses-Commodities</u>						
Agriculture, Horticulture, Dairy & Food	161	189	193	0	197	0
Books	418	490	500	0	507	0
Maintenance and Motor Vehicle Supplies	2,391	2,806	2,862	0	2,862	0
Office Supplies	16,772	12,468	20,094	0	20,376	0
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	1,255	1,473	1,473	0	1,473	0
TOTAL-Other Expenses Gross	120,100	175,471	188,488	0	191,037	0
Less Reimbursements						
TOTAL-Other Expenses Net	120,100	175,471	188,488	0	191,037	0
<u>Other Current Expenses</u>						
Child Fatality Review Panel	85,190	84,917	90,619	0	90,619	0
TOTAL-Other Current Expenses	85,190	84,917	90,619	0	90,619	0

Budget-in-Detail

<b>Character &amp; Major Object Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	681,555	785,364	912,364	759,196	0	921,834	759,694	0
Other Expenses Net	120,100	175,471	188,488	180,684	0	191,037	180,684	0
Capital Outlay	1,000	0	2,296	1,346	0	3,078	2,128	0
Other Current Expenses	85,190	84,917	90,619	95,010	0	90,619	95,010	0
<b>TOTAL-General Fund Net</b>	<b>887,845</b>	<b>1,045,752</b>	<b>1,193,767</b>	<b>1,036,236</b>	<b>0</b>	<b>1,206,568</b>	<b>1,037,516</b>	<b>0</b>
<i><u>Additional Funds Available</u></i>								
Bond Funds	2,604	0	0	0	0	0	0	0
Private Funds	27,565	96,525	75,525	0	0	0	0	0
<b>TOTAL-All Funds Net</b>	<b>918,014</b>	<b>1,142,277</b>	<b>1,269,292</b>	<b>1,036,236</b>	<b>0</b>	<b>1,206,568</b>	<b>1,037,516</b>	<b>0</b>

# WORKERS' COMPENSATION COMMISSION

## AGENCY DESCRIPTION

The core function of the Workers' Compensation Commission is to adjudicate contested workers' compensation claims, prepare hearing dockets, render decisions, and generally provide injured workers and their employers with the tools necessary to insure all parties are treated fairly. The operation of the agency is funded solely through assessments on employers.

The Chairman of the Workers' Compensation Commission and fifteen Trial Commissioners are nominated by the Governor and approved by the General Assembly. Disputed workers'

compensation claims are resolved through the informal, preformal, and formal hearings processes. At each level, the trial commissioner strives to resolve disputes consistent with the Workers' Compensation Act and the broad humanitarian purpose the act serves. Decisions from formal hearings (trials) may be appealed by any party to the Compensation Review Board, a panel comprised of the chairman and two trial commissioners.

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

- Remove or Limit Inflation
- OE/OCE General Reductions
- Close Middletown Office

<u>2009-2010</u>	<u>2010-2011</u>
-102,119	-152,331
-9,290	-9,290
-115,000	-100,000

*Staff would be reallocated to other locations. Savings reflects the cost of the Middletown lease and a new phone system that would no longer be needed.*

### Reallocations or Transfers

- Reallocate the Criminal Justice Fraud Unit to the Division of Criminal Justice

-558,546	-558,755
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## AGENCY PROGRAMS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Workers' Compensation Fund	129	3	0	132	132	132	132	132

### Agency Programs by Total Funds

(Net of Reimbursements)	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Workers' Compensation Administration	19,979,128	22,589,139	25,174,658	22,763,246	22,080,410	24,767,019	23,227,275	22,559,230
TOTAL Agency Programs - All Funds Gross	19,979,128	22,589,139	25,174,658	22,763,246	22,080,410	24,767,019	23,227,275	22,559,230
Less Turnover	0	0	-65,600	-172,828	-172,828	-65,600	-178,441	-178,441
TOTAL Agency Programs - All Funds Net	19,979,128	22,589,139	25,109,058	22,590,418	21,907,582	24,701,419	23,048,834	22,380,789

### Summary of Funding

Workers' Compensation Fund Net	19,979,128	22,589,139	25,109,058	22,590,418	21,907,582	24,701,419	23,048,834	22,380,789
TOTAL Agency Programs - All Funds Net	19,979,128	22,589,139	25,109,058	22,590,418	21,907,582	24,701,419	23,048,834	22,380,789

## WORKERS' COMPENSATION

### Statutory Reference

C.G.S. Chapter 568, Sections 31-275 through 31-355

### Statement of Need and Program Objectives

To administer the workers' compensation laws of the State of Connecticut.

To ensure that workers injured on the job receive prompt payment of lost work time benefits and medical expenses.

### Program Description

The Workers' Compensation Commission is statutorily mandated to adjudicate and resolve disputes arising from injuries occurring in the workplace. Issues are resolved through hearings, mediation and/or negotiation. The

Compensation Review Board is the appellate level of the Workers' Compensation Commission.

Funding for Rehabilitation Services provides employment retraining to permanently injured workers who are unable to return to their former employment. Education programs provide information to employers, employees and the general public. Safety and health programs work to prevent and reduce workplace injuries by assisting employers in establishing committees to oversee safety programs.

Managed Care Plan (PPO) applications from employers are reviewed to ensure employees are provided adequate access to medical care while employers strive to achieve cost containment. Self-Insurance applications from employers are reviewed for eligibility based on fiscal solvency, loss history, and exposure.

The Statistical Division compiles data on trends and levels of activity associated with the workers' compensation process and serves as the repository for information on workers' compensation insurance coverage.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Injuries reported	53,524	55,437	68,249	70,000
Fatal Injuries	58	80	75	75
Informal Hearings	47,012	48,615	49,960	50,000
Pre-Formal Hearings	9,204	9,422	9,424	9,500
Formal Hearings	1,120	1,381	1,232	1,400
Dismissals	131	135	153	150
Stipulations Approved	6,848	6,915	6,747	7,000
Voluntary Agreements	22,097	21,543	21,783	23,000
Awards	1,277	1,274	1,229	1,300
Appeals to Compensation Review Board	142	133	118	140
Compensation Review Board Dispositions	143	135	127	140
Information Requests	442,735	517,637	312,495	491,000
Fraud Investigations	155	118	125	120

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Workers' Compensation Fund	129	3	0	132	132	132	132	132

**Financial Summary**

<b>(Net of Reimbursements)</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services	8,959,493	9,608,184	10,074,037	10,072,828	10,072,828	10,219,649	10,218,441	10,218,441
Other Expenses	2,710,818	3,146,291	5,181,679	3,264,306	3,155,016	4,462,231	3,264,895	3,155,605
<u>Capital Outlay</u>								
Equipment	15,656	291,669	107,639	97,000	82,000	141,010	137,000	137,000
<u>Other Current Expenses</u>								
Criminal Justice Fraud Unit	411,408	473,129	558,546	558,546	0	558,755	558,755	0
Rehabilitative Services	2,022,843	2,561,048	2,752,453	2,288,065	2,288,065	2,790,988	2,320,098	2,320,098
Fringe Benefits	5,112,506	5,522,685	5,604,725	5,586,922	5,586,922	5,686,268	5,805,640	5,805,640
Indirect Overhead	746,404	986,133	895,579	895,579	895,579	908,118	922,446	922,446
TOTAL-Workers' Compensation Fund	19,979,128	22,589,139	25,174,658	22,763,246	22,080,410	24,767,019	23,227,275	22,559,230

**Workers' Compensation Administration**

**AGENCY FINANCIAL SUMMARY - WORKERS' COMPENSATION FUND**

<i>Current Expenses by Minor Object</i>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	8,690,854	9,312,725	9,647,674	9,647,319	9,794,532	9,794,178
Other Positions	111,228	97,851	157,244	157,244	157,244	157,244
Other	156,433	198,108	269,119	268,265	267,873	267,019
Overtime	978	500	1,000	1,000	1,000	1,000
TOTAL-Personal Services Gross	8,959,493	9,609,184	10,075,037	10,073,828	10,220,649	10,219,441
Less Reimbursements	0	-1,000	-1,000	-1,000	-1,000	-1,000
Less Turnover	0	0	-65,600	-172,828	-65,600	-178,441
TOTAL-Personal Services Net	8,959,493	9,608,184	10,008,437	9,900,000	10,154,049	10,040,000
<i>Other Expenses-Contractual Services</i>						
Dues and Subscriptions	6,348	7,020	7,918	7,020	8,029	7,020
Utility Services	51,176	59,531	65,399	62,396	65,988	62,949
Rentals, Storage and Leasing	1,326,974	1,544,534	1,655,248	1,545,236	1,678,422	1,545,236
Telecommunication Services	125,071	144,780	156,012	144,762	158,196	144,762
General Repairs	28,072	32,652	35,016	32,647	35,506	32,647
Motor Vehicle Expenses	17,328	16,126	21,615	16,124	21,918	16,124
Fees for Outside Professional Services	59,471	69,182	106,818	102,450	107,263	102,450
Fees for Non-Professional Services	153,124	179,023	36,385	33,928	36,895	33,928
DP Services, Rentals and Maintenance	435,449	506,547	2,449,762	623,452	1,698,843	623,452
Postage	169,561	197,817	211,508	197,791	214,469	197,791
Travel	100,657	115,372	125,558	115,357	127,316	115,357
Other Contractual Services	127,591	149,375	160,177	149,355	162,419	149,355
Advertising	860	1,001	1,073	1,001	1,088	1,001
Printing & Binding	19,757	22,983	24,645	22,980	24,990	22,980
<i>Other Expenses-Commodities</i>						
Agriculture, Horticulture, Dairy & Food	538	500	670	500	683	500
Books	25,782	29,992	32,160	29,988	32,610	29,988
Maintenance and Motor Vehicle Supplies	7,987	7,591	9,954	7,772	9,966	7,808
Medical Supplies	4	5	5	5	5	5
Office Supplies	49,739	57,861	62,045	57,853	62,914	57,853
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	5,329	6,199	21,511	6,199	16,511	6,199
TOTAL-Other Expenses Gross	2,710,818	3,148,091	5,183,479	3,156,816	4,464,031	3,157,405
Less Reimbursements	0	-1,800	-1,800	-1,800	-1,800	-1,800
TOTAL-Other Expenses Net	2,710,818	3,146,291	5,181,679	3,155,016	4,462,231	3,155,605
<i>Other Current Expenses</i>						
Criminal Justice Fraud Unit	411,408	473,129	558,546	0	558,755	0
Rehabilitative Services	2,022,843	2,561,048	2,752,453	2,288,065	2,790,988	2,320,098
Fringe Benefits	5,112,506	5,522,685	5,604,725	5,586,922	5,686,268	5,805,640
Indirect Overhead	746,404	986,133	895,579	895,579	908,118	922,446

Budget-in-Detail

TOTAL-Other Current Expenses	8,293,161	9,542,995	9,811,303	8,770,566	9,944,129	9,048,184
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<b>Character &amp; Major Object Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	8,959,493	9,608,184	10,008,437	9,900,000	9,900,000	10,154,049	10,040,000	10,040,000
Other Expenses Net	2,710,818	3,146,291	5,181,679	3,264,306	3,155,016	4,462,231	3,264,895	3,155,605
Capital Outlay	15,656	291,669	107,639	97,000	82,000	141,010	137,000	137,000
Other Current Expenses	8,293,161	9,542,995	9,811,303	9,329,112	8,770,566	9,944,129	9,606,939	9,048,184
TOTAL-Workers' Compensation Fund Net	19,979,128	22,589,139	25,109,058	22,590,418	21,907,582	24,701,419	23,048,834	22,380,789

# EMERGENCY MANAGEMENT AND HOMELAND SECURITY

## AGENCY DESCRIPTION

The Department of Emergency Management and Homeland Security (DEMHS) directs and coordinates all available resources to protect the life and property of the citizens of Connecticut in the event of a disaster or crisis, through a collaborative program of prevention, planning, preparedness, response, recovery, and public education.

### *Energy Conservation Statement*

Energy conservation efforts have been followed as directed by the Commissioner. This message included steps to be taken during the summer months to reduce the state's energy consumption including turning off overhead lights if not in use; turning off computers, printers and photocopiers during long periods of non-use; and closing shades and draperies on warm summer days.

## AGENCY PROGRAM INDEX

Office of the Commissioner 342 Emergency Mgmt/Homeland Security 343

## RECOMMENDED SIGNIFICANT CHANGES

### *Reductions to Current Services*

	<u>2009-2010</u>	<u>2010-2011</u>
• Rollout FY2009 Rescissions	-13,046	-13,046
• OE/OCE General Reductions	-23,528	-23,528
• Transfer Equipment to CEPF	-150,850	-145,900
• Eliminate Funding to the American Red Cross	-225,000	-225,000
• Reduce Sworn Trooper Reimbursement	-266,195	-266,195

## AGENCY PROGRAMS

### *Personnel Summary*

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	46	0	0	46	46	46	46	46
Federal Contributions	14	0	0	14	14	14	14	14
Private Funds	8	0	1	9	9	9	9	9

### *Agency Programs by Total Funds*

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Office of the Commissioner	2,276,976	2,762,807	2,704,210	2,777,514	2,777,514	2,873,432	2,771,892	2,771,892
Emergency Management/Homeland Security	41,773,022	42,669,525	37,423,303	37,466,232	36,807,613	28,418,409	28,503,622	27,849,953
TOTAL Agency Programs - All Funds Gross	44,049,998	45,432,332	40,127,513	40,243,746	39,585,127	31,291,841	31,275,514	30,621,845
Less Turnover	0	0	-2,735	0	0	-2,735	0	0
TOTAL Agency Programs - All Funds Net	44,049,998	45,432,332	40,124,778	40,243,746	39,585,127	31,289,106	31,275,514	30,621,845

### *Summary of Funding*

General Fund Net	4,792,648	5,024,240	5,312,928	5,431,896	4,773,277	5,508,961	5,495,369	4,841,700
Federal and Other Activities	29,999,869	31,669,953	31,897,341	31,897,341	31,897,341	22,737,471	22,737,471	22,737,471
Bond Funds	269,655	410,128	314,350	314,350	314,350	407,900	407,900	407,900
Private Funds	8,987,826	8,328,011	2,600,159	2,600,159	2,600,159	2,634,774	2,634,774	2,634,774
TOTAL Agency Programs - All Funds Net	44,049,998	45,432,332	40,124,778	40,243,746	39,585,127	31,289,106	31,275,514	30,621,845

## OFFICE OF THE COMMISSIONER

**Statutory Reference**

Title 28- C.G.S.

**Statement of Need and Program Objectives**

The Commissioner for the Department of Emergency Management and Homeland Security is responsible for providing a coordinated, integrated program for statewide emergency management and homeland security.

**Program Description**

In addition to the Commissioner, Deputy Commissioner and two support staff, this office also includes a unit responsible for Legislative and Legal Affairs.

<b>Program Measure</b>	2007-2008 Actual	2008-2009 Estimated	2009-2010 Projected	2010-2011 Projected
Operations	16	16	16	16
Days EOC Activated	16	16	16	16
Exercises	62	68	50	60
Support of Municipalities	171	171	171	171
No. of Towns Receiving Grants	171	171	171	171
Funding to Towns	15,669,454	27,920,000	19,350,000	13,720,000
Training Classes	88	90	85	100
Students Trained	2,550	2,700	2,800	3,200
Terrorism Training - No. of students trained	990	1,050	1,200	1,300
Assessment of State Facilities	6	20	20	20
Assessment of Municipal Facilities	3	4	4	4
Assessment of Federal Facilities	0	0	0	0
Assessment of Private Facilities	35	35	35	35
Assessment of Maritime Vessels	1	1	1	1
Assessment of Buffer Zone Sites	5	5	5	5
Assessment of Strategic National Stockpile RSS Sites	2	2	2	2
US&R training days	36	36	36	36

**Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	22	0	0	22	22	22	22	22
Federal Contributions	6	0	0	6	6	6	6	6

**Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	1,498,371	1,820,996	1,839,477	1,830,188	1,830,188	1,883,931	1,731,233	1,731,233
Other Expenses	125,077	128,094	130,703	213,296	213,296	132,438	212,696	212,696
<u>Capital Outlay</u>								
Equipment	15,415	0	0	0	0	29,100	0	0
TOTAL-General Fund	1,638,863	1,949,090	1,970,180	2,043,484	2,043,484	2,045,469	1,943,929	1,943,929

Additional Funds Available

Bond Funds	15,415	53,629	0	0	0	29,100	29,100	29,100
Private Funds	82,976	225,000	115,385	115,385	115,385	150,000	150,000	150,000
<b>Federal Contributions</b>								
97008 Urban Areas Security Initiative	6,057	0	0	0	0	0	0	0
97039 Hazard Mitigation Grant	0	47,501	88,216	88,216	88,216	0	0	0
97067 Homeland Security Grant Program	515,008	382,935	474,623	474,623	474,623	488,863	488,863	488,863
97073 State Homeland Security Program (SHSP)	15,745	0	0	0	0	0	0	0
97074 Law Enforcement Terrorism Prevention	2,912	76,749	0	0	0	0	0	0
97110 Severe Loss Repetitive Program	0	27,903	55,806	55,806	55,806	160,000	160,000	160,000
TOTAL - All Funds	2,276,976	2,762,807	2,704,210	2,777,514	2,777,514	2,873,432	2,771,892	2,771,892

**Office of the Commissioner****EMERGENCY MANAGEMENT AND HOMELAND SECURITY****Statutory Reference**

Title 28- C.G.S.

The Emergency Preparedness Division works to coordinate a comprehensive state disaster response to all hazards, integrated across all disciplines and all levels of government. The Division includes the following units: Operations, Radiological Emergency Preparedness, Communications, and Urban Search and Rescue. The Division is headed by the Director of Emergency Management and Homeland Security.

The Operations Unit works under the Incident Command System of the National Incident Management System (NIMS) and includes the five DEMHS Regional Offices. Each Regional Office is staffed by a Regional Coordinator and a secretary. Each DEMHS Region is also assigned a DEMHS planner and a trainer.

A critical function of the DEMHS Operations Unit, located in Hartford, is the activation and management of the State Emergency Operations Center. The Operations Unit coordinates and oversees:

- Monitoring of emergency situations as they develop and/or threaten communities;
- Disseminating watches, warnings and emergency information to state agencies and local jurisdictions;
- The collection and consolidation of emergency related data and situation reports;
- Assignment of tasks to state agencies and the deployment of state resources in a coordinated State response to support local emergency response operations;
- Requesting and coordinating outside assistance from other states through the Emergency Management Assistance Compact (EMAC);
- Providing situation analysis and reporting to FEMA Region 1, and requesting and coordinating Federal assistance through FEMA Region I; and

- Providing situation analysis and reporting to the Governor's Office.

The five Regional Offices serve as direct points of contact to local jurisdictions to provide:

- Distribution of warning and emergency information to local jurisdictions;
- On-site monitoring of localized emergencies;
- Collection, verification and consolidation of local emergency situation reports and requests for assistance;
- Assistance to local jurisdictions in regional budget development and funding requests;
- Assistance to local governments in requesting training and exercise development assistance;
- Guidance and assistance to local governments in Emergency Operations Plan development, review, and revision;
- Oversight of the development of Regional Emergency Operations Plans; and
- Coordinate a regional response to ongoing emergency situations.

The Radiological Emergency Preparedness (REP) Unit of the DEMHS Emergency Management Division is responsible for developing and maintaining plans, exercises and training for the State's Radiological Emergency Response Plan (RERP) for Millstone's Nuclear Power Station.

The Connecticut RERP details the steps that would be taken to protect the public in response to an emergency situation at both Indian Point Nuclear Power Station in New York State and Millstone Nuclear Power Station in Waterford. It also includes information on how state field monitoring teams monitor and take samples of water, vegetation and milk throughout Connecticut in response to a radiological emergency at any nuclear power station. Connecticut's state agencies staffing the field teams are the Departments of Agriculture, Consumer Protection and Public Health. The Department of Environmental Protection has procedures on air monitoring. This plan is constantly under review and

exercised with local, state and Federal agencies as well as the neighboring States of New York and Rhode Island. The REP Unit's preparedness plans and exercises are evaluated by the United States Department of Homeland Security's Federal Emergency Management Agency and the U.S. Nuclear Regulatory Commission.

The REP Unit is responsible for certifying on an annual basis that all of the federal requirements and procedures are followed and completed. A vast public information and education program is necessary to provide the public living within a 10-mile radius of the evacuation routes a method of obtaining information in the event of a radiological emergency. DEMHS's REP Unit is responsible for providing Potassium Iodide (KI) and dosimetry to state and local emergency workers as well as providing KI to the general public. DEMHS's REP Unit ensures that the 10 communities around Millstone, the five Host Communities and support towns are all trained and have up to date plans and procedures on state and local Emergency Operations Centers and radiological monitoring. DEMHS's REP Unit maintains letters of agreements with transportation providers (buses, wheelchair vans and ambulances) to ensure that the State Transportation Staging Area can provide additional transportation resources to communities should evacuation ever be ordered.

The Communications Unit performs a number of functions designed to enhance and support interoperable communications statewide. The Unit also provides direct communications from the State Emergency Operations Center to the five DEMHS Regional Offices and to every municipality in Connecticut as needed during a significant incident.

The Connecticut Urban Search & Rescue Unit is a civil preparedness force trained to locate, extricate and preserve life in the event of any large-scale structural collapse, regardless of the cause.

The Finance and Administration Division coordinates fiscal management for the department and is responsible for budgeting, grants, accounts payable, accounts receivable, purchasing, inventory and other support functions.

The Training and Exercise Division is responsible for the establishment of training programs and the development, delivery and evaluation of exercises, in accordance with the Homeland Security Exercise and Evaluation Program guidance. This Division works collaboratively with local, state, tribal and federal partners to coordinate and conduct training and exercises in accordance with the agency's strategic plan. The substance of training and exercises is developed through the identification of local and regional needs, the DEMHS statewide strategy, and federal guidance.

The Division of Strategic Planning and Grant Administration provides strategic and all-hazards planning, program design and development, administration, coordination and financial management for programs to enhance Connecticut's prevention, preparedness, response and recovery capabilities.

The Division has been instrumental in increasing state, local and regional capabilities through the administration of grant funds, which for State Fiscal Year 2008 totaled \$117.6 million.

Grant responsibilities have grown since the agency's inception in 2005 from four major programs to twelve as of July 2008.

The chief programmatic responsibilities of the Division include:

- Continued oversight and direction for the regional collaboration planning initiative, which established Regional Emergency Planning Teams in each of the five DEMHS regions. Division staff assist in the execution of regional spending plans that address identified preparedness and planning needs; resource typing of emergency response assets; and are facilitating the production of a regional emergency operations plan based on the National Incident Management System (NIMS) structure;
- Development and administration of the state-funded School Security Grant Program which has enhanced security at over 300 schools statewide;
- Expansion of the Emergency Management Performance Grant, which continues to provide critical resources to municipal emergency management programs;
- Execution of interoperable communications programs including the State Tactical On-Scene Communications System (STOCS) and projects supported by the federal Public Safety Interoperable Communications (PSIC) grant; and
- Administration of federal disaster assistance programs to state and local governments, eligible non-profit organizations and individuals including the development of a manual that completely describes the Presidential disaster declaration process and the administration of the FEMA Public Assistance and Individual Assistance Programs.

More recently assumed programmatic responsibilities include the administration of the: FEMA Severe Repetitive Loss Program that assists homeowners suffering from repeated property losses due to frequent flooding; FEMA Hazard Mitigation Program, which supports mitigation programs to prevent future property losses; and Port Security Program, which requires a port-wide (Long Island Sound) risk assessment and strategic plan to harden critical infrastructure and increase maritime preparedness.

Historically and on an on-going basis, division staff draft and revise the state's emergency management plans, including the Natural Disaster Plan and the Consequence Management Plan for Deliberately Caused Incidents Involving Chemical Agents. Staff continues to develop a Catastrophic Disaster Plan to interface with the National Response Framework. More recently all-hazards planning efforts have been primarily directed toward catastrophic and state-to-state regional planning. Planning staff have invested significant time in the development of a donations management plan consistent with the federally-recommended model, a commodities distribution plan that has been successfully tested, and consultation to the Department of Environmental Protection on the development of the Debris Management Plan and

companion vendor contract for debris removal and monitoring services.

Connecticut's involvement in the Regional Catastrophic Planning Grant, which is a Connecticut, New Jersey and New York planning collaboration, marries the twin focus of current planning efforts (catastrophic and regional). Division staff are members of the Regional Catastrophic Planning Team. Connecticut expects through its involvement with its border states to strengthen mutual aid and to successfully synchronize emergency plans and in particular evacuation efforts across jurisdictional lines.

The Office of Counter Terrorism works to utilize all resources within state government to develop unified safety and security measures to prevent, mitigate and manage incidents threatening the quality of life of the citizens of Connecticut.

Joint Terrorism Task Force (JTTF) - This entity is composed of local, state and federal investigators who are dedicated to combat terrorist activities within the state. The JTTF is divided up into two sections, the International Terrorism Section (IT) and the Domestic Terrorism Section (DT).

Critical Infrastructure Protection Unit -Critical infrastructure sites in Connecticut include those public and private entities

(both physical and cyber-based systems) that are essential to maintaining minimal operational capabilities of government, and are necessary to the well being of the economy. The Critical Infrastructure Unit within DEMHS identifies these key assets; assesses their vulnerability; and develops a mitigation strategy designed to improve security at those sites.

Connecticut Intelligence Unit (CTIC)-The Connecticut Intelligence Center (CTIC) includes a co-located Team of federal, state and local partners (including the Department of Emergency Management and Homeland Security, Department of Public Safety, Department of Correction, CT National Guard, the FBI, US Coast Guard, the Office of the United States Attorney, the federal Department of Homeland Security, and municipal police). The CTIC collects, analyzes and disseminates highly sensitive information to law enforcement officials throughout the state. Recent accomplishments include the establishment of a toll-free tips line; the hiring of 5 regional intelligence officers (corresponding to the 5 DEMHS regions); seminars for local law enforcement; and the creation of a secure web site for the dissemination of intelligence information.

#### **Personnel Summary**

	As of 06/30/2008		2008-2009	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Filled</u>	<u>Vacant</u>	<u>Change</u>	<u>Total</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
Permanent Full-Time Positions								
General Fund	24	0	0	24	24	24	24	24
Federal Contributions	8	0	0	8	8	8	8	8
Private Funds	8	0	1	9	9	9	9	9

#### **Financial Summary**

	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
(Net of Reimbursements)								
Personal Services	2,260,593	2,131,506	2,408,517	2,354,724	2,088,529	2,454,882	2,522,102	2,255,907
Other Expenses	413,952	729,894	392,891	657,738	641,164	399,604	658,338	641,764
<u>Capital Outlay</u>								
Equipment	254,240	0	314,350	150,950	100	378,800	146,000	100
<u>Other Current Expenses</u>								
American Red Cross	225,000	213,750	229,725	225,000	0	232,941	225,000	0
TOTAL-General Fund	3,153,785	3,075,150	3,345,483	3,388,412	2,729,793	3,466,227	3,551,440	2,897,771

#### Additional Funds Available

Bond Funds	254,240	356,499	314,350	314,350	314,350	378,800	378,800	378,800
Private Funds	8,904,850	8,103,011	2,484,774	2,484,774	2,484,774	2,484,774	2,484,774	2,484,774

#### **Federal Contributions**

11555 Public Safety Interoperable Communications Grant	0	5,000,000	5,000,000	5,000,000	5,000,000	299,879	299,879	299,879
16738 E Byrne Memorial Justice Assistance Grant	3,692	0	0	0	0	0	0	0
97004 State Domestic Preparedness Equipment	681,751	0	0	0	0	0	0	0
97008 Urban Areas Security Initiative	4,244,938	560,056	0	0	0	0	0	0
97036 Public Assistance Grants	3,307,303	959,877	2,433,440	2,433,440	2,433,440	3,020,953	3,020,953	3,020,953

#### **Regulation and Protection**

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Emergency Mgmt/Homeland Security

## Budget-in-Detail

97039 Hazard Mitigation Grant	0	527,789	980,178	980,178	980,178	0	0	0
97042 Emergency Management Performance Grant	10,783	573,958	143,490	143,490	143,490	0	0	0
97056 Port Security Grant Program	0	2,775,000	1,200,000	1,200,000	1,200,000	0	0	0
97067 Homeland Security Grant Program	11,474,338	18,884,614	19,855,141	19,855,141	19,855,141	17,175,038	17,175,038	17,175,038
97073 State Homeland Security Program (SHSP)	6,557,080	507,527	0	0	0	0	0	0
97074 Law Enforcement Terrorism Prevention	2,472,450	675,317	0	0	0	0	0	0
97075 Rail and Transit Security Grant Program	0	414,350	0	0	0	0	0	0
97078 Buffer Zone Protection Plan (BZPP)	707,812	256,377	95,099	95,099	95,099	21,390	21,390	21,390
97110 Severe Loss Repetitive Program	0	0	1,571,348	1,571,348	1,571,348	1,571,348	1,571,348	1,571,348
<b>TOTAL - All Funds</b>	<b>41,773,022</b>	<b>42,669,525</b>	<b>37,423,303</b>	<b>37,466,232</b>	<b>36,807,613</b>	<b>28,418,409</b>	<b>28,503,622</b>	<b>27,849,953</b>

### Emergency Mgmt/Homeland Security

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<i>Current Expenses by Minor Object</i>	2007-2008	2008-2009	2009-2010	2009-2010	2010-2011	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Personal Services</i>						
Permanent Fulltime Positions	2,177,115	2,453,367	2,563,326	2,562,972	2,634,429	2,634,075
Other	1,482,090	1,364,213	1,500,038	1,220,823	1,514,214	1,218,143
Overtime	99,759	134,922	184,630	134,922	190,170	134,922
<b>TOTAL-Personal Services Gross</b>	<b>3,758,964</b>	<b>3,952,502</b>	<b>4,247,994</b>	<b>3,918,717</b>	<b>4,338,813</b>	<b>3,987,140</b>
Less Reimbursements						
Less Turnover	0	0	-2,735	0	-2,735	0
<b>TOTAL-Personal Services Net</b>	<b>3,758,964</b>	<b>3,952,502</b>	<b>4,245,259</b>	<b>3,918,717</b>	<b>4,336,078</b>	<b>3,987,140</b>
<i>Other Expenses-Contractual Services</i>						
Dues and Subscriptions	3,045	3,050	3,114	3,050	3,158	3,050
Utility Services	3,725	0	0	0	0	0
Rentals, Storage and Leasing	22,683	29,902	30,530	29,902	30,957	29,902
Telecommunication Services	61,563	74,605	76,171	65,692	77,237	65,692
General Repairs	46,609	59,627	60,879	59,627	61,731	59,627
Motor Vehicle Expenses	35,637	52,043	53,135	64,255	53,879	64,255
Fees for Outside Professional Services	25,976	46,900	49,325	46,900	51,484	46,900
Fees for Non-Professional Services	8,441	5,582	5,698	5,582	5,779	5,582
DP Services, Rentals and Maintenance	120,028	377,959	18,823	377,959	19,086	377,959
Postage	2,297	5,948	6,072	5,929	6,157	5,929
Travel	11,116	6,515	6,651	5,468	6,744	5,468
Other Contractual Services	61,571	11,975	12,227	11,975	12,399	11,975
Printing & Binding	106	1,697	1,733	1,697	1,757	1,697
<i>Other Expenses-Commodities</i>						
Agriculture, Horticulture, Dairy & Food	3,773	4,150	4,233	3,320	4,318	3,320
Clothing and Personal Supplies	3,692	3,692	3,770	3,692	3,823	3,692
Maintenance and Motor Vehicle Supplies	34,958	50,982	52,027	46,051	52,404	46,051

## Budget-in-Detail

Medical Supplies	0	1,500	1,579	1,500	1,650	1,500
Office Supplies	25,268	28,200	28,792	28,200	29,195	28,200
Refunds of Expenditures Not Otherwise Classified	1,723	250	255	250	259	250
<i>Other Expenses-Sundry</i>						
Sundry - Other Items	66,818	93,411	108,580	93,411	110,025	93,411
TOTAL-Other Expenses Gross	539,029	857,988	523,594	854,460	532,042	854,460
Less Reimbursements						
TOTAL-Other Expenses Net	539,029	857,988	523,594	854,460	532,042	854,460
<i>Other Current Expenses</i>						
American Red Cross	225,000	213,750	229,725	0	232,941	0
TOTAL-Other Current Expenses	225,000	213,750	229,725	0	232,941	0

<b>Character &amp; Major Object Summary</b>	2007-2008	2008-2009	2009-2010	Current	2009-2010	2010-2011	Current	2010-2011
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Personal Services Net	3,758,964	3,952,502	4,245,259	4,184,912	3,918,717	4,336,078	4,253,335	3,987,140
Other Expenses Net	539,029	857,988	523,594	871,034	854,460	532,042	871,034	854,460
Capital Outlay	269,655	0	314,350	150,950	100	407,900	146,000	100
Other Current Expenses	225,000	213,750	229,725	225,000	0	232,941	225,000	0
TOTAL-General Fund Net	4,792,648	5,024,240	5,312,928	5,431,896	4,773,277	5,508,961	5,495,369	4,841,700
<i>Additional Funds Available</i>								
Federal and Other Activities	29,999,869	31,669,953	31,897,341	31,897,341	31,897,341	22,737,471	22,737,471	22,737,471
Bond Funds	269,655	410,128	314,350	314,350	314,350	407,900	407,900	407,900
Private Funds	8,987,826	8,328,011	2,600,159	2,600,159	2,600,159	2,634,774	2,634,774	2,634,774
TOTAL-All Funds Net	44,049,998	45,432,332	40,124,778	40,243,746	39,585,127	31,289,106	31,275,514	30,621,845