

# GENERAL GOVERNMENT

Governor's Office .....	26
Secretary of the State .....	29
Lieutenant Governor's Office.....	34
State Treasurer .....	37
State Comptroller.....	44
Department of Revenue Services .....	50
Office of Governmental Accountability.....	56
Office of Policy and Management.....	64
Department of Veterans' Affairs.....	72
Department of Administrative Services .....	77
Department of Construction Services .....	88
Attorney General .....	92
Division of Criminal Justice.....	95

# GOVERNOR'S OFFICE

## AGENCY DESCRIPTION

The Governor is the elected constitutional officer whose responsibilities include: executive direction and supervision of the general administration of the state; appointments of various officials;

presentation of budget recommendations to the General Assembly; and approval or veto of legislation passed by the General Assembly.

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-5,818	-13,346
• Remove Funding for Salary Increases for Appointed Officials	-120,617	-253,403
• Annualize FY 2013 Rescissions	-33,957	-33,957
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-3,100	-3,100
• Streamline Agency Account Structure	0	0
<i>The accounts that support membership in the National Governors' Association and the New England Governors' Conference are combined into the Other Expenses account.</i>		
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-75,635	-26,775

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	26	1	0	27	27	27	27	27
<i>Other Positions Equated to Full Time</i>								
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			2	2	2	2	2	2
<b>Agency Programs by Total Funds</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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>
Overall Direct & Supv of State	2,616,846	2,749,388	2,943,007	2,943,008	2,779,516	3,097,300	3,097,301	2,793,495
TOTAL Agency Programs - All Funds Gross	2,616,846	2,749,388	2,943,007	2,943,008	2,779,516	3,097,300	3,097,301	2,793,495
Nonfunctional - Change to Accruals	0	0	0	75,635	0	0	35,805	9,030
TOTAL Agency Programs - All Funds Net	2,616,846	2,749,388	2,943,007	3,018,643	2,779,516	3,097,300	3,133,106	2,802,525
<b>Summary of Funding</b>								
General Fund Net	2,616,846	2,749,388	2,943,007	3,018,643	2,779,516	3,097,300	3,133,106	2,802,525
TOTAL Agency Programs - All Funds Net	2,616,846	2,749,388	2,943,007	3,018,643	2,779,516	3,097,300	3,133,106	2,802,525

## OVERALL DIRECTION AND SUPERVISION OF THE STATE

### Statutory Reference

C.G.S. Section 3-1.

### Statement of Need and Program Objectives

To direct and supervise the operation of state government.

### Program Description

The Governor is responsible for the executive direction and supervision of the general administration and delivery of services of the state.

The office provides staff assistance and liaison in all areas of state government administration and direction for agency programs and policies as well as federal advocacy for all state agencies.

The cornerstone on which the Governor sets the fiscal policies is the submission of budget recommendations to the General Assembly. In odd-numbered years, the Governor makes operating and capital budget recommendations for the biennium and in even-numbered years, recommends adjustments to the biennial budget as necessary.

The Governor appoints commissioners to state agencies and appoints members of boards and commissions, trustees and other officials.

The Governor also has the power to approve, or veto, legislation passed by the General Assembly, including the authority to veto appropriation line items. A two-thirds vote by each house of the General Assembly is required to override any veto.

OVERALL DIRECT & SUPV OF STATE**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	26	1	0	27	27	27	27	27
<i>Other Positions Equated to Full Time</i>								
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			2	2	2	2	2	2

**Financial Summary****(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	2,322,116	2,270,218	2,452,642	2,452,642	2,322,025	2,592,063	2,592,063	2,328,660
Other Expenses	176,092	231,311	237,129	237,129	457,490	244,657	244,657	464,834
<u>Capital Outlay</u>								
Equipment	0	1	0	1	1	0	1	1
<u>Pmts to Other Than Local Governments</u>								
New England Governors' Conference	3,262	113,138	115,593	115,593	0*	118,945	118,945	0*
National Governors' Association	115,376	134,720	137,643	137,643	0*	141,635	141,635	0*
TOTAL-General Fund	2,616,846	2,749,388	2,943,007	2,943,008	2,779,516	3,097,300	3,097,301	2,793,495

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**AGENCY FINANCIAL SUMMARY - GENERAL FUND****Current Expenses by Minor Object**

	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	2,233,018	2,145,046	2,330,416	2,209,799	2,463,203	2,209,800
Other Positions	64,444	103,172	109,426	99,426	116,060	106,060
Other	24,652	22,000	12,800	12,800	12,800	12,800
TOTAL-Personal Services Gross	2,322,114	2,270,218	2,452,642	2,322,025	2,592,063	2,328,660
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	2,322,114	2,270,218	2,452,642	2,322,025	2,592,063	2,328,660
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	2,736	3,571	3,648	244,236	3,754	251,580
Rentals, Storage and Leasing	73,506	95,942	98,024	91,147	100,867	91,147
Telecommunication Services	38,874	50,745	51,845	48,208	53,349	48,208
General Repairs	1,254	1,638	1,674	1,556	1,723	1,556
Motor Vehicle Expenses	16,272	21,238	22,512	20,176	23,863	20,176
Fees for Non-Professional Services	14,070	18,369	18,768	17,450	19,314	17,450
Postage	7,810	10,196	10,417	6,586	10,720	6,586
Travel	8,982	13,179	13,465	12,520	13,855	12,520
Other Contractual Services	32	42	43	40	44	40
Printing & Binding	2,466	3,219	3,289	3,058	3,384	3,058
<u>Other Expenses-Commodities</u>						
Maintenance and Motor Vehicle Supplies	342	444	477	422	491	422
Office Supplies	8,236	10,753	10,949	10,215	11,216	10,215
Refunds of Expenditures Not Otherwise Classified	1,512	1,975	2,018	1,876	2,077	1,876
TOTAL-Other Expenses Gross	176,092	231,311	237,129	457,490	244,657	464,834
Less Reimbursements						
TOTAL-Other Expenses Net	176,092	231,311	237,129	457,490	244,657	464,834

Budget-in-Detail

Pmts to Other Than Local Govts

New England Governors' Conference	3,262	113,138	115,593	0*	118,945	0*
National Governors' Association	115,376	134,720	137,643	0*	141,635	0*
TOTAL-Pmts to Other Than Local Govts	<u>118,638</u>	<u>247,858</u>	<u>253,236</u>	<u>0</u>	<u>260,580</u>	<u>0</u>
<u>Nonfunctional - Change to Accruals</u>	0	0	0	0	0	9,030

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**Character & Major Object Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	2,322,116	2,270,218	2,452,642	2,452,642	2,322,025	2,592,063	2,592,063	2,328,660
Other Expenses Net	176,092	231,311	237,129	237,129	457,490	244,657	244,657	464,834
Capital Outlay	0	1	0	1	1	0	1	1
Payments to Other Than Local Governments	118,638	247,858	253,236	253,236	0	260,580	260,580	0
Nonfunctional - Change to Accruals	0	0	0	75,635	0	0	35,805	9,030
TOTAL-General Fund Net	<u>2,616,846</u>	<u>2,749,388</u>	<u>2,943,007</u>	<u>3,018,643</u>	<u>2,779,516</u>	<u>3,097,300</u>	<u>3,133,106</u>	<u>2,802,525</u>

# SECRETARY OF THE STATE

## AGENCY DESCRIPTION

The Secretary of the State is an elected constitutional officer who is the repository and resource for a variety of public records and documents relating to the legislature, business, uniform commercial code, and elections.

The Secretary is the Commissioner of Elections and the keeper of the Great Seal of the State. The Secretary grants commissions to notaries

public and publishes the *State Register and Manual* (Blue Book). The Secretary oversees compliance with the federal "Motor Voter" law and promotes other voter registration efforts in both the public and private sectors.

## AGENCY PROGRAM INDEX

Commercial Recording	30	Board of Accountancy	32
Legislation & Elections Administration Division	30		
Management and Support Services	31		

## RECOMMENDED SIGNIFICANT CHANGES

	FY 2014	FY 2015
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-46,344	-108,729
• Remove Funding for Salary Increases for Appointed Officials	-33,547	-70,478
• Annualize FY 2013 Rescissions	-145,031	-145,031
• Eliminate Funding for Board of Accountancy Vacancy	-62,912	-67,770
• Reduce Printing Costs for the State Register and Manual	-10,000	-10,000
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-5,982	-5,982
• Centralize Costs for On-line Licensing System at the Department of Administrative Services	-10,000	-10,000
• Reallocate Citizenship Training to the Secretary of the State	50,000	50,000
<i>Transfers funding for citizenship training from the Department of Social Services.</i>		
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	29,190	-1,137

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	80	4	1	85	85	84	85	84
<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Commercial Recording	3,564,997	3,916,099	4,073,165	4,720,224	4,626,258	4,227,081	4,834,474	4,708,105
Legislation and Elections Administration Division	3,131,773	2,755,584	1,308,660	1,433,410	1,418,230	1,366,183	1,476,053	1,453,294
Management and Support Services	2,401,067	2,293,507	2,516,569	2,773,367	2,699,560	2,562,219	2,855,578	2,724,689
Board of Accountancy	248,287	336,612	350,427	350,427	269,564	369,437	369,437	281,465
TOTAL Agency Programs - All Funds Gross	9,346,124	9,301,802	8,248,821	9,277,428	9,013,612	8,524,920	9,535,542	9,167,553
Less Turnover	0	0	0	-17,143	-17,143	0	-17,914	-17,914
Nonfunctional - Change to Accruals	0	0	0	44,443	73,633	0	35,197	34,060
TOTAL Agency Programs - All Funds Net	9,346,124	9,301,802	8,248,821	9,304,728	9,070,102	8,524,920	9,552,825	9,183,699
<b>Summary of Funding</b>								
General Fund Net	7,358,807	7,743,486	8,248,821	9,304,728	9,070,102	8,524,920	9,552,825	9,183,699
Federal and Other Activities	1,987,317	1,558,316	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	9,346,124	9,301,802	8,248,821	9,304,728	9,070,102	8,524,920	9,552,825	9,183,699

## COMMERCIAL RECORDING

### Statutory Reference

C.G.S. Titles 33, 34, 35 et al.

### Statement of Need and Program Objective

To make information available to the public regarding corporations, limited partnerships, limited liability companies, statutory trusts, limited liability partnerships, Uniform Commercial Code and trademarks by reviewing, recording, copying, computerizing, and certifying documents for and of public record. To facilitate and foster the growth of business in the state, by partnering with private industry, trade organizations, the bar association, and other public and private agencies and organizations in various outreach and advocacy roles.

### Program Description

The major activities and responsibilities of the division include generating and transmitting annual reports to businesses of record; reviewing submitted documents for compliance with statutes;

receiving records and forwarding writs, summonses and complaints; creating and updating data records of businesses; and handling public inquiries.

The division reviews documents submitted for filing, provides certified copies and legal existence certificates; verifies funds deposited at the time of document review; and reviews and records all Uniform Commercial Code documents such as financial statements, amendments, judgment liens, notices of attachment and vessel liens. The division also identifies and investigates foreign businesses liable for penalties and past due license fees, if applicable, for transacting business in Connecticut prior to obtaining a certificate of authority to do so. The division assesses penalties, monitors and processes payments, issues demand letters, reviews dispute letters, and recommends proceedings to be initiated by the Attorney General's Office. The division also administers the Address Confidentiality Program.

## COMMERCIAL RECORDING

### Personnel Summary

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	38	0	0	38	38	38	38	38

### Financial Summary

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Commercial Recording Division	3,564,997	3,916,099	4,073,165	4,720,224	4,626,258	4,227,081	4,834,474	4,708,105
TOTAL-General Fund	3,564,997	3,916,099	4,073,165	4,720,224	4,626,258	4,227,081	4,834,474	4,708,105

## LEGISLATION AND ELECTIONS ADMINISTRATION DIVISION

### Statutory Reference

C.G.S. Sections 9-3 and 9-4 et al; Article Third State Constitution.

### Statement of Need and Program Objectives

To preserve the integrity and ensure the accuracy of Connecticut's elections, primaries, and referenda through timely communications and training for election officials concerning their duties; approval of tamper resistant voting systems; monitoring implementation of absentee ballot and voter registration laws; tabulation of vote totals for state and district offices and coordination of voter registration and outreach efforts aimed at young people and other voters. To increase the availability of information to the public by reviewing, recording, and filing a variety of documents including all bills, acts, and resolutions of the General Assembly.

### Program Description

The division administers, interprets and implements all state and federal laws pertaining to elections, primaries, nominating procedures, and the acquisition and exercise of voting rights.

The division also administers and monitors the implementation of the National Voter Registration Act, the Help America Vote Act (HAVA), the Military and Overseas Voting Act (MOVE) and other federally mandated voter registration and election administration laws. This includes oversight of the development of the content of all election and primary forms including absentee ballot materials and instructions and the implementation of provisional ballot and voter identification programs.

In conjunction with local town clerks and registrars, the division provides training for local elected officials and poll workers. The office regularly convenes conferences and meetings around the state

in an attempt to educate the local election officials (including registrars of voters, town clerks, moderators, and voting machine mechanics) of their statutory responsibilities regarding voter registration and the electoral process.

The division also responds to inquiries involving state election and primary law; provides advice to local officials in matters concerning home rule, charter revision, and local referenda; verifies each municipality's printed absentee ballot and sample ballots for accuracy and, where serious errors exist, orders the reprinting of such materials.

In addition, the division is the official keeper of all acts, orders, grants and resolutions of the General Assembly. The division reviews, records and files all General Assembly bills, acts, and resolutions; transmits all acts passed to the Governor; records executive actions and returns vetoed bills and messages to the General Assembly. The division certifies all legislation regarding appropriations, bond authorizations, and orders on the Treasurer and notifies members of the General Assembly of veto and special sessions.

The division compiles, publishes and distributes the *Connecticut State Register and Manual* and maintains the "interactive" State Register and Manual on the Secretary of the State's website, updating information on state, local, and federal government on a weekly basis.

The division records and files approved agency regulations, schedules of state agency meetings, municipal ordinances and special acts.

The division also administers Connecticut's notary public program.

**LEGISLATION & ELECTIONS ADMINISTRATION DIVISION**

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	14	1	0	15	15	15	15	15
General Fund								
<b>Financial Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	430,508	384,452	462,525	484,000	484,000	483,773	505,827	505,827
Other Expenses	163,056	191,899	196,030	196,030	196,022	198,611	198,611	196,022
<u>Other Current Expenses</u>								
Commercial Recording Division	551,940	620,917	650,105	753,380	738,208	683,799	771,615	751,445
TOTAL-General Fund	1,145,504	1,197,268	1,308,660	1,433,410	1,418,230	1,366,183	1,476,053	1,453,294
<u>Additional Funds Available</u>								
<b>Federal Contributions</b>								
93618 Voting Access-Individ w/Disabilities	1,986,269	1,558,316	0	0	0	0	0	0
TOTAL - All Funds	3,131,773	2,755,584	1,308,660	1,433,410	1,418,230	1,366,183	1,476,053	1,453,294

**MANAGEMENT AND SUPPORT SERVICES****Statutory Reference**

C.G.S. Chapter 33; Article Third and Fourth State Constitution.

**Statement of Need and Program Objective**

To support the Secretary of the State in the organization, direction, and control of all office operations.

**Program Description**

The program provides for the overall coordination of the office by performing budget, human resources, affirmative action, payroll, accounting, training, publication distribution/sales, public communication, and revenue deposit. The division also is responsible for information technology support.

**MANAGEMENT AND SUPPORT SERVICES**

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	25	2	1	28	28	28	28	28
General Fund								
<b>Financial Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	740,494	661,278	672,142	696,644	686,329	704,333	728,782	707,112
Other Expenses	319,445	371,457	379,183	379,183	373,185	388,169	388,169	373,185
<u>Capital Outlay</u>								
Equipment	0	1	0	1	1	0	1	1
<u>Other Current Expenses</u>								
Commercial Recording Division	1,339,422	1,260,099	1,464,557	1,696,852	1,639,358	1,469,015	1,737,924	1,643,689
Board of Accountancy	658	672	687	687	687	702	702	702
TOTAL-General Fund	2,400,019	2,293,507	2,516,569	2,773,367	2,699,560	2,562,219	2,855,578	2,724,689
<u>Additional Funds Available</u>								
<b>Federal Contributions</b>								
93618 Voting Access-Individ w/Disabilities	1,048	0	0	0	0	0	0	0
TOTAL - All Funds	2,401,067	2,293,507	2,516,569	2,773,367	2,699,560	2,562,219	2,855,578	2,724,689

\*

## BOARD OF ACCOUNTANCY

**Statutory Reference**

C.G.S. Chapter 389.

**Statement of Need and Program Objectives**

To protect the users of services rendered by Connecticut licensed accountants by regulating the authorized practice of public accountancy by certified public accountants and the unauthorized practice of public accountancy by unlicensed individuals and firms.

**Program Description**

Through its licensing, continuing education, peer review, and examination activities, the Board of Accountancy ensures that qualified individuals are granted the certificate for public

accountants and that they continue to be current with the most recent developments in the accounting field. If there are difficulties encountered by a consumer with a licensed accountant or firm, the board investigates all complaints to protect the public.

Allegations of violations are received and investigated. Formal hearings or settlements may result in suspension, revocation, reprimand, probation or censure of a respondent's Connecticut certificate, license or permit or the issuance of an Order of Immediate Discontinuance in the case of unauthorized practice and use of title. Civil penalties of up to \$50,000 may be imposed.

## BOARD OF ACCOUNTANCY

**Personnel Summary***Permanent Full-Time Positions*

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	3	1	0	4	4	3	4	3

**Financial Summary****(Net of Reimbursements)***Other Current Expenses*

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Board of Accountancy	248,287	336,612	350,427	350,427	269,564	369,437	369,437	281,465
TOTAL-General Fund	248,287	336,612	350,427	350,427	269,564	369,437	369,437	281,465

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

**Current Expenses by Minor Object**

	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	1,159,828	1,035,751	1,116,706	1,132,566	1,169,348	1,172,573
Other	7,406	6,614	17,961	37,763	18,758	40,366
Overtime	3,768	3,365	0	0	0	0
TOTAL-Personal Services Gross	1,171,002	1,045,730	1,134,667	1,170,329	1,188,106	1,212,939
Less Reimbursements						
Less Turnover	0	0	0	-17,143	0	-17,914
TOTAL-Personal Services Net	1,171,002	1,045,730	1,134,667	1,153,186	1,188,106	1,195,025

*Other Expenses-Contractual Services*

Dues and Subscriptions	983	1,148	1,173	1,173	1,207	1,173
Rentals, Storage and Leasing	2,204	2,573	2,629	2,629	2,705	2,629
Telecommunication Services	53,752	62,755	63,888	63,888	65,427	63,888
General Repairs	32,756	36,749	37,546	37,546	38,635	37,546
Motor Vehicle Expenses	5,775	6,742	6,889	6,889	7,089	6,889
Fees for Outside Professional Services	972	1,134	1,159	1,159	1,193	1,159
Fees for Non-Professional Services	15,132	17,667	18,050	18,050	18,573	18,050
DP Services, Rentals and Maintenance	99,666	116,361	118,774	118,774	122,069	118,774
Postage	15,310	17,875	18,270	12,288	18,800	12,288
Travel	5,872	6,855	7,004	7,004	7,207	7,004
Other Contractual Services	23,513	27,451	28,047	28,047	28,860	28,047
Advertising and Marketing	11,912	13,907	14,209	14,209	14,621	14,209
Printing & Binding	134,083	158,073	161,470	161,446	161,518	161,446
<i>Other Expenses-Commodities</i>						
Books	1,398	1,632	1,667	1,667	1,715	1,667
Medical Supplies	247	289	298	298	308	298
Office Supplies	77,618	90,618	92,586	92,586	95,272	92,586

Other Expenses-Sundry

Employee Fringe Benefits	1,304	1,522	1,549	1,549	1,576	1,549
Sundry - Other Items	4	5	5	5	5	5
TOTAL-Other Expenses Gross	482,501	563,356	575,213	569,207	586,780	569,207
Less Reimbursements						
TOTAL-Other Expenses Net	482,501	563,356	575,213	569,207	586,780	569,207

Other Current Expenses

Commercial Recording Division	5,456,359	5,797,115	6,187,827	7,003,824	6,379,895	7,103,239
Board of Accountancy	248,945	337,284	351,114	270,251	370,139	282,167
TOTAL-Other Current Expenses	5,705,304	6,134,399	6,538,941	7,274,075	6,750,034	7,385,406

Nonfunctional - Change to Accruals

	0	0	0	73,633	0	34,060
--	---	---	---	--------	---	--------

**Character & Major Object Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	1,171,002	1,045,730	1,134,667	1,163,501	1,153,186	1,188,106	1,216,695	1,195,025
Other Expenses Net	482,501	563,356	575,213	575,213	569,207	586,780	586,780	569,207
Capital Outlay	0	1	0	1	1	0	1	1
Other Current Expenses	5,705,304	6,134,399	6,538,941	7,521,570	7,274,075	6,750,034	7,714,152	7,385,406
Nonfunctional - Change to Accruals	0	0	0	44,443	73,633	0	35,197	34,060
TOTAL-General Fund Net	7,358,807	7,743,486	8,248,821	9,304,728	9,070,102	8,524,920	9,552,825	9,183,699
<u>Additional Funds Available</u>								
Federal and Other Activities	1,987,317	1,558,316	0	0	0	0	0	0
TOTAL-All Funds Net	9,346,124	9,301,802	8,248,821	9,304,728	9,070,102	8,524,920	9,552,825	9,183,699

# LIEUTENANT GOVERNOR'S OFFICE

## AGENCY DESCRIPTION

The Lieutenant Governor is the elected constitutional officer who is charged with the following responsibilities: succeeding the Governor in the event the Governor becomes unable to perform the duties of the office or the office becomes vacant during the

Governor's term; operating the state government during the Governor's absence from the state; and presiding over the State Senate and casting the tie-breaking vote when the Senate is equally divided.

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation	-3,239	-6,166
• Remove Funding for Salary Increases for Appointed Officials	-18,200	-38,235
• Annualize FY 2013 Rescissions	-24,727	-24,727
• Eliminate the Office of Health Reform and Innovation <i>The Office of Health Reform and Innovation is eliminated, and two positions and funding are transferred to Personal Services to support various health care initiatives overseen by the Lieutenant Governor, including the Health Insurance Exchange and health information technology efforts.</i>	-213,830	-227,848
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-31	-31
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	9,693	387

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	8	1	0	9	9	7	9	7
General Fund								
<b>Agency Programs by Total Funds (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>
Assist Supervision of the State	785,375	942,334	964,163	964,164	704,137	1,013,655	1,013,656	716,649
TOTAL Agency Programs - All Funds Gross	785,375	942,334	964,163	964,164	704,137	1,013,655	1,013,656	716,649
Nonfunctional - Change to Accruals	0	0	0	2,809	12,502	0	3,022	3,409
TOTAL Agency Programs - All Funds Net	785,375	942,334	964,163	966,973	716,639	1,013,655	1,016,678	720,058
<b>Summary of Funding</b>								
General Fund Net	764,674	917,584	964,163	966,973	716,639	1,013,655	1,016,678	720,058
Federal and Other Activities	15,250	4,750	0	0	0	0	0	0
Private Funds	5,451	20,000	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	785,375	942,334	964,163	966,973	716,639	1,013,655	1,016,678	720,058

## ASSISTING IN SUPERVISION OF THE STATE

### Statutory Reference

Connecticut State Constitution Article IV, Sections 17-19.

### Statement of Need and Program Objectives

To provide assistance in the operation of state government and to assure the continued operation of state government in the Governor's absence from the state or in the event that the Governor is unable to perform the duties of the office or the office becomes vacant.

### Program Description

The Lieutenant Governor provides assistance in the operation of state government.

The Connecticut Constitution provides for the election of the Lieutenant Governor and conditions for the succession to the Office of Governor. In case of the governor's death, resignation, refusal to serve, or removal from office, the lieutenant governor shall become governor until the next regular election. In the case of the inability of the governor to exercise the powers and perform the duties of office, or in case of impeachment or absence from the state, the lieutenant governor shall exercise the powers and authority and perform the duties of governor until the disability is removed, or the governor is acquitted or returns.

The Lieutenant Governor is, by virtue of the office, President of the Senate and oversees the procedures of the State Senate, including resolution of disputes. The Lieutenant Governor has a right to debate, when in committee of the whole and when the Senate is

Lieutenant Governor's Office

equally divided, the Lieutenant Governor may cast the tie-breaking vote.

The Lieutenant Governor, by virtue of the office, is also a voting member of the Finance Advisory Committee.

**ASSIST SUPERVISION OF THE STATE**

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions	8	1	0	9	9	7	9	7
General Fund								

**Financial Summary**

**(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	736,271	423,042	442,205	442,205	630,003	462,241	462,241	642,515
Other Expenses	28,403	67,541	70,453	70,453	74,133	72,937	72,937	74,133
<u>Capital Outlay</u>								
Equipment	0	1	0	1	1	0	1	1
<u>Other Current Expenses</u>								
Health Reform and Innovation	0	427,000	451,505	451,505	0	478,477	478,477	0
TOTAL-General Fund	764,674	917,584	964,163	964,164	704,137	1,013,655	1,013,656	716,649
<u>Additional Funds Available</u>								
Private Funds	5,451	20,000	0	0	0	0	0	0
<b>Federal Contributions</b>								
CT HEALTH INSURANCE EXCHNG MO	15,250	4,750	0	0	0	0	0	0
TOTAL - All Funds	785,375	942,334	964,163	964,164	704,137	1,013,655	1,013,656	716,649

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

**Current Expenses by Minor Object**

	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	720,638	419,842	439,005	626,803	459,041	639,315
Other Positions	10,944	0	0	0	0	0
Other	4,688	3,200	3,200	3,200	3,200	3,200
TOTAL-Personal Services Gross	736,270	423,042	442,205	630,003	462,241	642,515
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	736,270	423,042	442,205	630,003	462,241	642,515
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	700	1,635	1,670	1,795	1,718	1,795
Rentals, Storage and Leasing	1,730	4,041	4,732	4,437	4,852	4,437
Telecommunication Services	7,013	16,382	16,738	17,986	17,224	17,986
General Repairs	251	588	601	646	618	646
Motor Vehicle Expenses	6,084	14,208	15,060	15,602	15,964	15,602
Fees for Non-Professional Services	430	1,004	1,025	1,102	1,055	1,102
Postage	370	866	885	921	910	921
Travel	3,189	8,648	8,836	9,498	9,092	9,498
Other Contractual Services	1,000	2,335	2,386	2,564	2,455	2,564
Printing & Binding	1,644	3,839	4,222	4,215	4,336	4,215
<u>Other Expenses-Commodities</u>						
Office Supplies	5,992	13,995	14,298	15,367	14,713	15,367
TOTAL-Other Expenses Gross	28,403	67,541	70,453	74,133	72,937	74,133
Less Reimbursements						
TOTAL-Other Expenses Net	28,403	67,541	70,453	74,133	72,937	74,133
<u>Other Current Expenses</u>						
Health Reform and Innovation	0	427,000	451,505	0	478,477	0
TOTAL-Other Current Expenses	0	427,000	451,505	0	478,477	0
<u>Nonfunctional - Change to Accruals</u>						
	0	0	0	12,502	0	3,409

**Character & Major Object Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	736,271	423,042	442,205	442,205	630,003	462,241	462,241	642,515
Other Expenses Net	28,403	67,541	70,453	70,453	74,133	72,937	72,937	74,133
Capital Outlay	0	1	0	1	1	0	1	1
Other Current Expenses	0	427,000	451,505	451,505	0	478,477	478,477	0
Nonfunctional - Change to Accruals	0	0	0	2,809	12,502	0	3,022	3,409
TOTAL-General Fund Net	<u>764,674</u>	<u>917,584</u>	<u>964,163</u>	<u>966,973</u>	<u>716,639</u>	<u>1,013,655</u>	<u>1,016,678</u>	<u>720,058</u>
<u>Additional Funds Available</u>								
Federal and Other Activities	15,250	4,750	0	0	0	0	0	0
Private Funds	5,451	20,000	0	0	0	0	0	0
TOTAL-All Funds Net	<u>785,375</u>	<u>942,334</u>	<u>964,163</u>	<u>966,973</u>	<u>716,639</u>	<u>1,013,655</u>	<u>1,016,678</u>	<u>720,058</u>

# STATE TREASURER

## AGENCY DESCRIPTION

The State Treasurer, elected for a term of four years as prescribed by the state constitution, is responsible for the safe custody of the property and money of the state and makes disbursements on warrants drawn and presented by the Comptroller.

The Treasurer invests the state's General Fund as well as the assets of the state's pensions, trusts and other funds. The Treasurer administers the issuance of state bonds and the payment of principal and interest thereon. The Treasurer also manages the process of the

borrowing of those funds, the repayment of which is a limited or contingent liability of the state.

The Treasurer serves as the custodian for all unclaimed property remitted to the state. The Treasurer safeguards these assets, publicizes the names of the rightful owners and returns those assets to the owners as they come forward.

The Second Injury Fund, a workers' compensation fund financed by assessments on businesses, is also under the jurisdiction of the Treasurer.

## AGENCY PROGRAM INDEX

Debt Management	38	Unclaimed Property & Escheats	41
Investment Services	39	Agency Management Services	41
Cash Management	39		
Second Injury Fund	40		

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation	-3,992	-9,304
• Remove Funding for Salary Increases for Appointed Officials	-55,700	-117,019
• Annualize FY 2013 Rescissions	-8,967	-8,967
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-4,119	-4,119
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-5,576	-5,422

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	11	0	48	52	48	52	48
Federal and Other Activities	93	20	0	113	113	113	113	113
Clear Water Fund	3	0	0	3	3	3	3	3
			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
<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>
Federal and Other Activities			1	1	1	1	1	1
<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Debt Management	1,878,028	753,033	800,367	793,967	793,380	840,676	834,276	832,888
Investment Services	81,342,617	77,277,677	79,596,008	79,596,008	79,596,008	81,983,889	81,983,889	81,983,889
Cash Management	5,780,066	6,187,888	6,288,278	6,283,278	6,283,074	6,495,907	6,490,907	6,490,424
Second Injury Fund	20,209,884	20,588,410	21,205,598	21,205,598	21,205,598	21,841,539	21,841,539	21,841,539
Unclaimed Property & Escheats	4,814,825	5,371,099	5,531,934	5,531,934	5,531,934	5,697,593	5,697,593	5,697,593
Agency Management Services	4,403,479	4,659,853	5,641,795	5,141,464	5,069,477	5,851,028	5,329,584	5,192,046
TOTAL Agency Programs - All Funds Gross	118,428,899	114,837,960	119,063,980	118,552,249	118,479,471	122,710,632	122,177,788	122,038,379
Less Turnover	0	0	-451,414	-169,986	-169,986	-463,420	-169,608	-169,608
Nonfunctional - Change to Accruals	0	0	0	27,161	21,585	0	27,625	22,203
TOTAL Agency Programs - All Funds Net	118,428,899	114,837,960	118,612,566	118,409,424	118,331,070	122,247,212	122,035,805	121,890,974

## Budget-in-Detail

### Summary of Funding

General Fund Net	3,345,318	3,560,639	3,998,513	3,795,371	3,717,017	4,196,091	3,984,684	3,839,853
Unclaimed Property Fund	5,466,551	6,000,000	6,179,702	6,179,702	6,179,702	6,364,794	6,364,794	6,364,794
Special Funds, Non-Appropriated	523,343	0	0	0	0	0	0	0
Second Injury & Compensation Assurance	7,291,071	7,249,668	7,466,694	7,466,694	7,466,694	7,690,468	7,690,468	7,690,468
Investment Trust Fund	82,549,340	78,686,303	81,046,142	81,046,142	81,046,142	83,476,774	83,476,774	83,476,774
Private Funds	19,253,276	19,341,350	19,921,515	19,921,515	19,921,515	20,519,085	20,519,085	20,519,085
<b>TOTAL Agency Programs - All Funds Net</b>	<b>118,428,899</b>	<b>114,837,960</b>	<b>118,612,566</b>	<b>118,409,424</b>	<b>118,331,070</b>	<b>122,247,212</b>	<b>122,035,805</b>	<b>121,890,974</b>

## DEBT MANAGEMENT

### **Statutory Reference**

C.G.S. Chapter 32, Part I.

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

Administer the state's bond and debt financing program, including the sale of state bonds. Monitor the bond markets, financing structures and economic trends that affect interest rates in order to realize favorable bond issuances. Oversee the issuance of bonds to finance state capital projects, refinance outstanding debt when appropriate, manage debt service payments and cash flow borrowing, and provide information and data to private credit rating agencies.

### **Program Description**

The State of Connecticut finances a wide array of capital projects and programs through the issuance of general obligation bonds backed by the general taxing power of the state. The projects include construction or repair of state offices, institutions, colleges and universities and prisons. The programs include loans or grants for housing, school construction, economic development, venture capital, community care facilities, development rights for farmland and open space acquisition.

Special tax obligation bonds, backed by a dedicated stream of gasoline tax and motor vehicle fines, fees and related charges, are issued to fund the non-federal share of the Transportation Infrastructure Renewal Program including mass transit facilities and highway projects.

The division manages the issuance of the general and special obligation bonds of the University of Connecticut under a capital investment program to rebuild and refurbish the University of Connecticut. That program, which began in 1995, now extends to 2017.

The division has developed several revenue bonding programs to meet other state financing needs. The Clean Water Fund bonding program enhances the state's Clean Water Fund, which provides grants and loans to finance the planning, design and construction of water quality projects throughout the state including projects to improve water quality in Long Island Sound. Other specialized bonding programs include the Bradley International Airport bonding program.

Elements of the bond issuance process include: preparing an official statement to disclose all pertinent information regarding the state's economy and fiscal condition to underwriters and bond investors; making presentations with the Office of Policy and Management to credit rating agencies to obtain a credit rating on each issue; reviewing with bond and tax attorneys individual projects that may be included in a bond issue to assure that each qualifies for the federal tax exemption; structuring the issue for market acceptance; pricing the issue by competitive bid or negotiated sale and investing and releasing bond proceeds in accordance with bond indenture and federal tax requirements.

## DEBT MANAGEMENT

### **Personnel Summary**

<i>Permanent Full-Time Positions</i>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	8	0	0	8	8	8	8	8
Clear Water Fund	3	0	0	3	3	3	3	3

### **Financial Summary**

#### **(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	687,280	725,985	772,732	766,332	766,332	812,240	805,840	805,840
Other Expenses	22,758	27,048	27,635	27,635	27,048	28,436	28,436	27,048
<b>TOTAL-General Fund</b>	<b>710,038</b>	<b>753,033</b>	<b>800,367</b>	<b>793,967</b>	<b>793,380</b>	<b>840,676</b>	<b>834,276</b>	<b>832,888</b>

#### Additional Funds Available

Special Funds, Non-Appropriated	523,343	0	0	0	0	0	0	0
Private Funds	644,647	0	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>1,878,028</b>	<b>753,033</b>	<b>800,367</b>	<b>793,967</b>	<b>793,380</b>	<b>840,676</b>	<b>834,276</b>	<b>832,888</b>

## INVESTMENT SERVICES

### Statutory Reference

C.G.S. Chapter 32, Part I.

### Statement of Need and Program Objectives

To maximize the long-term investment return on pension assets with an acceptable degree of risk so that beneficiary benefit payments are made when due and contributions required from the State and municipal plan sponsors are minimized.

### Program Description

Under the direction of the Treasurer and with the advice of the Investment Advisory Council, the Pension Funds Management Division manages the Connecticut Retirement Plans and Trust Funds (CRPTF) for the benefit of six pension funds and eight trust funds involving approximately 194,000 active and retired participants. The pension funds are the Teachers' Retirement Fund, State Employees' Retirement Fund, Municipal Employees' Retirement Fund, Probate Court Retirement Fund and the State Judges' and State Attorneys' Retirement Funds.

The Combined Investment Funds in which the CRPTF's cash flow is invested include:

- Liquidity Fund - includes money market instruments and short-term debt,
- Mutual Equity Fund,
- Developed Markets International Stock Fund,
- Emerging Markets International Stock Fund,
- Core Fixed Income Fund,
- Inflation Linked Bond Fund,
- Emerging Markets Debt Fund,
- High Yield Debt Fund,
- Real Estate Fund – including core, Real Estate Investment Trusts (REITs), value added and opportunistic real estate funds,
- Private Investment Fund – including venture capital, corporate finance and other private equity fund investments,
- Commercial Mortgage Fund – which includes commercial and Yankee Mac mortgages,
- Alternative Investment Fund – involving strategies which do not fall into traditional classes.

The investment funds are externally managed with performance oversight maintained by the Pension Funds Management Division.

## INVESTMENT SERVICES

### Personnel Summary

Permanent Full-Time Positions Federal and Other Activities	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
	17	3	0	20	20	20	20	20
Other Positions Equated to Full Time Federal and Other Activities			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
			Actual	Estimated	Requested	Recommended	Requested	Recommended
			1	1	1	1	1	1

### Financial Summary

#### (Net of Reimbursements)

#### Additional Funds Available

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Investment Trust Fund	81,342,617	77,277,677	79,596,008	79,596,008	79,596,008	81,983,889	81,983,889	81,983,889
TOTAL - All Funds	81,342,617	77,277,677	79,596,008	79,596,008	79,596,008	81,983,889	81,983,889	81,983,889

## CASH MANAGEMENT

### Statutory Reference

C.G.S. Chapter 32, Part I.

### Statement of Need and Program Objectives

To protect state deposits through effective internal operations that maximize investment balances, while meeting the state's financial obligations, by speeding deposits, controlling disbursements, minimizing banking costs and balances and providing accurate cash forecasts. To achieve as high a level of income in the Treasurer's Short-Term Investment Fund (STIF), which is an investment pool for the operating cash of state and local governments.

### Program Description

The Cash Management Division is responsible for managing the state's cash, banking relationships and its short-term investment programs, such as the Short-Term Investment Fund (STIF), the

Medium-Term Investment Fund (STIF Plus), and other portfolios of permissible investments.

The Bank Control and Reconciliation Unit tracks the state's internal and external cash flow. The unit is also responsible for the reconciliation of treasury bank accounts, the administration of stop payments and check reissues and the release of state payroll and vendor checks.

The Cash Control Unit forecasts daily and long-term cash availability, funds disbursement accounts, concentrates cash from depository banks, sweeps idle cash into short-term investment vehicles to maximize investment balances and executes electronic transfers.

The Short-Term Investments Unit invests STIF assets, monitors custodian activity and prepares quarterly and annual reports. The

Budget-in-Detail

unit also administers STIF accounts for state agencies and authorities and municipal and local entities. In addition, the unit manages the Grant Express program, the Debt Express program, and the Clean Water program, which enable municipalities to transfer funds associated with these programs directly into and out of their STIF accounts.

The Client Services Unit consults with state agencies on initiatives to speed the deposit of funds, identifies mechanisms to reduce banking costs, reviews requests by state agencies for new bank accounts, maintains records of the state's bank accounts, and reviews bank invoices and compensation.

**CASH MANAGEMENT**

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	1	0	13	13	13	13	13
Federal and Other Activities	6	2	0	8	8	8	8	8

**Financial Summary**

**(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	1,141,999	1,207,019	1,158,138	1,153,138	1,153,138	1,211,948	1,206,948	1,206,948
Other Expenses	7,930	9,424	9,628	9,628	9,424	9,907	9,907	9,424
TOTAL-General Fund	1,149,929	1,216,443	1,167,766	1,162,766	1,162,562	1,221,855	1,216,855	1,216,372

**Additional Funds Available**

Private Funds	4,630,137	4,971,445	5,120,512	5,120,512	5,120,512	5,274,052	5,274,052	5,274,052
TOTAL - All Funds	5,780,066	6,187,888	6,288,278	6,283,278	6,283,074	6,495,907	6,490,907	6,490,424

**SECOND INJURY FUND**

**Statutory Reference**

C.G.S. Chapter 568, Part E; Sections 31-349 and 31-354.

**Statement of Need and Program Objectives**

To relieve employers from liabilities under the Workers' Compensation Act by providing benefits for certain types of workers' compensation claims. The fund is charged with providing indemnity and/or medical benefits to claimants assigned to it by order of the workers' compensation commissioners, and to negotiate settlements of appropriate claims to offset long-term costs to the businesses that pay annual assessments to the Fund.

**Program Description**

The Second Injury Fund, administered by the Treasurer, is a state-run workers' compensation insurance fund that pays lost wages and

medical benefits to qualified injured workers. The fund manages and has liability for workers' compensation claims which involve: an uninsured employer or a bankrupt employer who fails to secure workers' compensation insurance; a pro rata liability for indemnity payments paid to any worker who had more than one employer at the time of injury; benefits to widows and dependents when the deceased died as a result of a work-related injury; and COLA payments for certain types of claims.

The Second Injury Fund operations are financed by assessments on Connecticut employers. Insured employers pay a surcharge on their workers' compensation insurance policies based on annual standard premiums. The assessment for self-insured employers is based on paid losses for medical and indemnity benefits incurred in the prior calendar year.

**SECOND INJURY FUND**

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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								
Federal and Other Activities	34	5	0	39	39	39	39	39

**Financial Summary**

**(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Second Injury & Compensation Assurance	6,383,954	6,347,702	6,537,669	6,537,669	6,537,669	6,733,572	6,733,572	6,733,572
Private Funds	13,825,930	14,240,708	14,667,929	14,667,929	14,667,929	15,107,967	15,107,967	15,107,967
TOTAL - All Funds	20,209,884	20,588,410	21,205,598	21,205,598	21,205,598	21,841,539	21,841,539	21,841,539

## UNCLAIMED PROPERTY AND ESCHEATS

### Statutory Reference

C.G.S. Chapter 32, Part III; Section 3-56a through 3-76

### Statement of Need and Program Objectives

To locate and reunite rightful owners with their unclaimed property and ensure that all unclaimed property, as defined by statute, is rendered to the state for safeguarding. To administer Connecticut's unclaimed property and escheats statutes.

### Program Description

Under the Connecticut General Statutes, the Treasurer is custodian of all unclaimed property remitted to the state. A primary activity of the division is to reunite owners with their property, administered through outreach efforts and advertising of its *CTBigList* program. Another core activity of the division is its *Holder Outreach* program. Targeted to businesses and organizations, this program promotes compliance with the statutory obligation to report and remit unclaimed property to the state by the annual March 31<sup>st</sup> deadline.

## UNCLAIMED PROPERTY & ESCHEATS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Federal and Other Activities	22	6	0	28	28	28	28	28

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Additional Funds Available								
Unclaimed Property Fund	4,814,825	5,371,099	5,531,934	5,531,934	5,531,934	5,697,593	5,697,593	5,697,593
TOTAL - All Funds	4,814,825	5,371,099	5,531,934	5,531,934	5,531,934	5,697,593	5,697,593	5,697,593

## MANAGEMENT SERVICES

### Statutory Reference

C.G.S. Chapter 32 and Article Fourth of the State Constitution.

### Statement of Need and Program Objectives

To direct and support the operations of the Office of the State Treasurer by establishing long and short-term goals and objectives and coordinating and providing management services.

### Program Description

The Executive Office is responsible for overall policy, planning and general administration designed to: enhance the financial integrity and soundness of treasury operations; provide direction and leadership in carrying out Treasury functions and foster economic well-being of the state and its citizens and businesses within the confines of fiduciary standards. Specific activities include legislative affairs and public information, responsible investment relations, management services, legal services, community outreach and development of financial literacy programs.

The Policy Unit administers the state's corporate governance program.

The Management Services Unit includes the personnel, information services and business office services.

Personnel Services establishes and implements personnel standards and procedures; processes and maintains personnel records and administers the treasury's training and employee assistance programs.

Information Services furnishes overall local area network (LAN) system management and support; maintains all electronic data processing equipment; formulates system standards and controls and provides analysis, application development and program support services.

Business Office Services performs the accounting, purchasing, payroll and property requirements of the treasury; prepares the agency budget; oversees allocation of resources to meet operational requirements and establishes and maintains business control over internal operations of all treasury divisions.

## AGENCY MANAGEMENT SERVICES

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	17	10	0	27	31	27	31	27
Federal and Other Activities	14	4	0	18	18	18	18	18

Budget-in-Detail

<b>Financial Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	1,365,133	1,448,284	2,331,215	1,835,383	1,779,683	2,436,169	1,925,224	1,808,205
Other Expenses	120,217	142,878	146,079	146,079	129,792	150,311	150,311	129,792
<u>Capital Outlay</u>								
Equipment	1	1	4,500	1	1	10,500	1	1
TOTAL-General Fund	1,485,351	1,591,163	2,481,794	1,981,463	1,909,476	2,596,980	2,075,536	1,937,998
<u>Additional Funds Available</u>								
Unclaimed Property Fund	651,726	628,901	647,768	647,768	647,768	667,201	667,201	667,201
Second Injury & Compensation Assurance	907,117	901,966	929,025	929,025	929,025	956,896	956,896	956,896
Investment Trust Fund	1,206,723	1,408,626	1,450,134	1,450,134	1,450,134	1,492,885	1,492,885	1,492,885
Private Funds	152,562	129,197	133,074	133,074	133,074	137,066	137,066	137,066
TOTAL - All Funds	4,403,479	4,659,853	5,641,795	5,141,464	5,069,477	5,851,028	5,329,584	5,192,046

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	3,127,998	3,310,990	4,089,465	3,991,585	4,284,947	4,123,179
Other Positions	13,439	14,224	65,851	40,251	66,290	40,690
Other	52,975	56,074	106,769	92,317	109,120	92,124
TOTAL-Personal Services Gross	3,194,412	3,381,288	4,262,085	4,124,153	4,460,357	4,255,993
Less Reimbursements	0	0	0	-425,000	0	-435,000
Less Turnover	0	0	-451,414	-169,986	-463,420	-169,608
TOTAL-Personal Services Net	3,194,412	3,381,288	3,810,671	3,529,167	3,996,937	3,651,385
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	19,036	22,623	23,115	22,623	23,785	22,623
Rentals, Storage and Leasing	11,857	14,092	14,398	14,092	14,816	14,092
Telecommunication Services	13,792	16,393	16,748	16,393	17,234	16,393
General Repairs	4,580	5,443	5,561	5,443	5,722	5,443
Motor Vehicle Expenses	8,105	9,633	9,842	9,633	10,127	9,633
Fees for Outside Professional Services	1,104	1,312	1,340	1,312	1,379	1,312
Fees for Non-Professional Services	29,323	34,849	35,606	34,849	36,639	34,849
DP Services, Rentals and Maintenance	5,202	6,183	6,317	6,183	6,501	6,183
Postage	6,600	7,846	8,017	7,727	8,249	7,727
Travel	5,115	6,078	6,210	5,078	6,391	5,078
Other Contractual Services	2,713	3,226	3,296	3,226	3,392	3,226
Advertising and Marketing	5,040	5,990	6,120	4,990	6,297	4,990
Printing & Binding	2,926	3,477	3,552	3,477	3,655	3,477
<u>Other Expenses-Commodities</u>						
Maintenance and Motor Vehicle Supplies	2,374	2,822	2,984	2,822	3,068	2,822
Office Supplies	27,877	33,132	33,851	25,132	34,831	25,132
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	5,261	6,251	6,385	3,284	6,568	3,284
TOTAL-Other Expenses Gross	150,905	179,350	183,342	166,264	188,654	166,264
Less Reimbursements						
TOTAL-Other Expenses Net	150,905	179,350	183,342	166,264	188,654	166,264
<u>Nonfunctional - Change to Accruals</u>	0	0	0	21,585	0	22,203

<b>Character &amp; Major Object Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	3,194,412	3,381,288	3,810,671	3,584,867	3,529,167	3,996,937	3,768,404	3,651,385
Other Expenses Net	150,905	179,350	183,342	183,342	166,264	188,654	188,654	166,264
Capital Outlay	1	1	4,500	1	1	10,500	1	1
Nonfunctional - Change to Accruals	0	0	0	27,161	21,585	0	27,625	22,203
TOTAL-General Fund Net	3,345,318	3,560,639	3,998,513	3,795,371	3,717,017	4,196,091	3,984,684	3,839,853
<i>Additional Funds Available</i>								
Unclaimed Property Fund	5,466,551	6,000,000	6,179,702	6,179,702	6,179,702	6,364,794	6,364,794	6,364,794
Special Funds, Non-Appropriated	523,343	0	0	0	0	0	0	0
Second Injury & Compensation Assurance	7,291,071	7,249,668	7,466,694	7,466,694	7,466,694	7,690,468	7,690,468	7,690,468
Investment Trust Fund	82,549,340	78,686,303	81,046,142	81,046,142	81,046,142	83,476,774	83,476,774	83,476,774
Private Funds	19,253,276	19,341,350	19,921,515	19,921,515	19,921,515	20,519,085	20,519,085	20,519,085
TOTAL-All Funds Net	118,428,899	114,837,960	118,612,566	118,409,424	118,331,070	122,247,212	122,035,805	121,890,974

# STATE COMPTROLLER

## AGENCY DESCRIPTION

The responsibilities of the Office of the State Comptroller (OSC) include preparing all accounting statements relating to the financial condition of the state; providing for the budgetary and financial reporting needs of the executive branch through the Core-CT

computerized system; paying all wages and salaries of state employees; and administering miscellaneous appropriations including the procurement of medical, dental and pharmacy benefits.

## AGENCY PROGRAM INDEX

Management Services	44	Budget & Fiscal Analysis	47
Payroll Services	45	Information Technology Division	47
Accounts Payable	45	Healthcare Policy and Benefits Division	48
Retirement Division	46		

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-74,168	-175,443
• Remove Funding for Salary Increases for Appointed Officials	-50,028	-105,102
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-2,088	-2,088
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-6,759	54,026

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	268	5	0	273	273	273	273	273

<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Management Services	4,786,709	4,783,442	4,274,917	4,115,614	4,050,457	4,430,562	4,280,510	4,145,119
Payroll Services	2,833,992	2,904,976	3,003,455	2,929,411	2,929,306	3,161,379	3,086,824	3,086,607
Accounts Payable	1,617,976	1,625,493	1,821,191	1,803,213	1,803,142	1,914,023	1,894,925	1,894,774
Retirement Division	5,356,124	5,524,568	6,209,865	6,043,607	6,040,518	6,510,877	6,356,527	6,349,173
Budget & Fiscal Analysis	4,504,916	4,599,285	5,554,750	5,500,707	5,499,254	5,824,504	5,796,921	5,792,219
Information Technology Division	4,147,048	5,159,402	5,077,426	4,945,121	4,892,238	5,108,922	5,107,337	4,979,921
Healthcare Policy and Benefits Division	2,118,826	2,131,426	2,278,287	2,234,805	2,231,279	2,404,199	2,364,669	2,357,267
<b>TOTAL Agency Programs - All Funds Gross</b>	<b>25,365,591</b>	<b>26,728,592</b>	<b>28,219,891</b>	<b>27,572,478</b>	<b>27,446,194</b>	<b>29,354,466</b>	<b>28,887,713</b>	<b>28,605,080</b>
Less Turnover	0	0	-225,000	-120,000	-120,000	-225,000	-120,000	-120,000
Nonfunctional - Change to Accruals	0	0	0	210,382	203,623	0	94,897	148,923
<b>TOTAL Agency Programs - All Funds Net</b>	<b>25,365,591</b>	<b>26,728,592</b>	<b>27,994,891</b>	<b>27,662,860</b>	<b>27,529,817</b>	<b>29,129,466</b>	<b>28,862,610</b>	<b>28,634,003</b>
<b>Summary of Funding</b>								
General Fund Net	25,293,959	26,728,592	27,994,891	27,662,860	27,529,817	29,129,466	28,862,610	28,634,003
Private Funds	71,632	0	0	0	0	0	0	0
<b>TOTAL Agency Programs - All Funds Net</b>	<b>25,365,591</b>	<b>26,728,592</b>	<b>27,994,891</b>	<b>27,662,860</b>	<b>27,529,817</b>	<b>29,129,466</b>	<b>28,862,610</b>	<b>28,634,003</b>

## MANAGEMENT SERVICES DIVISION

### Statutory Reference

Article Fourth, State Constitution; C.G.S. Sections 3-112, 3-117, 4-33, 4-33a, 4-36, 4-52 through 4-58 and 4-98.

### Statement of Need and Program Objectives

To monitor agency compliance with the state's accounting procedures. To conduct agency internal control reviews and fact-finding activities at the request of the Comptroller. To coordinate procurement, implementation and support of the information

technology (IT) infrastructure for the office. To provide support services for the central processes within the Comptroller's office.

### Program Description

The Management Services Division provides policy and program direction for administrative functions of the Office of the State Comptroller and develops and executes the agency budget and

statewide miscellaneous fringe benefit accounts assigned to the agency.

The division monitors legislative initiatives affecting the agency's budget and interprets constitutional and statutory provisions affecting state financial expenditures and revenues. It is also responsible for the production and distribution of paycheck and deposit advices for state employees and retirees, as well as checks for statewide accounts payable.

## MANAGEMENT SERVICES

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	38	1	0	39	39	39	39	39

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	3,835,015	3,907,871	3,322,992	3,257,359	3,210,713	3,479,048	3,403,372	3,305,375
Other Expenses	932,124	856,000	945,425	838,684	820,173	951,514	857,567	820,173
<u>Capital Outlay</u>								
Equipment	0	1	6,500	1	1	0	1	1
<u>Pmts to Other Than Local Governments</u>								
Governmental Accounting Standards Bd	19,570	19,570	0	19,570	19,570	0	19,570	19,570
TOTAL-General Fund	4,786,709	4,783,442	4,274,917	4,115,614	4,050,457	4,430,562	4,280,510	4,145,119

## PAYROLL SERVICES

### Statutory Reference

Article Fourth, State Constitution; C.G.S. Sections 3-112, 3-119, 5-260, 5-261 and 5-262.

### Statement of Need and Program Objectives

To ensure that all state employees are paid, payroll tax records are maintained, and that federal and state income tax withholding and social security contributions are deposited.

### Program Description

The Payroll Services Division pays all state employees, coordinates all payroll deductions, maintains records on payroll taxes and deposits

federal and state income tax withholding and social security contributions. It pre-audits and issues state employee and deduction checks on a bi-weekly basis; submits deduction reports; maintains wage execution records, and administers direct deposit programs.

This year, the division expanded ePay to several more agencies, an initiative to transition the state to a paperless payroll system that will save significant state resources. This program will enable thousands of state employees to receive electronic pay statements, with the ultimate goal of moving virtually all state employees to the paperless system.

## PAYROLL SERVICES

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	33	2	0	35	35	35	35	35

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	2,826,302	2,899,288	2,997,644	2,924,418	2,924,418	3,155,400	3,081,719	3,081,719
Other Expenses	7,690	5,688	5,811	4,993	4,888	5,979	5,105	4,888
TOTAL-General Fund	2,833,992	2,904,976	3,003,455	2,929,411	2,929,306	3,161,379	3,086,824	3,086,607

## ACCOUNTS PAYABLE

### Statutory Reference

Article Fourth, State Constitution; C.G.S. Sections 3-112, 3-113 and 3-117.

### Statement of Need and Program Objectives

To provide, maintain, and modify an integrated central accounting system for the state's accounting function and preserve purchasing and expenditure integrity.

**Program Description**

The Accounts Payable Division manages the centralized accounts payable function for the state, maintains the 137,000 record vendor profile database that properly identifies vendors providing goods and services to the state, initiates and monitors the pay cycle process for the generation of payments in settlement of the state's obligations, conducts post-transactional examinations of encumbrances and expenditures for compliance, conducts pre-audits of procurement requests for \$1 million or more, and performs a variety of processing activities to satisfy federal or state requirements and Freedom of Information requests.

The division also processes special payments such as tax-exempt bond funds, debt service, state legal settlements, land

condemnations, human resource benefits, federal pass-throughs and state grants.

The division enforces the statutory, regulatory and accounting provisions mandated by state and federal law; facilitates the execution of statutory grant programs for payment to municipalities and/or not-for-profit organizations; generates summary and detailed reports of payments to municipalities and provides assistance to the municipalities' independent auditors in the reconciliation of such payments; and maintains financial records, including garnishments/offsets through the vendor file database within Core-CT; assists agencies in processing transactions and troubleshooting problems with such transactions in Core-CT; offers vendors online access to their financial information, and develops manuals and provides training to the agencies' business office staff.

**ACCOUNTS PAYABLE****Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	23	0	0	23	23	23	23	23

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	1,612,572	1,621,555	1,817,167	1,799,665	1,799,665	1,909,882	1,891,297	1,891,297
Other Expenses	5,404	3,938	4,024	3,548	3,477	4,141	3,628	3,477
TOTAL-General Fund	1,617,976	1,625,493	1,821,191	1,803,213	1,803,142	1,914,023	1,894,925	1,894,774

**RETIREMENT SERVICES DIVISION****Statutory References**

Article Fourth, State Constitution; C.G.S. Chapters 65, 66, 104, 113, 774, 872, 886, pension agreement.

**Statement of Need and Program Objectives**

To administer and maintain the records and accounts of the State Employees Retirement System; the Alternate Retirement Program for eligible employees of the Board of Higher Education; the State's Attorneys Retirement System; the Public Defenders Retirement System; the Judges, Family Support Magistrates and Compensation Commissioners Retirement System; Special Statutory Retirement Benefits; the Connecticut Municipal Employees Retirement System; and the Connecticut Probate Judges and Employees Retirement System.

**Program Description**

The Retirement Services Division administers state pension plans serving more than 40,000 retirees, providing a comprehensive package of services including retirement counseling and administrative support to the Connecticut State Employees Retirement Commission.

The Retirement Services Division analyzes and implements statutory, collectively bargained, and federally mandated revisions to the pension plans within its jurisdiction. It plans, researches and develops new products based on retirement conditions and trends.

The division is in the process of converting the Retirement Payroll System to Core-CT with an implementation date of March 2013. Each month over 9,800 checks and 34,800 direct deposits are issued.

**RETIREMENT DIVISION****Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	71	1	0	72	72	72	72	72

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	5,164,308	5,322,835	6,002,285	5,854,184	5,854,184	6,297,333	6,162,839	6,162,839
Other Expenses	191,816	201,733	207,580	189,423	186,334	213,544	193,688	186,334
TOTAL-General Fund	5,356,124	5,524,568	6,209,865	6,043,607	6,040,518	6,510,877	6,356,527	6,349,173

## BUDGET AND FISCAL ANALYSIS

### Statutory Reference

Article Fourth, State Constitution; C.G.S. Sections 3-112 and 3-115.

### Statement of Need and Program Objectives

To record and analyze state expenditures and receipts. To monitor spending from appropriated accounts to ensure compliance with established accounting and budgeting procedures. To work with relevant agencies to correct problems when financial reporting discrepancies are discovered.

### Program Description

The Budget and Financial Analysis Division performs the state's accounting and financial reporting functions. The division posts, analyzes and reports state expenditures and receipts by fund and account category inclusive of federal and other funding sources.

The division computes and reports direct and indirect costs associated with major state programs. At the Comptroller's direction, the division prepares a monthly analysis of the state's budget

condition that contains the financial statements for the latest month and projects the budget position to year's end.

The division publishes two of the Comptroller's annual financial reports – a budgetary base (modified cash basis of accounting) report that details and analyzes state expenditures, receipts, and capital budget activities for the fiscal year; and a Comprehensive Annual Financial Report (CAFR) prepared in accordance with Generally Accepted Accounting Principles that analyzes the state's overall fiscal position and provides audited financial statements for state and state-supported fiscal activities.

The division is also responsible for the management of the state's real and personal property for insurance and accounting purposes, as well as maintaining casualty loss records. The division administers the statewide purchasing card and fuel card programs, including auditing and compliance reviews of the daily transactions of each of the 1,850 cardholders.

## BUDGET & FISCAL ANALYSIS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	60	0	0	60	60	60	60	60

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	4,446,468	4,518,576	5,406,853	5,356,388	5,356,388	5,692,349	5,649,353	5,649,353
Other Expenses	56,791	80,709	147,897	144,319	142,866	132,155	147,568	142,866
TOTAL-General Fund	4,503,259	4,599,285	5,554,750	5,500,707	5,499,254	5,824,504	5,796,921	5,792,219
Additional Funds Available								
Private Funds	1,657	0	0	0	0	0	0	0
TOTAL - All Funds	4,504,916	4,599,285	5,554,750	5,500,707	5,499,254	5,824,504	5,796,921	5,792,219

## INFORMATION TECHNOLOGY DIVISION

### Statutory Reference

Article Fourth, State Constitution; C.G.S. Sections 3-112 and 3-119.

### Statement of Need and Program Objectives

To manage and operate the Core-CT system.

### Program Description

The Information Technology Division is an inter-agency team that supports and maintains Core-CT – the statewide financial, human resource, and payroll system. Core-CT performs the state's accounting, accounts payable, accounts receivable, purchasing, billing, project management, human resource, time and attendance,

payroll, and benefits administration functions and is used by over 10,000 state employees.

The division is responsible for the maintenance and upgrade of Core-CT, and provides analysis for the comptroller regarding strategic information technology issues impacting the state.

A major system upgrade and enhancement project began in November 2011 and is scheduled for completion in March 2013. The project consists of upgrading to the latest versions of the human resources and financial applications, implementing additional employee self-service functionality, and implementing retirement payroll functionality.

## INFORMATION TECHNOLOGY DIVISION

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	17	0	0	17	17	17	17	17

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	1,759,644	2,297,045	1,653,425	1,634,680	1,634,680	1,742,283	1,722,363	1,722,363
Other Expenses	2,387,404	2,862,357	3,424,001	3,310,441	3,257,558	3,366,639	3,384,974	3,257,558
TOTAL-General Fund	4,147,048	5,159,402	5,077,426	4,945,121	4,892,238	5,108,922	5,107,337	4,979,921

General Government

## HEALTHCARE POLICY AND BENEFIT SERVICES DIVISION

**Statutory Reference**

Article Fourth, State Constitution; C.G.S. Sections 3-119, 5-257, 5-259, 5-259b, 5-259c, 5-264 and 5-264a.

**Statement of Need and Program Objectives**

To administer state employee and retiree health insurance and other benefits including the state's defined contribution plans.

**Program Description**

The Healthcare Policy and Benefit Services Division administers benefits programs for all state employees, retirees, and their families. The largest programs are the medical, pharmacy, and dental benefit programs covering over 200,000 lives. The division is responsible for the contract procurement, administration, and evaluation of these programs.

The division provides administrative support to the Health Care Cost Containment Committee (HCCCC), and offers substantive updates on such matters as the patient-centered medical home initiative,

eligibility for and enrollment in the state employee and retiree health plan, rates and utilization issues.

The division implemented a new statewide Health Enhancement Program (HEP) that covers more than 100,000 state employees, new retirees and their dependents. HEP is designed to encourage preventive care and better maintain chronic conditions – with the ultimate goal of reducing more costly and dangerous emergency care.

The Healthcare Policy and Benefit Services Division also began implementing the CT Partnership Plan, a new program that opens the State of Connecticut Employee health benefits plan to non-state public employers. The division is responsible for administering the State of Connecticut defined contribution plans with over 40,000 participants, including oversight of investments which are currently in excess of \$3.5 billion.

Group life insurance, unemployment insurance and supplemental benefits are also responsibilities of the division.

## HEALTHCARE POLICY AND BENEFITS DIVISION

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	26	1	0	27	27	27	27	27

**Financial Summary****(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	2,035,885	2,123,805	2,270,588	2,227,999	2,224,617	2,396,393	2,357,710	2,350,605
Other Expenses	12,966	7,621	7,699	6,806	6,662	7,806	6,959	6,662
TOTAL-General Fund	2,048,851	2,131,426	2,278,287	2,234,805	2,231,279	2,404,199	2,364,669	2,357,267
<b>Additional Funds Available</b>								
Private Funds	69,975	0	0	0	0	0	0	0
TOTAL - All Funds	2,118,826	2,131,426	2,278,287	2,234,805	2,231,279	2,404,199	2,364,669	2,357,267

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

**Current Expenses by Minor Object**

	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<b>Personal Services</b>						
Permanent Fulltime Positions	20,760,715	21,464,233	22,231,743	22,190,565	23,407,822	23,311,571
Other Positions	178,749	357,043	362,111	213,000	367,416	225,780
Other	505,566	585,199	592,600	351,100	612,950	361,200
Overtime	235,164	284,500	284,500	250,000	284,500	265,000
TOTAL-Personal Services Gross	21,680,194	22,690,975	23,470,954	23,004,665	24,672,688	24,163,551
Less Reimbursements						
Less Turnover	0	0	-225,000	-120,000	-225,000	-120,000
TOTAL-Personal Services Net	21,680,194	22,690,975	23,245,954	22,884,665	24,447,688	24,043,551
<b>Other Expenses-Contractual Services</b>						
Dues and Subscriptions	9,026	9,781	9,994	8,693	10,284	8,693
Rentals, Storage and Leasing	33,533	33,424	35,661	29,706	36,697	29,706
Telecommunication Services	63,186	61,164	61,469	54,360	63,252	54,360
General Repairs	91,452	102,819	104,854	91,381	107,607	91,381
Motor Vehicle Expenses	10,946	10,944	11,181	9,727	11,505	9,727
Fees for Outside Professional Services	130,297	166,509	240,116	222,988	227,108	222,988
Fees for Non-Professional Services	64,076	57,985	57,883	51,536	59,798	51,536
DP Services, Rentals and Maintenance	2,474,332	2,966,685	3,417,992	3,326,589	3,353,935	3,326,589

Postage	512,674	460,402	468,143	405,144	481,719	405,144
Travel	3,454	3,000	3,000	2,666	3,000	2,666
Other Contractual Services	24,248	23,050	23,551	20,486	24,235	20,486
Printing & Binding	11,739	4,820	4,859	4,284	4,913	4,284
<u>Other Expenses-Commodities</u>						
Books	1,200	2,000	2,000	1,778	2,000	1,778
Maintenance and Motor Vehicle Supplies	4,256	5,475	5,823	4,867	5,987	4,867
Office Supplies	154,780	105,571	140,911	133,827	134,738	133,827
Refunds of Expenditures Not Otherwise Classified	152	0	0	0	0	0
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	200	0	155,000	50,000	155,000	50,000
TOTAL-Other Expenses Gross	3,594,195	4,018,046	4,742,437	4,421,958	4,681,778	4,421,958
Less Reimbursements						
TOTAL-Other Expenses Net	3,594,195	4,018,046	4,742,437	4,421,958	4,681,778	4,421,958
<u>Pmts to Other Than Local Govts</u>						
Governmental Accounting Standards Bd	19,570	19,570	0	19,570	0	19,570
TOTAL-Pmts to Other Than Local Govts	19,570	19,570	0	19,570	0	19,570
<u>Nonfunctional - Change to Accruals</u>	0	0	0	203,623	0	148,923

<b>Character &amp; Major Object Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services Net	21,680,194	22,690,975	23,245,954	22,934,693	22,884,665	24,447,688	24,148,653	24,043,551
Other Expenses Net	3,594,195	4,018,046	4,742,437	4,498,214	4,421,958	4,681,778	4,599,489	4,421,958
Capital Outlay	0	1	6,500	1	1	0	1	1
Payments to Other Than Local Governments	19,570	19,570	0	19,570	19,570	0	19,570	19,570
Nonfunctional - Change to Accruals	0	0	0	210,382	203,623	0	94,897	148,923
TOTAL-General Fund Net	25,293,959	26,728,592	27,994,891	27,662,860	27,529,817	29,129,466	28,862,610	28,634,003
<u>Additional Funds Available</u>								
Private Funds	71,632	0	0	0	0	0	0	0
TOTAL-All Funds Net	25,365,591	26,728,592	27,994,891	27,662,860	27,529,817	29,129,466	28,862,610	28,634,003



# DEPARTMENT OF REVENUE SERVICES

## AGENCY DESCRIPTION

The Department of Revenue Services (DRS) is statutorily responsible for administering and enforcing state tax laws and collecting state tax revenues while safeguarding and protecting Connecticut taxpayer rights, privacy and property. The agency is responsible for ensuring taxpayer compliance with the tax laws, and when necessary, initiating actions to collect unpaid taxes and applying enforcement measures. DRS is responsible for exercising its authority fairly and impartially for both the state and the taxpayer.

The agency is organized into four areas designed to accomplish its major business objectives.

Operations consists of two functions: operations and information services. This program accounts for all tax documents and payments and serves the data processing needs of the agency.

Audit administers audit compliance and administrative programs for Connecticut taxes.

Collection and Enforcement assures that all tax, penalty and interest due the state are paid.

Management Services consists of the department's executive office, the agency's administrative and support services, taxpayer services, appellate and legal functions. It provides technical, legal, litigation, taxpayer assistance, legislative support and records management needs to the entire department and the general public.

## AGENCY PROGRAM INDEX

Operations	51	Collections & Enforcement	53
Information Systems	52	Management Services	54
Audit	52		

## RECOMMENDED SIGNIFICANT CHANGES

	<b><u>FY 2014</u></b>	<b><u>FY 2015</u></b>	
<b><i>Reductions to Current Services</i></b>			
• Remove or Limit Inflation	-178,303	-421,436	
• Remove Funding for Salary Increases for Appointed Officials	-18,048	-37,917	
• Annualize FY 2013 Rescissions	-264,227	-269,399	
• Realize Cost Savings by Mandating Electronic Filing for Business Tax Returns <i>Postage, printing and data entry costs will be reduced through this initiative.</i>	-500,000	-500,000	
• Reduce Funding for Information Services Division Overtime	-15,000	-15,000	
<b><i>Reallocations or Transfers</i></b>			
• Centralize Affirmative Action Planning Function in CHRO <i>Funding for one position is transferred to reflect the centralization of affirmative action planning under CHRO.</i>	-65,225	-67,149	
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-8,472	-8,472	
<b><i>New or Expanded Services</i></b>	<b><u>FY 2014</u></b>	<b><u>FY 2015</u></b>	<b><u>FY 2016</u></b>
• Provide Funding to Implement a Tax Amnesty Program <i>Provides funding for advertising consultants, media advertisements, temporary workers and system upgrades necessary to implement and administer a tax amnesty program.</i>	1,830,000	0	0
<b><i>Technical Adjustments</i></b>			
• Revise GAAP Accrual Amounts	-987	-20,759	

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	638	32	0	670	670	664	670	664
General Fund								
<b>Agency Programs by Total Funds</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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>
Operations	15,205,513	15,090,080	15,561,627	15,412,617	16,441,071	16,258,237	16,079,174	14,963,502
Information Systems	5,984,007	5,872,329	6,228,204	6,228,204	6,228,204	6,546,814	6,546,814	6,546,814
Audit	25,147,181	24,659,285	25,743,336	25,665,462	25,599,883	26,936,269	26,846,309	26,820,270
Collections & Enforcement	6,620,946	6,394,153	6,832,404	6,832,404	6,832,404	7,128,883	7,128,883	7,128,883
Management Services	12,008,350	11,649,188	13,058,131	12,909,120	12,726,970	13,612,964	13,433,900	13,256,239
TOTAL Agency Programs - All Funds Gross	64,965,997	63,665,035	67,423,702	67,047,807	67,828,532	70,483,167	70,035,080	68,715,708
Less Turnover	0	0	-305,000	-470,567	-470,567	-251,000	-470,567	-470,567
Nonfunctional - Change to Accruals	0	0	0	324,800	323,813	0	347,010	326,251
TOTAL Agency Programs - All Funds Net	64,965,997	63,665,035	67,118,702	66,902,040	67,681,778	70,232,167	69,911,523	68,571,392
<b>Summary of Funding</b>								
General Fund Net	64,965,997	63,665,035	67,118,702	66,902,040	67,681,778	70,232,167	69,911,523	68,571,392
TOTAL Agency Programs - All Funds Net	64,965,997	63,665,035	67,118,702	66,902,040	67,681,778	70,232,167	69,911,523	68,571,392

## OPERATIONS

### Statutory Reference

C.G.S. Title 12.

### Statement of Need and Program Objectives

To process and deposit state tax revenues in a timely manner and to administer and maintain the agency's information services system.

### Program Description

This program is made up of two subprograms that support the program's objectives: the Operations Division and the Information Services Division.

## OPERATIONS DIVISION

### Statutory Reference

C.G.S. Title 12.

### Statement of Need and Program Objectives

To carry out the agency's core functions of registration, returns processing, taxpayer accounting and revenue accounting

### Program Description

Annually, more than \$15.7 billion from more than 40 different tax sources are deposited on the day of receipt. The processing of 4.3 million tax returns involves the following key activities: processing all

state tax returns and corresponding documents; registering taxpayers and issuing tax registration numbers, permits, licenses, cigarette stamps and both motor carrier and International Fuel Tax Agreement decals; processing tax payments and ensuring the timely deposit of state tax revenue; maintaining the internal accounting of all state tax revenue; reviewing the accuracy of tax returns entered into the agency's integrated tax administration system; the timely issuance of bills and refunds; oversight of the agency's electronic filing and payment programs.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Tax Returns processed/yr (000)	4,300	4,325	4,350	4,375
Permits/Decals issued (000)	32	32	32	32
Refund Processed	1,139,000	1,150,000	1,200,000	1,200,000
Payments on billings	161,781	162,000	162,000	162,000
Amount of payments on billings (\$000)	705,480	710,000	710,000	710,000
Tax return errors resolved with filing cycle (%)	95	95	95	95
Tax refunds issue without interest expense (%)	99.2	99.2	99.2	99.2
New Registrants	31,729	32,000	30,000	30,000
Returns filed electronically (included in total returns processed) (000)	2,700	2,750	2,750	2,750
Taxpayer customer service inquiries (000)	3,978	4,734	5,633	6,711
Inquiries resolved on self service basis (%)	89.72	90.47	91.24	91.89
Permits Renewed	19,334	20,000	20,000	20,000

Budget-in-Detail

**OPERATIONS**

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
<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	149	0	0	149	149	147	149	147
<b>Financial Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	12,016,125	11,843,247	12,244,348	12,095,337	12,103,412	12,844,769	12,665,705	12,474,846
Other Expenses	3,189,388	3,246,832	3,317,279	3,317,279	4,337,658	3,413,468	3,413,468	2,488,655
<u>Capital Outlay</u>								
Equipment	0	1	0	1	1	0	1	1
TOTAL-General Fund	15,205,513	15,090,080	15,561,627	15,412,617	16,441,071	16,258,237	16,079,174	14,963,502

**INFORMATION SERVICES DIVISION**

**Statutory Reference**

C.G.S. Title 12.

**Statement of Need and Program Objectives**

To effectively support the department through the use of technology. To further develop and maintain all agency information systems and supporting technology.

**Program Description**

All divisions of the agency depend on the Information Services Division for: information systems design, development and implementation; network data communications; technological support for data processing, office automation, internal email, computer security, data security, personal computing support; technological training; equipment evaluation, technology resource acquisition and maintenance; and the storage and retrieval of electronic records.

**INFORMATION SYSTEMS**

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
<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	52	6	0	58	58	58	58	58
<b>Financial Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	4,674,333	4,539,068	4,866,930	4,866,930	4,866,930	5,147,292	5,147,292	5,147,292
Other Expenses	1,309,674	1,333,261	1,361,274	1,361,274	1,361,274	1,399,522	1,399,522	1,399,522
TOTAL-General Fund	5,984,007	5,872,329	6,228,204	6,228,204	6,228,204	6,546,814	6,546,814	6,546,814

**AUDIT**

**Statutory Reference**

C.G.S. Title 12 and Chapters 216, 217 and 218.

**Statement of Need and Program Objectives**

To determine the accuracy of tax reporting through comprehensive field and office audits of targeted accounts in order to collect tax revenue due and induce compliance among the entire taxpayer population.

**Program Description**

The Audit Division is organized to administer audit programs for approximately 40 state taxes. The division performs the following functions:

Performs audits of Connecticut and out-of-state based taxpayers to determine the extent of their tax obligations to the state for a variety of tax types. The division operates six field audit units and five office units to conduct more than 45,000 audits annually resulting in more than \$500 million in assessments.

Directs agency, interagency and interstate compliance programs that include liaison and reciprocal agreements with the federal government, other state governments, other Connecticut agencies and private organizations.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Audit assessments (\$000)	450,000	450,000	450,000	450,000
Audits conducted (#)	43,312	40,000	40,000	40,000
Total audit refunds (#)	1,196	1,000	1,000	1,000
Total audit refund approved amount (\$000)	35,444	35,000	35,000	35,000
Average assessments per Audit (\$)	11,109	11,250	11,250	11,250

**AUDIT**

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	248	14	0	262	262	261	262	261
<b>Financial Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	23,550,810	22,911,317	23,954,122	23,879,617	23,821,154	25,098,257	25,008,725	24,992,743
Other Expenses	1,618,904	1,649,282	1,685,065	1,685,065	1,685,065	1,733,923	1,733,923	1,733,923
<u>Other Current Expenses</u>								
Collection and Litigation Contingency	-22,533	98,686	104,149	100,780	93,664	104,089	103,661	93,604
TOTAL-General Fund	25,147,181	24,659,285	25,743,336	25,665,462	25,599,883	26,936,269	26,846,309	26,820,270

**COLLECTION AND ENFORCEMENT****Statutory Reference**

C.G.S. Title 12.

**Statement of Need and Program Objectives**

To ensure the collection of overdue state taxes and enforce compliance by those who do not voluntarily pay taxes through an efficient, comprehensive and highly visible collection and enforcement program.

**Program Description**

Through a progression of specific collection, compliance and enforcement procedures, 73 employees collect more than \$186 million in overdue revenue.

The office collection agents conduct the first level of the collection process. The agents are primarily responsible for initiating telephone contact to resolve overdue accounts prior to referring cases to the

next level. Upon identification, chronic debtors or high-risk cases are immediately referred for enforcement action.

Each year approximately 11,000 overdue accounts are referred for enforcement action. This would include collection of tax warrants, permit suspension hearings, imposition of security bonds and filing of tax liens and bankruptcy proofs of claims. In addition, enforcement efforts include on-site investigations of citizen complaints pertaining to tax violations; and follow-up of leads gained through audit examinations, and from various third parties.

The final level in this process involves criminal matters. Criminal investigations are referred to enforcement agents in the Special Investigation Section. Their activities may lead to arrests in cases involving operating without valid permits, refund and ID theft, refusal to file/pay trust-fund taxes, filing of fraudulent returns, and smuggling of contraband fuel, cigarettes, tobacco products and alcohol.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
SIS - Criminal Investigations Opened	519	520	500	500
SIS- Arrests	240	240	220	220
Tax Warrants	14,167	14,200	14,200	14,200
Past due tax revenue collected (\$000) (see note 1)	126,333	133,000	133,000	133,000

**COLLECTIONS & ENFORCEMENT**

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	70	3	0	73	73	73	73	73
<b>Financial Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	6,330,871	6,099,698	6,531,514	6,531,514	6,531,514	6,819,229	6,819,229	6,819,229
Other Expenses	289,786	294,155	300,540	300,540	300,540	309,254	309,254	309,254
<u>Other Current Expenses</u>								
Collection and Litigation Contingency	289	300	350	350	350	400	400	400
TOTAL-General Fund	6,620,946	6,394,153	6,832,404	6,832,404	6,832,404	7,128,883	7,128,883	7,128,883

## MANAGEMENT SERVICE

**Statutory Reference**

C.G.S. Title 12.

**Statement of Need and Program Objectives**

To set department policy and direction; to allocate, manage and monitor programs and resources; to provide support services and legal and research assistance within the department and to legislators, the Governor's office and the public.

**Program Description**

The *Executive Office* sets departmental policy and direction, oversees legislative activities and legislatively mandated programs, and determines communications policy. The office includes the agency's affirmative action program, internal audit, data security and business planning services.

The *Legal Division* serves as in-house legal counsel to the department. The division is responsible for drafting regulations and legislation, issuing rulings to taxpayers and tax practitioners, on all Connecticut taxes, issuing legal opinions to the commissioner and other department officials on the proper interpretation of Connecticut tax statutes, reviewing issues of tax policy and representing the commissioner in all succession tax litigation.

The *Taxpayer Services Division* promotes voluntary taxpayer compliance through public information, taxpayer education and assistance activities. Assistance activities include responding to taxpayer inquiries concerning bills, refunds, registration issues and general tax issues received by telephone, letter, in person and by e-mail. The division maintains and updates the department's Internet site and the taxpayer answer center.

The *Research Unit* analyzes, prepares and disseminates the statistics generated by the department, including preparation of the annual report and statistical overview of the income tax. In addition, the unit administers the neighborhood assistance act tax credit program.

The *Appellate Division* receives, acknowledges and reviews all taxpayer protests (after final billing) of audit assessments and of corporate officer and successor liability impositions. It also reviews taxpayer protests of proposed disallowances of claims for refund. This division conducts hearings of appeals and is the final administrative adjudicator of the issues presented. It works closely with taxpayers, their legal and accounting representatives, as well as other divisions of the department.

The *Administrative Services* staff is responsible for budget development, reporting and monitoring. The Personnel and Payroll units administer the rules, regulations, contracts and directives concerning state employment and recruits staffing for the agency. The Records Unit is responsible for administering and maintaining the department's paper and electronic documents.

The *Litigation Division* represents the department in litigated tax appeals before the Tax Session of the Connecticut Superior Court. The Litigation Division is responsible for all aspects of these litigated tax appeals, including conducting discovery, filing and responding to pleadings, drafting and submitting pre and post trial memoranda of law and conducting all legal research related thereto, preparation of witnesses, conducting trials and drafting settlement agreements and closing documents.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Appeals Hearings	874	925	950	975
Taxpayer Appeals - received/resolved	1215/1351	1300/1350	1350/1375	1375/1400
Appellate Gross Assessments resolved/yr (\$000)	251,290	115,000	125,000	125,000
Percentage of Appellate cases resolved (no litigation required)	97%	97%	97%	97%

**MANAGEMENT SERVICES****Personnel Summary**

<i>Permanent Full-Time Positions</i>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	119	9	0	128	128	125	128	125

**Financial Summary**

<b>(Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	10,406,972	10,019,174	11,332,587	11,183,576	11,001,426	11,839,227	11,660,163	11,482,502
Other Expenses	1,601,109	1,629,744	1,725,264	1,725,264	1,725,264	1,773,447	1,773,447	1,773,447
<i>Other Current Expenses</i>								
Collection and Litigation Contingency	269	270	280	280	280	290	290	290
TOTAL-General Fund	12,008,350	11,649,188	13,058,131	12,909,120	12,726,970	13,612,964	13,433,900	13,256,239

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<b><u>Personal Services</u></b>						
Permanent Fulltime Positions	53,353,423	52,578,934	55,885,260	54,723,722	58,618,466	57,326,321
Other Positions	1,596,541	1,440,527	1,475,415	1,609,513	1,512,042	1,487,199
Other	1,733,975	1,088,415	1,193,823	1,686,573	1,243,263	1,798,464
Overtime	295,172	304,628	375,003	304,628	375,003	304,628
TOTAL-Personal Services Gross	56,979,111	55,412,504	58,929,501	58,324,436	61,748,774	60,916,612
Less Reimbursements						
Less Turnover	0	0	-305,000	-470,567	-251,000	-470,567
TOTAL-Personal Services Net	56,979,111	55,412,504	58,624,501	57,853,869	61,497,774	60,446,045
<b><u>Other Expenses-Contractual Services</u></b>						
Dues and Subscriptions	169,291	172,340	176,081	172,340	181,188	172,340
Rentals, Storage and Leasing	272,036	276,935	282,944	276,935	291,150	276,935
Telecommunication Services	544,863	554,676	566,714	554,676	583,149	554,676
General Repairs	181,589	186,145	190,185	186,145	195,701	186,145
Motor Vehicle Expenses	179,110	181,296	185,230	181,296	190,602	181,296
Fees for Outside Professional Services	878,413	894,234	913,639	894,234	940,134	894,234
Fees for Non-Professional Services	53,596	54,562	55,979	54,562	57,602	54,562
DP Services, Rentals and Maintenance	3,608,549	3,673,540	3,813,254	5,278,540	3,922,098	3,573,540
Postage	815,563	830,252	848,268	581,779	872,868	581,779
Travel	535,228	544,868	556,691	544,868	572,836	544,868
Other Contractual Services	72,184	73,484	75,079	73,484	77,254	73,484
Printing & Binding	275,998	280,968	287,065	180,968	295,390	180,968
<b><u>Other Expenses-Commodities</u></b>						
Books	2,847	2,898	2,962	2,898	3,047	2,898
Maintenance and Motor Vehicle Supplies	4,358	4,436	4,532	4,436	4,663	4,436
Medical Supplies	455	463	483	463	504	463
Office Supplies	366,523	373,050	381,145	373,050	392,198	373,050
Refunds of Expenditures Not Otherwise Classified	1,816	1,849	1,889	1,849	1,944	1,849
<b><u>Other Expenses-Sundry</u></b>						
Employee Fringe Benefits	222	226	230	226	234	226
Sundry - Other Items	46,220	47,052	47,052	47,052	47,052	47,052
TOTAL-Other Expenses Gross	8,008,861	8,153,274	8,389,422	9,409,801	8,629,614	7,704,801
Less Reimbursements						
TOTAL-Other Expenses Net	8,008,861	8,153,274	8,389,422	9,409,801	8,629,614	7,704,801
<b><u>Other Current Expenses</u></b>						
Collection and Litigation Contingency	-21,975	99,256	104,779	94,294	104,779	94,294
TOTAL-Other Current Expenses	-21,975	99,256	104,779	94,294	104,779	94,294
<b><u>Nonfunctional - Change to Accruals</u></b>						
	0	0	0	323,813	0	326,251

<b>Character &amp; Major Object Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	56,979,111	55,412,504	58,624,501	58,086,407	57,853,869	61,497,774	60,830,547	60,446,045
Other Expenses Net	8,008,861	8,153,274	8,389,422	8,389,422	9,409,801	8,629,614	8,629,614	7,704,801
Capital Outlay	0	1	0	1	1	0	1	1
Other Current Expenses	-21,975	99,256	104,779	101,410	94,294	104,779	104,351	94,294
Nonfunctional - Change to Accruals	0	0	0	324,800	323,813	0	347,010	326,251
TOTAL-General Fund Net	64,965,997	63,665,035	67,118,702	66,902,040	67,681,778	70,232,167	69,911,523	68,571,392

# OFFICE OF GOVERNMENTAL ACCOUNTABILITY

## AGENCY DESCRIPTION

The Office of Governmental Accountability is a newly created agency formed by consolidating those agencies and programs whose primary mission is to foster honesty, integrity, and accountability within state government.

The consolidated agencies include: the State Elections Enforcement Commission, the Office of State Ethics, the Freedom of Information

Commission, the Judicial Review Council, Contracting Standards Board, Judicial Selection Commission, Office of the Victim Advocate, Board of Firearms Permit Examiners, the Office of the Child Advocate, and the newly established Office of the Executive Administrator.

***The Council on Environmental Quality is recommended for consolidation with the Office of Governmental Accountability in the Governor's budget as part of his proposal to restructure and transform state government.***

## AGENCY PROGRAM INDEX

OGA Central Administration	57	Judicial Selection	60
Elections Enforcement Commission	57	Office of the Child Advocate	60
Ethics Commission	58	Office of the Victim Advocate	61
Freedom of Information Commission	59	Board of Firearms Permit Examiners	62
Judicial Review	59		

## RECOMMENDED SIGNIFICANT CHANGES

	<b><u>FY 2014</u></b>	<b><u>FY 2015</u></b>	
<b><i>Reductions to Current Services</i></b>			
• Remove or Limit Inflation	-1,506	-6,367	
• Annualize FY 2013 Rescissions	-41,956	-41,956	
• Remove Funding for Salary Increases for Appointed Officials	-27,437	-57,641	
• Eliminate Funding for Vacancies	-186,794	-198,170	
<i>Reflects savings for two vacant positions.</i>			
<b><i>Reallocations or Transfers</i></b>			
• Consolidate Council on Environmental Quality into the Office of Governmental Accountability	106,013	108,969	
<i>One position is transferred to the Office of Governmental Accountability to support the Council on Environmental Quality.</i>			
• Streamline Agency Account Structure	0	0	
<i>Transfer funding for the divisions of the Office of Governmental Accountability into Personal Services and Other Expenses except for the accounts specific to the State Elections Enforcement Commission (SEEC), Office of State Ethics (OSE), and Freedom of Information Commission (FOIC). The two SEEC accounts are consolidated into a single account.</i>			
• Create the Office of Hearings	0	0	
<i>Transfer staff from the divisions of the Office of Governmental Accountability to create an Office of Hearings.</i>			
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-3,349	-3,349	
<b><i>New or Expanded Services</i></b>			
• Provide Funding for Additional IT Staff for the State Ethics Commission	42,908	60,694	60,694
<i>One position is added to assist with lobbyist registration and training programs.</i>			
<b><i>Technical Adjustments</i></b>			
• Revise GAAP Accrual Amounts	-53,924	-13,420	

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	83	3	0	86	91	88	91	88
General Fund								
<b>Agency Programs by Total Funds</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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>
OGA Central Administration	874,882	1,132,960	1,266,719	1,135,309	3,899,385	1,288,744	1,134,730	4,056,023
Elections Enforcement Commission	3,006,149	3,135,269	3,262,709	3,262,709	1,816,327	3,548,476	3,548,476	2,018,720
Ethics Commission	1,282,290	1,326,888	1,521,158	1,414,130	750,338	1,706,822	1,500,779	798,424
Freedom of Information Commission	1,525,150	1,712,235	1,706,725	1,706,725	981,540	1,766,808	1,766,808	999,407
Judicial Review	103,295	144,952	139,328	139,328	137,328	149,788	143,981	140,863
Judicial Selection	81,937	90,620	92,580	92,580	87,730	97,231	95,246	89,956
Office of the Child Advocate	670,528	662,475	649,021	632,521	605,056	688,132	663,160	626,002
Office of the Victim Advocate	317,692	315,235	347,756	325,400	319,045	373,145	343,765	330,172
Board of Firearms Permit Examiners	82,758	81,086	84,783	83,598	83,430	87,644	86,033	85,591
TOTAL Agency Programs - All Funds Gross	7,944,681	8,601,720	9,070,779	8,792,300	8,680,179	9,706,790	9,282,978	9,145,158
Nonfunctional - Change to Accruals	0	0	0	53,924	0	0	54,795	41,375
TOTAL Agency Programs - All Funds Net	7,944,681	8,601,720	9,070,779	8,846,224	8,680,179	9,706,790	9,337,773	9,186,533
<b>Summary of Funding</b>								
General Fund Net	7,944,681	8,601,720	9,070,779	8,846,224	8,680,179	9,706,790	9,337,773	9,186,533
TOTAL Agency Programs - All Funds Net	7,944,681	8,601,720	9,070,779	8,846,224	8,680,179	9,706,790	9,337,773	9,186,533

## OGA CENTRAL ADMINISTRATION

### Statutory Reference

C.G.S. Section 1-300.

### Statement of Need and Program Objectives

To provide personnel, payroll, affirmative action, administrative and business office functions and information technology to the agency divisions and programs so they may serve their constituents effectively.

### Program Description

Responsible for budget development and administration, fiscal support, human resource management, accounting, procurement, payroll, inventory, computer/IT assistance, telecommunications, and affirmative action planning.

## OGA CENTRAL ADMINISTRATION

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	10	0	0	10	12	40	12	40
General Fund								
<b>Financial Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	816,034	832,767	1,007,195	875,884	3,623,673	1,079,909	925,994	3,831,000
Other Expenses	33,202	275,288	259,424	259,424	275,711	208,735	208,735	225,022
<b>Capital Outlay</b>								
Equipment	25,646	24,905	100	1	1	100	1	1
TOTAL-General Fund	874,882	1,132,960	1,266,719	1,135,309	3,899,385	1,288,744	1,134,730	4,056,023

## ELECTIONS ENFORCEMENT COMMISSION

### Statutory Reference

C.G.S. Section 9-7a, 9-7b, 9-7c and Chapters 155 through 157.

### Statement of Need and Program Objectives

To improve public confidence in our electoral process and in the officials who seek or hold a public office by monitoring compliance with and swift enforcement of the election laws.

### Program Description

The commission conducts investigations and complaints concerning violations of state election laws. Civil enforcement sanctions, including monetary fines, may be imposed directly by the commission against violators of these laws.

The commission monitors compliance with campaign financing laws by auditing disclosure reports and disseminating information and

Budget-in-Detail

advice to candidates, political action committees (PACs) and political parties.

The commission is also responsible for the administration of the Citizens' Election Fund, which provides public grants to qualified candidates for statewide office and the General Assembly, and for the compliance of all contribution and expenditure limitations.

The staff prepares and distributes campaign guides for compliance with election financing laws. In addition, they conduct seminars for candidates; campaign treasurers; business, professional and labor organizations; other political action groups and party officials. They render formal and informal advisory opinions and rulings upon request and recommends revisions of election laws to the General Assembly.

**ELECTIONS ENFORCEMENT COMMISSION**

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	34	2	0	36	36	19	36	19

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
<i>Other Current Expenses</i>								
Citizens' Election Fund Admin	1,766,462	2,128,549	1,759,186	1,759,186	0*	1,956,136	1,956,136	0*
Elections Enforcement Commission	1,239,687	1,006,720	1,503,523	1,503,523	0*	1,592,340	1,592,340	0*
ELECTIONS ENFORCEMENT ADMINISTRATION	0	0	0	0	1,816,327	0	0	2,018,720
TOTAL-General Fund	3,006,149	3,135,269	3,262,709	3,262,709	1,816,327	3,548,476	3,548,476	2,018,720

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**ETHICS COMMISSION**

**Statutory Reference**

C.G.S. Chapter 10, Part I and Part II, limited jurisdiction over Part IV.

**Statement of Need and Program Objectives**

The Office of State Ethics (OSE) promotes integrity in government by providing advice, guidance and education to public officials, state employees and lobbyists; by interpreting and fairly and impartially enforcing the applicable laws; by administering the lobbyist and financial disclosure filing systems; and by providing the public with access to non-exempt information.

**Program Description**

The statutory responsibilities of the OSE are broken down into four main categories: education, interpretation, enforcement and disclosure. The OSE is charged with providing education to state employees, public officials, lobbyists and legislators on the codes of ethics. The Citizen's Ethics Advisory Board is responsible for adjudicating cases brought under the ethics codes and making findings of violations as well as issuing Advisory Opinions – interpretations of the codes as they apply to specific situations.

Program Measure	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Board Advisory Opinions	11	15	18	18
LEGAL ADVISE				
Staff communication (phone, email, written)	14,000	14,500	14,500	14,500
ENFORCEMENT				
Evaluations & Investigations	128	140	160	160
Matters Resolved	85	100	110	110
Penalties Collected	\$30,550	\$50,000	\$55,000	\$55,000
EDUCATION				
In-person trainings	35	50	65	65
On-Line and web-streaming training visits	3,500	4,000	4,750	4,750
FILINGS			0	0
Statement of Financial Interest filed	2,341	2,400	2,400	2,400
% of on-line SFI Filers	89%	92%	96%	96%
Lobbyists Registered	1,755	1,800	1,800	1,800

**ETHICS COMMISSION****Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	13	0	0	13	14	8	14	8

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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>Other Current Expenses</i>								
Judge Trial Referee Fees	0	0	25,000	0	0	25,000	0	0
Reserve for Attorney Fees	0	0	16,000	0	0	16,000	0	0
Information Technology Initiatives	17,498	33,250	100,000	33,972	0*	200,000	34,957	0*
Office of State Ethics	1,264,792	1,293,638	1,380,158	1,380,158	750,338	1,465,822	1,465,822	798,424
TOTAL-General Fund	1,282,290	1,326,888	1,521,158	1,414,130	750,338	1,706,822	1,500,779	798,424

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**FREEDOM OF INFORMATION COMMISSION****Statutory Reference**

C.G.S. Section 1-200 *et seq.*

**Statement of Need and Program Objectives**

To ensure that the people of Connecticut have access to the non-exempt records and meetings of all state, local and regional public agencies and to ensure that all public agencies fully comply with the state's Freedom of Information Act.

**PROGRAM DESCRIPTION**

To hear and decide citizen complaints and requests for declaratory rulings. The objective of this activity is to resolve cases fairly, quickly

and inexpensively. To this end, the commission attempts to resolve as many cases as possible without formal hearings by use of ombudsmen and its statutory powers to terminate meritless cases.

To inform and educate public officials and the public of their duties and rights under the Freedom of Information Act. It has established a popular interactive website [www.ct.gov/foi](http://www.ct.gov/foi), on which its decisions can be researched and downloaded.

To represent the commission, through staff counsel, in all court appeals and other litigation affecting the commission.

**FREEDOM OF INFORMATION COMMISSION****Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	14	1	0	15	16	9	16	9

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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>Other Current Expenses</i>								
Freedom of Information Commission	1,525,150	1,712,235	1,706,725	1,706,725	981,540	1,766,808	1,766,808	999,407
TOTAL-General Fund	1,525,150	1,712,235	1,706,725	1,706,725	981,540	1,766,808	1,766,808	999,407

**JUDICIAL REVIEW****Statutory Reference**

C.G.S. Section 51-51k.

**Statement of Need and Program Objectives**

To investigate complaints of judicial misconduct made against state judges, family support magistrates and workers' compensation commissioners.

**PROGRAM DESCRIPTION**

The purpose of this agency is to help enforce high standards of judicial conduct on and off the bench in order to preserve the integrity of the court system and promote public confidence in the courts. It is recognized that judges, family support magistrates and worker's compensation commissioners must be free to exercise their discretion without fear of disciplinary proceedings. However, they also must be held accountable for misconduct.

Budget-in-Detail

JUDICIAL REVIEW

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	1	1	1

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	0	0	0	0	100,778	0	0	104,313
Other Expenses	0	0	0	0	36,550	0	0	36,550
<u>Other Current Expenses</u>								
Judicial Review Council	103,295	144,952	139,328	139,328	0*	149,788	143,981	0*
TOTAL-General Fund	103,295	144,952	139,328	139,328	137,328	149,788	143,981	140,863

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

JUDICIAL SELECTION

**Statutory Reference**

C.G.S. Section 51-44a.

**Statement of Need and Program Objectives**

To evaluate, investigate and recommend qualified candidates for consideration by the Governor for nomination as judges for the Superior Court, the Appellate Court and the Supreme Court.

**PROGRAM DESCRIPTION**

The Judicial Selection Commission consists of twelve members. The commission develops a listing of qualified candidates by investigating and interviewing the candidates, including incumbent judges seeking appointment to a different court.

JUDICIAL SELECTION

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	1	1	1

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	0	0	0	0	77,355	0	0	79,581
Other Expenses	0	0	0	0	10,375	0	0	10,375
<u>Other Current Expenses</u>								
Judicial Selection Commission	81,937	90,620	92,580	92,580	0*	97,231	95,246	0*
TOTAL-General Fund	81,937	90,620	92,580	92,580	87,730	97,231	95,246	89,956

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

OFFICE OF THE CHILD ADVOCATE

**Statutory Reference**

C.G.S. Sections 46a-13k through 46a-13q.

**Statement of Need and Program Objectives**

To secure and ensure the legal, civil and special rights of children who reside in this state.

**Program Description**

The Office of the Child Advocate (OCA) evaluates the delivery of services by state agencies and entities that provide services to children through state funding; 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 any agency or department; recommends changes in policies and procedures concerning children including changes in the system of providing juvenile justice, child care, foster care and treatment; 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 these children; takes any and all possible action, including but not limited to, conducting programs of public education, undertaking legislative advocacy and making proposals for systemic reform and formal legal action in order to secure and ensure the legal, civil and special rights of children who reside in this state; provide training and technical

assistance to attorneys representing children and guardians ad litem appointed by the Superior Court; serves or designates a person to serve as a member of the child fatality review panel; take

appropriate steps to advise the public of the services of the OCA, the purpose of the office and procedures to contact the office.

#### OFFICE OF THE CHILD ADVOCATE

##### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	6	0	0	6	6	6	6	6

##### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	0	0	0	0	574,154	0	0	595,100
Other Expenses	0	0	0	0	30,902	0	0	30,902
<i>Other Current Expenses</i>								
Child Fatality Review Board	93,976	95,010	95,682	95,682	0*	101,255	101,255	0*
Office of the Child Advocate	576,552	567,465	553,339	536,839	0*	586,877	561,905	0*
TOTAL-General Fund	670,528	662,475	649,021	632,521	605,056	688,132	663,160	626,002

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

#### OFFICE OF THE VICTIM ADVOCATE

##### Statutory Reference

C.S.S. Sections 46a-13b, et seq.

##### Statement of Need and Program Objectives

To provide 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.

#### OFFICE OF THE VICTIM ADVOCATE

##### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	3	0	0	3	4	3	4	3

##### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	0	0	0	0	297,748	0	0	308,875
Other Expenses	0	0	0	0	21,297	0	0	21,297
<i>Other Current Expenses</i>								
Office of Victim Advocate	317,692	315,235	347,756	325,400	0*	373,145	343,765	0*
TOTAL-General Fund	317,692	315,235	347,756	325,400	319,045	373,145	343,765	330,172

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

## BOARD OF FIREARMS PERMIT EXAMINERS

### Statutory Reference

C.G.S. Section 29-32b, C.G. S. Section 28-28 C. G.S. Section 29-36f.

### Statement of Need and Program Objectives

To provide a means of appeal for any person aggrieved by any refusal to issue or renew a pistol permit or certificate.

### Program Description

The Board of Firearms Permit Examiners functions as a civilian review board, acting on appeals from denials or revocations of pistol permits by local police or first selectmen and the Connecticut State

Police. The board is composed of representatives from Ye CT Gun Guild, Inc. and CT State Rifle and Revolver Association, Inc., two public members, a representative of the Commissioner of the Department of Emergency Services and Public Protection, a representative from the Department of Energy and Environmental Protection, and a representative of Connecticut State Association of Chiefs of Police. At least one member must be an attorney admitted to practice in the State of Connecticut who serves as chairman and presides at hearings. The members are uncompensated volunteers. The board adjudicates appeals through civil administrative hearings.

## BOARD OF FIREARMS PERMIT EXAMINERS

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	1	0	0	1	1	1	1	1

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	0	0	0	0	74,133	0	0	76,294
Other Expenses	0	0	0	0	9,297	0	0	9,297
<u>Other Current Expenses</u>								
Board of Firearms Permit Examiners	82,758	81,086	84,783	83,598	0*	87,644	86,033	0*
TOTAL-General Fund	82,758	81,086	84,783	83,598	83,430	87,644	86,033	85,591

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

### Current Expenses by Minor Object

	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	812,263	792,933	958,228	4,489,160	1,026,409	4,741,408
Other Positions	0	18,357	27,367	48,000	31,500	48,000
Other	3,090	21,477	21,600	210,681	22,000	205,755
Overtime	681	0	0	0	0	0
TOTAL-Personal Services Gross	816,034	832,767	1,007,195	4,747,841	1,079,909	4,995,163
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	816,034	832,767	1,007,195	4,747,841	1,079,909	4,995,163

### Other Expenses-Contractual Services

Dues and Subscriptions	0	525	1,000	6,360	1,264	7,362
Rentals, Storage and Leasing	9,408	95,500	98,500	109,543	100,750	105,409
Telecommunication Services	0	25,500	17,700	37,646	19,140	38,545
General Repairs	0	12,500	10,000	9,705	10,409	9,470
Motor Vehicle Expenses	0	0	0	236	0	264
Fees for Outside Professional Services	320	2,660	0	12,014	0	14,744
Fees for Non-Professional Services	410	11,948	11,500	34,326	11,832	35,832
DP Services, Rentals and Maintenance	950	37,500	72,000	74,254	24,583	25,160
Postage	29	1,500	2,000	13,192	2,500	14,832
Travel	-186	2,000	2,500	14,559	3,000	16,197
Other Contractual Services	220	1,825	0	141	0	176
Advertising and Marketing	2,314	3,500	2,500	4,476	2,572	4,729

Printing & Binding	0	1,500	1,500	3,015	1,543	3,119
<u>Other Expenses-Commodities</u>						
Office Supplies	19,472	71,633	25,224	41,437	25,997	41,896
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	265	2,197	0	471	0	660
Sundry - Other Items	0	5,000	15,000	22,757	5,145	15,048
TOTAL-Other Expenses Gross	33,202	275,288	259,424	384,132	208,735	333,443
Less Reimbursements						
TOTAL-Other Expenses Net	33,202	275,288	259,424	384,132	208,735	333,443
<u>Other Current Expenses</u>						
Child Fatality Review Board	93,976	95,010	95,682	0*	101,255	0*
Judge Trial Referee Fees	0	0	25,000	0	25,000	0
Reserve for Attorney Fees	0	0	16,000	0	16,000	0
Information Technology Initiatives	17,498	33,250	100,000	0*	200,000	0*
Citizens' Election Fund Admin	1,766,462	2,128,549	1,759,186	0*	1,956,136	0*
Elections Enforcement Commission	1,239,687	1,006,720	1,503,523	0*	1,592,340	0*
Office of State Ethics	1,264,792	1,293,638	1,380,158	750,338	1,465,822	798,424
Freedom of Information Commission	1,525,150	1,712,235	1,706,725	981,540	1,766,808	999,407
Judicial Review Council	103,295	144,952	139,328	0*	149,788	0*
Judicial Selection Commission	81,937	90,620	92,580	0*	97,231	0*
Office of the Child Advocate	576,552	567,465	553,339	0*	586,877	0*
Office of Victim Advocate	317,692	315,235	347,756	0*	373,145	0*
Board of Firearms Permit Examiners	82,758	81,086	84,783	0*	87,644	0*
ELECTIONS ENFORCEMENT ADMINISTRATION	0	0	0	1,816,327	0	2,018,720
TOTAL-Other Current Expenses	7,069,799	7,468,760	7,804,060	3,548,205	8,418,046	3,816,551
<u>Nonfunctional - Change to Accruals</u>	0	0	0	0	0	41,375

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

<b>Character &amp; Major Object Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	816,034	832,767	1,007,195	875,884	4,747,841	1,079,909	925,994	4,995,163
Other Expenses Net	33,202	275,288	259,424	259,424	384,132	208,735	208,735	333,443
Capital Outlay	25,646	24,905	100	1	1	100	1	1
Other Current Expenses	7,069,799	7,468,760	7,804,060	7,656,991	3,548,205	8,418,046	8,148,248	3,816,551
Nonfunctional - Change to Accruals	0	0	0	53,924	0	0	54,795	41,375
TOTAL-General Fund Net	7,944,681	8,601,720	9,070,779	8,846,224	8,680,179	9,706,790	9,337,773	9,186,533

# OFFICE OF POLICY AND MANAGEMENT

## AGENCY DESCRIPTION

The Office of Policy and Management (OPM) serves as a staff agency reporting directly to the Governor, providing the information and analysis required to formulate public policy for the state and assisting state agencies and municipalities in implementing policy decisions on the Governor's behalf.

The objectives of OPM are to: provide the staff functions of budget, management, planning, intergovernmental relations and employee relations through a single agency; encourage the integration of planning, budgeting and program analysis; provide necessary staff support to the Governor on policy analysis, development and implementation; and seek long-term improvements in the management of state agencies.

OPM is headed by a secretary and a deputy secretary who advise the Governor with the assistance of division heads for Budget and Financial Management, Criminal Justice Policy and Planning, Finance, Intergovernmental Policy, Employee Relations, and Policy Development and Planning.

OPM performs various fiscal functions to monitor, implement and report on the state's budget throughout the fiscal year. OPM prepares the Governor's biennial budget, including the state's capital budget, for submission to the legislature in odd-numbered years. OPM prepares the Governor's budget adjustments for the second half of the biennium that are submitted in even-numbered years.

Areas in which OPM is facilitating interagency coordination include urban policy (with particular focus on distressed municipalities), prison overcrowding and reentry strategies, crime prevention and youth development, land use and physical resources, water resources conservation, human capital development to match Connecticut's workers and their skills to available jobs, job creation and economic development, housing, health care access, and the purchase of human services.

OPM also performs grants management, intergovernmental reviews, and provides technical assistance to municipalities.

## AGENCY PROGRAM INDEX

Office of the Secretary and Administrative Support	65	Intergovernmental Policy	68
Policy Development, Coordination & Implementation	66		

## RECOMMENDED SIGNIFICANT CHANGES

### Reductions to Current Services

	<u>FY 2014</u>	<u>FY 2015</u>
• Remove or Limit Inflation	-120,563	-282,067
• Extend Cap on Statutory Formula Grants	-73,220,093	-73,220,093
• Annualize FY 2013 Rescissions	-846,874	-846,874
• Annualize the FY 2013 Deficit Mitigation Plan	-708,000	-708,000

*Funding for the following programs is reduced: Revenue Maximization and Innovation Challenge Grant Program.*

• Reduce Pequot Grant Funding	-56,429,907	-56,429,907
<i>Reduce appropriated funding for the Pequot Grant which is offset by an increase in funding for the Local Capital Improvement Program.</i>		
• Reduce Funding for Vacancies	-1,718,610	-1,889,938
• Eliminate Funding for Programs	-1,236,376	-1,236,376

*Eliminate funding for Innovation Challenge Grant Program, Revenue Maximization, Focus Deterrence and Main Street Investment Fund Administration programs and General Fund funding for Regional Planning Agencies grants. The Regional Planning grants will be paid from the Regional Performance Incentive Account.*

• Realize Savings from the Consolidation of Human Resources Functions Within the Office of Policy and Management	-292,587	-301,365
<i>By restructuring and streamlining the statewide human resources function and revising how the state conducts recruitment and examinations, efficiencies are anticipated that will result in savings to the state.</i>		

• Remove Funding for Salary Increases for Appointed Officials	-69,735	-146,506
---	---------	----------

### Reallocations or Transfers

• Transfer State Owned PILOT Funding to Education Cost Sharing Grant	-73,641,646	-73,641,646
• Transfer the Renters' Rebate Program to the Department of Housing	-26,888,781	-28,703,774
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-3,790	-3,790
• Streamline Agency Account Structure	0	0

*Reallocate funding from the Automated Budget System and Cash Management accounts to Other Expenses.*

• Transfer Labor Agreement Accounts from the Department of Administrative Services to the Office of Policy and Management	807,000	807,000		
• Transfer Statewide Human Resources from the Department of Administrative Services to the Office of Policy and Management	3,368,815	3,478,544		
<b><i>New or Expanded Services</i></b>			<b><u>FY 2014</u></b>	<b><u>FY 2015</u></b>
• Provide Funding for Municipal Aid Adjustments <i>This grant will minimize any town-by-town impact resulting from changes to other components of municipal aid.</i>	47,221,132	31,559,234		0
• Appropriate Funding for a Position Previously Paid from Private Funds	0	50,000		50,000
<b><i>Technical Adjustments</i></b>				
• Revise GAAP Accrual Amounts	24,550	2,321		

## AGENCY PROGRAMS

<b><i>Personnel Summary</i></b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
<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	108	39	0	147	147	160	147	160
Insurance Fund	1	0	1	2	2	2	2	2
Federal and Other Activities	1	0	0	1	1	1	1	1
<i>Other Positions Equated to Full Time</i>			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund			2	2	2	2	2	2
Insurance Fund			1	1	1	1	1	1
<b><i>Agency Programs by Total Funds (Net of Reimbursements)</i></b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Office of the Secretary and Administrative Support	9,776,195	3,080,709	5,958,531	5,923,160	3,641,344	6,284,587	6,249,882	3,796,738
Policy Development, Coordination and Implementation	23,803,178	35,686,765	23,154,254	23,004,395	24,746,459	17,247,507	17,101,506	18,764,394
Intergovernmental Policy	344,148,388	409,728,281	484,121,559	484,111,242	300,270,979	490,522,611	490,515,617	284,790,315
TOTAL Agency Programs - All Funds Gross	377,727,761	448,495,755	513,234,344	513,038,797	328,658,782	514,054,705	513,867,005	307,351,447
Less Turnover	0	0	-2,485,928	-204,113	-204,113	-2,667,365	-214,221	-214,221
Nonfunctional - Change to Accruals	0	0	0	155,937	180,487	0	2,361	4,682
TOTAL Agency Programs - All Funds Net	377,727,761	448,495,755	510,748,416	512,990,621	328,635,156	511,387,340	513,655,145	307,141,908
<b><i>Summary of Funding</i></b>								
General Fund Net	263,264,094	263,426,545	265,133,579	267,422,345	213,316,891	266,259,736	268,571,180	196,655,648
Mashantucket Pequot and Mohegan Fund Net	61,678,907	61,779,907	135,000,000	135,000,000	5,350,000	135,000,000	135,000,000	5,350,000
Insurance Fund Net	340,939	353,588	394,993	398,292	398,281	411,586	413,947	466,242
Federal and Other Activities	13,984,101	21,452,612	9,063,914	9,063,914	9,063,914	4,063,948	4,063,948	4,063,948
Private Funds	38,459,720	101,483,103	101,155,930	101,106,070	100,506,070	105,652,070	105,606,070	100,606,070
TOTAL Agency Programs - All Funds Net	377,727,761	448,495,755	510,748,416	512,990,621	328,635,156	511,387,340	513,655,145	307,141,908

## OFFICE OF THE SECRETARY AND ADMINISTRATIVE SUPPORT

### ***Statutory Reference***

C.G.S. Section 4-65a.

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

To assist and advise the Governor on policy and financial issues. To advocate for the Governor's policies and to coordinate their implementation. To attain OPM's objectives by directing and coordinating its programs and providing operational support services.

### ***Program Description***

The Secretary, unique as chief financial and policy advisor to the Governor, is responsible for policy development and the overall financial management of state government. This responsibility includes protecting the long-term and short-term interests of the state.

The *Office of the Secretary*, with analytic support from the agency's divisions, advises the Governor on all matters related to fiscal policy; policy initiatives, particularly those initiatives that cross agency lines; state agency management issues, including agency strategic business planning; the reorganization of state government; labor relations; federal issues, in conjunction with the Governor's Washington office; impact of federal and state policies on local governments; financial management policies and practices in all state agencies; and legislative matters.

The Secretary and Deputy Secretary advocate the Governor's policies with legislators, state agencies, private service providers, the general public, legislative task forces, and the boards and commissions to which the Secretary is named a member.

This office directs the development and implementation of the state's biennial operating and capital budgets as well as budget adjustments for the second half of the biennium.

## Budget-in-Detail

In order to improve the quality of state agency management and control, the Office of the Secretary makes strategic and operational decisions that are consistent with the Governor's policies and programs. When state agency management issues arise, the Secretary may direct the analysis of those issues and work with agency heads on implementation of any recommendations.

The office establishes the priorities for the planning and analysis, coordination, and implementation efforts of OPM's divisions of Budget and Financial Management, Criminal Justice Policy and Planning, Finance, Intergovernmental Policy, Labor Relations, and

Policy Development and Planning. The office provides guidance and support to the divisions to assist them in attaining their goals.

The *Division of Administration* delivers diversified services which provide OPM employees with the tools, environment, information, and support necessary to accomplish OPM's mission; and articulates and implements the vision and policies of the Secretary of OPM and directs the administrative management of the agency. The Division of Administration provides support services in the areas of accounting and audit, business operations, human resources, and information and telecommunication systems.

### OFFICE OF THE SECRETARY AND ADMINISTRATIVE SUPPORT

#### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	26	36	0	62	62	42	62	42
Other Positions Equated to Full Time			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
General Fund			Actual	Estimated	Requested	Recommended	Requested	Recommended
			1	1	1	1	1	1

#### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	2,731,295	2,816,809	5,689,414	5,654,042	3,372,226	6,007,848	5,973,142	3,519,998
Other Expenses	151,646	257,405	263,047	263,047	263,047	270,669	270,669	270,669
<u>Capital Outlay</u>								
Equipment	0	1	0	1	1	0	1	1
<u>Other Current Expenses</u>								
Litigation Settlement Costs	787,429	0	0	0	0	0	0	0
<u>Pmts to Local Governments</u>								
Capital City Economic Development	6,100,000	0	0	0	0	0	0	0
TOTAL-General Fund	9,770,370	3,074,215	5,952,461	5,917,090	3,635,274	6,278,517	6,243,812	3,790,668
<u>Additional Funds Available</u>								
Private Funds	5,825	6,494	6,070	6,070	6,070	6,070	6,070	6,070
TOTAL - All Funds	9,776,195	3,080,709	5,958,531	5,923,160	3,641,344	6,284,587	6,249,882	3,796,738

## POLICY DEVELOPMENT, COORDINATION AND IMPLEMENTATION

### Statutory Reference

C.G.S. Sections 4-65a and 5-200.

### Statement of Need and Program Objectives

To assist the Governor, Secretary and state agencies in making policy decisions and in effectively deploying current and future financial and other resources by planning, formulating, coordinating, implementing and evaluating programs and policies that address state needs.

### Program Description

Five divisions of OPM participate in a comprehensive program of resource allocation, planning, policy analysis, management improvement, financial management improvement, and program evaluation that assists the Governor and the Secretary in formulating and implementing strategies, priorities and programs.

The *Budget and Financial Management Division* develops and implements the state's fiscal and program policies through the formulation of the Governor's operating and capital budget proposals and the execution of the budget as enacted by the General Assembly and signed by the Governor. The division also provides ongoing comprehensive analyses, evaluation and recommendations to the Governor and the Secretary regarding the financial and

programmatic implications of public policies; and manages and coordinates the implementation of these financial and programmatic policies among state agencies.

The *Criminal Justice Policy and Planning Division* promotes a more effective and cohesive criminal justice system by ensuring the efficient use of resources through research, policy development, and interagency coordination. The division also manages state and federal assistance programs such as juvenile justice and positive youth development grants to schools, state and non-profit agencies.

The *Office of Finance* evaluates, makes recommendations and works to improve the administrative and financial management practices and effectiveness of the state and its agencies. The office also establishes policies and strategic direction related to the state's information technology systems; and develops the State Capital and Facility Plan and takes other actions to ensure the efficient use of state-owned or leased property.

The *Division of Employee Relations* is formed with the consolidation of the Office of Labor Relations, Statewide Human Resources and Strategic Services.

The division is responsible for timely and effective labor relations and collective bargaining services on behalf of the state employer for state employees in the executive branch, other than the constituent

units of Higher Education, the State Board of Education, and the Division of Criminal Justice; advises and consults with state agencies regarding labor relations and other employee relations matters; represents the state during the contract and statutory grievance process, contract negotiation, midterm bargaining and interest arbitration for executive branch state employee bargaining units; represents the state in employee related whistleblower complaints and other legal matters; and represents the state in coalition negotiations on statewide issues such as pension and health care benefits.

The Division of Employee Relations also designs and manages human resources systems for state agencies; provides quality control and auditing of personnel transactions; develops and administers

employment examinations for all classified competitive job titles in the state; provides comprehensive services in the areas of organizational design, classification, staffing, objective job evaluation, and compensation and the administration of human resources laws and regulations. The staff also contributes leadership, staffing, and subject matter expertise to the Human Resource Management Systems (HRMS) modules of Core-CT.

The *Policy Development and Planning Division* researches, analyzes, and develops coordinated policies in a broad array of areas such as health and human services, housing, and long term care financing. The division coordinates implementation of programs and policies across state agencies with the goal of improving the effectiveness of state services.

**POLICY DEVELOPMENT, COORDINATION & IMPLEMENTATION**

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	62	3	0	65	65	98	65	98
Insurance Fund	1	0	1	2	2	2	2	2
Federal and Other Activities	1	0	0	1	1	1	1	1
			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
<i>Other Positions Equated to Full Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			1	1	1	1	1	1
Insurance Fund			1	1	1	1	1	1

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
<b>(Net of Reimbursements)</b>								
Personal Services	6,412,918	6,736,203	7,003,059	6,903,060	9,869,553	7,314,908	7,214,907	10,205,580
Other Expenses	457,199	1,706,878	1,749,964	1,749,964	1,677,349	1,804,580	1,804,580	1,664,902
<u>Other Current Expenses</u>								
Tuition Reimburs Training, Travel	0	0	0	0	382,000	0	0	382,000
Labor - Management Fund	0	0	0	0	75,000	0	0	75,000
Quality of Work-Life	0	0	0	0	350,000	0	0	350,000
Automated Budget Sys & Database Lnk	6,544	52,322	53,457	53,457	0*	55,008	55,008	0*
Cash Management Improvement Act	0	95	97	97	0*	100	100	0*
Justice Assistance Grants	868,067	1,131,353	1,155,903	1,155,903	1,076,943	1,189,425	1,189,425	1,078,704
Innovation Challenge Grant Program	0	500,000	510,850	510,850	0	525,665	525,665	0
Crim Jus/CT Imp. Driving Rcds Info Sys	709,682	0	0	0	0	0	0	0
Revenue Maximization	237,500	787,500	804,589	804,589	0	827,922	827,922	0
Criminal Justice Information System	343,425	2,089,605	1,856,718	1,856,718	1,856,718	482,700	482,700	482,700
<u>Pmts to Local Governments</u>								
Focus Deterrence	0	500,000	510,850	510,850	0	525,665	525,665	0
TOTAL-General Fund	9,035,335	13,503,956	13,645,487	13,545,488	15,287,563	12,725,973	12,625,972	14,238,886
Personal Services	218,532	208,927	232,048	232,048	232,048	241,800	241,800	291,800
Other Expenses	500	500	511	511	500	526	526	500
<u>Other Current Expenses</u>								
Fringe Benefits	121,907	144,161	162,434	162,434	162,434	169,260	169,260	169,260
TOTAL-Insurance Fund	340,939	353,588	394,993	394,993	394,982	411,586	411,586	461,560
<u>Additional Funds Available</u>								
Private Funds	442,803	376,609	49,860	0	0	46,000	0	0
<b>Federal Contributions</b>								
16017 Sexual Assault Services Program	181,548	87,001	126,000	126,000	126,000	0	0	0
16523 Juvenile Accountability Incentive Bkck	327,784	685,516	496,588	496,588	496,588	438,904	438,904	438,904
16540 Juv Just & Delinquency Prev Alloc Stat	535,338	572,479	595,000	595,000	595,000	450,000	450,000	450,000
16548 Title V Delinquency Prevention Program	25,118	72,077	31,236	31,236	31,236	40,000	40,000	40,000
16554 National Criminal History Improvement Pgm	1,196,599	4,046,247	0	0	0	0	0	0
16588 Violence Against Women Formula Grants	1,472,062	2,175,385	1,457,090	1,457,090	1,457,090	598,305	598,305	598,305

Budget-in-Detail

16590 Encourage Arrest Policies & Protection Orders	2,524	56,000	845,670	845,670	845,670	0	0	0
16593 Res Subs Abuse Trtmt State Prisoners	45,375	140,000	282,872	282,872	282,872	126,409	126,409	126,409
16727 Enforcing Underage Drinking Laws Pgm	393,983	375,171	0	0	0	0	0	0
16734 Spec Data Collections & Statistic Studies	65,000	69,563	0	0	0	0	0	0
16738 E Byrne Memorial Justice Assistance Grant	2,761,355	3,418,552	5,229,458	5,229,458	5,229,458	2,410,330	2,410,330	2,410,330
16803 American Recovery/Reinvestment Act of 2009 (JAG)	1,296,836	1,380,464	0	0	0	0	0	0
16813 NICS Act Record Improvement Program	853,753	4,046,247	0	0	0	0	0	0
59037 Small Business Development Center	806,203	0	0	0	0	0	0	0
84186 Safe & Drug-Free Schools & Communities	139,100	0	0	0	0	0	0	0
93525 Grants to Support Establishment of ACA's Exchanges	3,881,523	4,327,910	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>23,803,178</b>	<b>35,686,765</b>	<b>23,154,254</b>	<b>23,004,395</b>	<b>24,746,459</b>	<b>17,247,507</b>	<b>17,101,506</b>	<b>18,764,394</b>

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**INTERGOVERNMENTAL POLICY**

**Statutory Reference**

C.G.S. Section 4-65a.

**Statement of Need and Program Objectives**

To promote sound financial management practices and accurate financial reporting by municipalities and those non-profit entities receiving state financial assistance; initiate and support state policy development with regard to municipalities and regional planning organizations; administer state tax relief programs and formula grant programs that benefit municipalities, companies and individuals; certify assessors and revaluation companies and their personnel; and collect, analyze, and publish municipal data.

**Program Description**

The *Intergovernmental Policy Division* assists in formulating state policy pertaining to the relationship between the state and

Connecticut's municipalities and regional planning organizations, and maintains ongoing relationships with municipal officials and regional stakeholders; administers and manages municipal and regional grants and local property tax relief programs; measures the property tax wealth of municipalities used in the distribution of certain state grants; monitors the financial conditions of the state's municipalities through review and analysis of audit reports and budget data to determine those encountering significant financial problems and provides technical assistance to such communities; develops and updates the Conservation and Development Policies Plan for Connecticut; develops and recommends policies relating to state, regional and municipal stakeholders; and coordinates state agency efforts under the Connecticut Environmental Policy Act (CEPA).

**INTERGOVERNMENTAL POLICY**

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	20	0	0	20	20	20	20	20

**Financial Summary**

**(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	1,639,740	1,711,128	1,701,027	1,690,710	1,690,710	1,774,113	1,767,119	1,767,119
Other Expenses	108,774	162,865	166,402	166,402	166,402	171,227	171,227	171,227
<u>Other Current Expenses</u>								
Main Street Investment Fund Administration	0	75,000	76,628	76,628	0	78,850	78,850	0
<u>Pmts to Other Than Local Governments</u>								
Tax Relief for Elderly Renters	23,595,835	25,260,000	26,888,781	26,888,781	0	28,703,774	28,703,774	0
Regional Planning Agencies	200,000	500,000	204,340	204,340	0	210,266	210,266	0

Pmts to Local Governments

Loss of Taxes on State Property	73,519,215	73,641,646	73,641,646	73,641,646	0	73,641,646	73,641,646	0
Loss Taxes Private Tax-Exempt Property	115,431,737	115,431,737	115,431,737	115,431,737	115,431,737	115,431,737	115,431,737	115,431,737
Reimb Property Tax-Disability Exempt	388,584	400,000	400,000	400,000	400,000	400,000	400,000	400,000
Distressed Municipalities	5,800,000	5,800,000	5,800,000	5,800,000	5,800,000	5,800,000	5,800,000	5,800,000
Prop Tax Relief Elder-Circuit Breaker	20,505,900	20,505,900	20,505,900	20,505,900	20,505,900	20,505,900	20,505,900	20,505,900
Prop Tax Relief Elderly Freeze Program	298,506	390,000	235,000	235,000	235,000	235,000	235,000	235,000
Property Tax Relief for Veterans	2,970,098	2,970,098	2,970,098	2,970,098	2,970,098	2,970,098	2,970,098	2,970,098
Municipal Aid Adjustment	0	0	0	0	47,221,132	0	0	31,559,234
TOTAL-General Fund	244,458,389	246,848,374	248,021,559	248,011,242	194,420,979	249,922,611	249,915,617	178,840,315
Grants to Towns	61,678,907	61,779,907	135,000,000	135,000,000	5,350,000	135,000,000	135,000,000	5,350,000
TOTAL-Mashantucket Pequot and Mohegan Fund	61,678,907	61,779,907	135,000,000	135,000,000	5,350,000	135,000,000	135,000,000	5,350,000
<u>Additional Funds Available</u>								
Private Funds	38,011,092	101,100,000	101,100,000	101,100,000	100,500,000	105,600,000	105,600,000	100,600,000
TOTAL - All Funds	344,148,388	409,728,281	484,121,559	484,111,242	300,270,979	490,522,611	490,515,617	284,790,315

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	10,080,319	10,635,963	13,698,993	14,283,671	14,395,334	14,832,862
Other Positions	135,059	251,330	260,510	260,510	268,744	268,744
Other	525,904	331,494	341,723	341,723	342,597	342,597
Overtime	42,671	45,353	46,585	46,585	48,494	48,494
TOTAL-Personal Services Gross	10,783,953	11,264,140	14,347,811	14,932,489	15,055,169	15,492,697
Less Reimbursements						
Less Turnover	0	0	-2,485,928	-204,113	-2,667,365	-214,221
TOTAL-Personal Services Net	10,783,953	11,264,140	11,861,883	14,728,376	12,387,804	15,278,476
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	37,435	42,045	42,957	42,045	44,202	42,045
Rentals, Storage and Leasing	39,271	41,750	42,656	41,750	43,894	41,750
Telecommunication Services	30,929	30,570	31,234	30,570	32,142	30,570
General Repairs	20,750	52,125	53,256	52,125	54,800	52,125
Motor Vehicle Expenses	5,388	7,900	8,071	7,900	8,305	7,900
Fees for Outside Professional Services	265,392	1,359,358	1,394,907	1,359,358	1,439,235	1,359,358
Fees for Non-Professional Services	70,664	173,725	177,496	173,725	182,642	173,725
DP Services, Rentals and Maintenance	54,745	72,535	74,109	72,535	76,259	72,535
Postage	13,032	18,690	19,097	18,690	19,650	18,690
Travel	7,949	6,000	6,131	6,000	6,309	6,000
Other Contractual Services	9,460	70,150	71,672	70,150	73,750	70,150
Advertising and Marketing	7,240	2,500	2,554	2,500	2,628	2,500
Printing & Binding	14,462	31,180	31,856	31,180	32,780	31,180
<u>Other Expenses-Commodities</u>						
Books	604	400	409	400	421	400
Maintenance and Motor Vehicle Supplies	772	1,000	1,075	1,000	1,106	1,000
Medical Supplies	120	210	219	210	228	210
Office Supplies	29,356	70,300	71,826	70,300	73,910	70,300
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	-387	1,710	1,741	1,710	1,772	1,710
Sundry - Other Items	110,437	145,000	148,147	124,650	152,443	124,650
TOTAL-Other Expenses Gross	717,619	2,127,148	2,179,413	2,106,798	2,246,476	2,106,798
Less Reimbursements						
TOTAL-Other Expenses Net	717,619	2,127,148	2,179,413	2,106,798	2,246,476	2,106,798

Budget-in-Detail

Other Current Expenses

Tuition Reimburs Training, Travel	0	0	0	382,000	0	382,000
Labor - Management Fund	0	0	0	75,000	0	75,000
Litigation Settlement Costs	787,429	0	0	0	0	0
Quality of Work-Life	0	0	0	350,000	0	350,000
Automated Budget Sys & Database Lnk	6,544	52,322	53,457	0*	55,008	0*
Cash Management Improvement Act	0	95	97	0*	100	0*
Justice Assistance Grants	868,067	1,131,353	1,155,903	1,076,943	1,189,425	1,078,704
Innovation Challenge Grant Program	0	500,000	510,850	0	525,665	0
Crim Jus/CT Imp. Driving Rcds Info Sys	709,682	0	0	0	0	0
Revenue Maximization	237,500	787,500	804,589	0	827,922	0
Criminal Justice Information System	343,425	2,089,605	1,856,718	1,856,718	482,700	482,700
Main Street Investment Fund Administration	0	75,000	76,628	0	78,850	0
<b>TOTAL-Other Current Expenses</b>	<b>2,952,647</b>	<b>4,635,875</b>	<b>4,458,242</b>	<b>3,740,661</b>	<b>3,159,670</b>	<b>2,368,404</b>

Pmts to Other Than Local Govts

Tax Relief for Elderly Renters	23,595,835	25,260,000	26,888,781	0	28,703,774	0
Regional Planning Agencies	200,000	500,000	204,340	0	210,266	0
<b>TOTAL-Pmts to Other Than Local Govts</b>	<b>23,795,835</b>	<b>25,760,000</b>	<b>27,093,121</b>	<b>0</b>	<b>28,914,040</b>	<b>0</b>

Pmts to Local Governments

Loss of Taxes on State Property	73,519,215	73,641,646	73,641,646	0	73,641,646	0
Loss Taxes Private Tax-Exempt Property	115,431,737	115,431,737	115,431,737	115,431,737	115,431,737	115,431,737
Reimb Property Tax-Disability Exempt	388,584	400,000	400,000	400,000	400,000	400,000
Distressed Municipalities	5,800,000	5,800,000	5,800,000	5,800,000	5,800,000	5,800,000
Prop Tax Relief Elder-Circuit Breaker	20,505,900	20,505,900	20,505,900	20,505,900	20,505,900	20,505,900
Prop Tax Relief Elderly Freeze Program	298,506	390,000	235,000	235,000	235,000	235,000
Property Tax Relief for Veterans	2,970,098	2,970,098	2,970,098	2,970,098	2,970,098	2,970,098
Capital City Economic Development	6,100,000	0	0	0	0	0
Focus Deterrence	0	500,000	510,850	0	525,665	0
Municipal Aid Adjustment	0	0	0	47,221,132	0	31,559,234
<b>TOTAL-Pmts to Local Governments</b>	<b>225,014,040</b>	<b>219,639,381</b>	<b>219,495,231</b>	<b>192,563,867</b>	<b>219,510,046</b>	<b>176,901,969</b>

Nonfunctional - Change to Accruals

0	0	0	177,188	0	0
---	---	---	---------	---	---

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**AGENCY FINANCIAL SUMMARY - INSURANCE FUND**

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	142,884	136,605	225,887	221,619	235,639	231,243
Other Positions	58,909	57,767	0	0	0	50,000
Other	16,739	14,555	6,161	10,429	6,161	10,557
<b>TOTAL-Personal Services Gross</b>	<b>218,532</b>	<b>208,927</b>	<b>232,048</b>	<b>232,048</b>	<b>241,800</b>	<b>291,800</b>
Less Reimbursements						
Less Turnover						
<b>TOTAL-Personal Services Net</b>	<b>218,532</b>	<b>208,927</b>	<b>232,048</b>	<b>232,048</b>	<b>241,800</b>	<b>291,800</b>
<u>Other Expenses-Contractual Services</u>						
Travel	500	500	511	500	526	500
<b>TOTAL-Other Expenses Gross</b>	<b>500</b>	<b>500</b>	<b>511</b>	<b>500</b>	<b>526</b>	<b>500</b>
Less Reimbursements						
<b>TOTAL-Other Expenses Net</b>	<b>500</b>	<b>500</b>	<b>511</b>	<b>500</b>	<b>526</b>	<b>500</b>
<u>Other Current Expenses</u>						
Fringe Benefits	121,907	144,161	162,434	162,434	169,260	169,260
<b>TOTAL-Other Current Expenses</b>	<b>121,907</b>	<b>144,161</b>	<b>162,434</b>	<b>162,434</b>	<b>169,260</b>	<b>169,260</b>
<u>Nonfunctional - Change to Accruals</u>						
0	0	0	3,299	0	4,682	
Office of Policy and Management		70				General Government

## AGENCY FINANCIAL SUMMARY - MASHANTUCKET PEQUOT AND MOHEGAN FUND

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<i>Pmts to Local Governments</i>						
Grants to Towns	61,678,907	61,779,907	135,000,000	5,350,000	135,000,000	5,350,000
TOTAL-Pmts to Local Governments	61,678,907	61,779,907	135,000,000	5,350,000	135,000,000	5,350,000

<b>Character &amp; Major Object Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	10,783,953	11,264,140	11,907,572	14,043,699	14,728,376	12,429,504	14,740,947	15,278,476
Other Expenses Net	717,619	2,127,148	2,179,413	2,179,413	2,106,798	2,246,476	2,246,476	2,106,798
Capital Outlay	0	1	0	1	1	0	1	1
Other Current Expenses	2,952,647	4,635,875	4,458,242	4,458,242	3,740,661	3,159,670	3,159,670	2,368,404
Payments to Other Than Local Governments	23,795,835	25,760,000	27,093,121	27,093,121	0	28,914,040	28,914,040	0
Payments to Local Governments	225,014,040	219,639,381	219,495,231	219,495,231	192,563,867	219,510,046	219,510,046	176,901,969
Nonfunctional - Change to Accruals	0	0	0	152,638	177,188	0	0	0
TOTAL-General Fund Net	263,264,094	263,426,545	265,133,579	267,422,345	213,316,891	266,259,736	268,571,180	196,655,648
Personal Services Net	218,532	208,927	232,048	232,048	232,048	241,800	241,800	291,800
Other Expenses Net	500	500	511	511	500	526	526	500
Other Current Expenses	121,907	144,161	162,434	162,434	162,434	169,260	169,260	169,260
Nonfunctional - Change to Accruals	0	0	0	3,299	3,299	0	2,361	4,682
TOTAL-Insurance Fund Net	340,939	353,588	394,993	398,292	398,281	411,586	413,947	466,242
Payments to Local Governments	61,678,907	61,779,907	135,000,000	135,000,000	5,350,000	135,000,000	135,000,000	5,350,000
TOTAL-Mashantucket Pequot and Mohegan Fund Net	61,678,907	61,779,907	135,000,000	135,000,000	5,350,000	135,000,000	135,000,000	5,350,000
<i>Additional Funds Available</i>								
Federal and Other Activities	13,984,101	21,452,612	9,063,914	9,063,914	9,063,914	4,063,948	4,063,948	4,063,948
Private Funds	38,459,720	101,483,103	101,155,930	101,106,070	100,506,070	105,652,070	105,606,070	100,606,070
TOTAL-All Funds Net	377,727,761	448,495,755	510,748,416	512,990,621	328,635,156	511,387,340	513,655,145	307,141,908

# DEPARTMENT OF VETERANS' AFFAIRS

## AGENCY DESCRIPTION

The mission of the Department of Veterans' Affairs (DVA) is to serve Connecticut's veterans by advocating for veterans' interests and assisting them in obtaining entitlements and benefits through the Office of Advocacy and Assistance. In addition, the agency provides direct health, social and rehabilitative services through the Veterans'

Health Care Facility, residential facility and rehabilitative services programs. These services are provided on the campus of the Veterans' Home and Hospital in Rocky Hill.

## AGENCY PROGRAM INDEX

Office of the Commissioner	73	Residential and Rehabilitative Services	75
Office of Advocacy & Assistance	73		
Veterans' Health Care Services	74		

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation	-454,292	-729,660
• Remove Funding for Salary Increases for Appointed Officials	-18,988	-39,891
• Annualize FY 2013 Rescissions	-177,000	-177,000
• Annualize FY 2013 Deficit Mitigation Plan	-75,592	-75,592
<b>Reallocations or Transfers</b>		
• Streamline Agency Account Structure	0	0
<i>In order to consolidate funding for similar activities and provide the agency with more flexibility in executing programs, the funding for Burial Expenses and Headstones has been consolidated into the Support Services for Veterans account.</i>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-2,225	-2,225
• Transfer DVA IT to DAS BEST	-452,703	-465,235
<i>This proposal enables DAS/BEST to manage all information technology-related activities on behalf of DVA. Five positions and associated Other Expenses dollars will be transferred to DAS to support this change.</i>		
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-45,820	-1,986

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
<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	254	9	-10	253	256	248	256	248

<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Office of the Commissioner	13,501,383	14,166,188	15,097,574	14,839,625	14,204,476	15,800,349	15,494,604	14,651,373
Office of Advocacy & Assistance	988,017	954,622	1,137,902	1,221,541	1,184,050	1,163,372	1,281,458	1,238,880
Veterans' Health Care Services	13,439,074	13,003,209	13,593,691	13,437,722	12,969,546	14,233,842	14,083,515	13,521,848
Residential and Rehabilitative Services	4,040,216	1,550,999	1,566,611	1,619,816	1,579,832	1,636,826	1,693,136	1,651,009
<b>TOTAL Agency Programs - All Funds Gross</b>	<b>31,968,690</b>	<b>29,675,018</b>	<b>31,395,778</b>	<b>31,118,704</b>	<b>29,937,904</b>	<b>32,834,389</b>	<b>32,552,713</b>	<b>31,063,110</b>
Less Turnover	0	0	-100,000	-217,988	-217,988	-100,000	-231,067	-231,067
Nonfunctional - Change to Accruals	0	0	0	121,525	75,705	0	139,374	137,388
<b>TOTAL Agency Programs - All Funds Net</b>	<b>31,968,690</b>	<b>29,675,018</b>	<b>31,295,778</b>	<b>31,022,241</b>	<b>29,795,621</b>	<b>32,734,389</b>	<b>32,461,020</b>	<b>30,969,431</b>
<b>Summary of Funding</b>								
General Fund Net	28,291,892	28,030,409	29,678,078	29,404,541	28,177,921	31,086,089	30,812,720	29,321,131
Federal and Other Activities	2,001,616	44,609	0	0	0	0	0	0
Private Funds	1,675,182	1,600,000	1,617,700	1,617,700	1,617,700	1,648,300	1,648,300	1,648,300
<b>TOTAL Agency Programs - All Funds Net</b>	<b>31,968,690</b>	<b>29,675,018</b>	<b>31,295,778</b>	<b>31,022,241</b>	<b>29,795,621</b>	<b>32,734,389</b>	<b>32,461,020</b>	<b>30,969,431</b>

## OFFICE OF THE COMMISSIONER

**Statutory Reference**

C.G.S. Sections 27-102l through 27-137.

**Statement of Need and Program Objectives**

To guide the development of agency policy as well as provide administrative direction and support. To ensure compliance with laws, rules and regulations governing the operations of the department through the establishment, revision and distribution of agency policies and by reviewing the procedures used to implement those policies.

**Program Description**

The Office of the Commissioner is tasked with administrative authority for the department; outreach to veterans and community

agencies; liaisons with legislature, statutory and legislative authorities and veterans service organizations; assessment of the efficiency of programs and evaluation and development of new initiatives to better serve 280,000 Connecticut veterans and their families. The Office of the Commissioner also provides overall administrative support to all agency programs through human resource activities, fiscal/administrative services and information technology services.

In addition, the Office of the Commissioner provides comprehensive short and long-term planning services, ensures compliance with regulations and is responsible for safety compliance and security.

## OFFICE OF THE COMMISSIONER

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	126	2	-6	122	123	117	123	117

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	8,042,450	8,613,984	9,126,334	8,913,230	8,654,940	9,587,341	9,353,166	9,081,837
Other Expenses	4,297,589	3,951,553	4,355,537	4,320,182	3,972,040	4,571,659	4,515,225	3,972,040
<b>Capital Outlay</b>								
Equipment	0	1	0	1	1	0	1	1
<b>Other Current Expenses</b>								
Support Services for Veterans	179,499	189,000	198,503	189,012	517,495	204,149	189,012	517,495
<b>Pmts to Other Than Local Governments</b>								
Burial Expenses	7,200	7,200	7,200	7,200	0*	7,200	7,200	0*
Headstones	327,700	350,000	350,000	350,000	0*	350,000	350,000	0*
TOTAL-General Fund	12,854,438	13,111,738	14,037,574	13,779,625	13,144,476	14,720,349	14,414,604	13,571,373
<b>Additional Funds Available</b>								
Private Funds	646,945	1,054,450	1,060,000	1,060,000	1,060,000	1,080,000	1,080,000	1,080,000
TOTAL - All Funds	13,501,383	14,166,188	15,097,574	14,839,625	14,204,476	15,800,349	15,494,604	14,651,373

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

## OFFICE OF ADVOCACY AND ASSISTANCE

**Statutory Reference**

C.G.S. Sections 27-102l through 27-137.

**Statement of Need and Program Objectives**

To provide comprehensive assistance and formal representation to veterans, their spouses and/or eligible dependents in obtaining rights, benefits and privileges to which they may be entitled under federal, state and local laws.

**Program Description**

The Office of Advocacy and Assistance (OAA) operates five regional offices staffed with Veterans' Service Officers (VSOs) who provide advice, assistance and formal representation to the state's veterans - administering the process of obtaining comprehensive rights, benefits and privileges to which they are entitled under law. OAA VSOs have assisted thousands of veterans in preparing and presenting benefit claims to the U.S. Department of Veterans' Affairs, resulting in tens of millions in federal dollars flowing into the

state in the form of increased benefits to Connecticut veterans and their families. OAA also publishes numerous brochures including *Office of Advocacy and Assistance, State of Connecticut Veterans' Benefits and Reference Guide for Connecticut Veterans, Active Duty, National Guard and Reserves* that help explain the complex federal and state laws that govern health care and financial services for veterans and their dependents.

OAA cooperates with service organizations in disseminating information and furnishing counsel to resident veterans concerning the availability of educational training and retraining facilities; health, medical, rehabilitation and housing opportunities; and employment and reemployment services and other rights, benefits or privileges.

The Cemetery and Memorial Services unit is responsible for processing all necessary paperwork for burial in state cemeteries at Rocky Hill and Middletown for veterans and their eligible

Budget-in-Detail

dependents. Additionally, the unit pre-approves those who wish to establish eligibility for burial planning purposes.

OAA also processes the applications for, and issues, the Connecticut Veterans Wartime Service Medal and maintains the corresponding State Veterans Registry database.

**OFFICE OF ADVOCACY & ASSISTANCE**

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	16	1	-1	16	18	16	18	16

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	957,884	926,030	1,058,514	1,142,722	1,109,608	1,120,583	1,199,123	1,164,338
Other Expenses	27,000	25,592	76,158	75,631	69,537	39,429	79,047	69,537
<i>Other Current Expenses</i>								
Support Services for Veterans	1,000	1,000	1,030	988	2,705	1,060	988	2,705
TOTAL-General Fund	985,884	952,622	1,135,702	1,219,341	1,181,850	1,161,072	1,279,158	1,236,580
<i>Additional Funds Available</i>								
Private Funds	2,133	2,000	2,200	2,200	2,200	2,300	2,300	2,300
TOTAL - All Funds	988,017	954,622	1,137,902	1,221,541	1,184,050	1,163,372	1,281,458	1,238,880

**VETERANS' HEALTH CARE SERVICES**

**Statutory Reference**

C.G.S. Sections 27-102I through 27-126.

**Statement of Need and Program Objectives**

The John L. Levitow Healthcare Center provides inpatient healthcare covering an array of services, from rehabilitation to long-term nursing, dementia and end of life care. An individual plan of care is developed and continually updated throughout the veteran's stay to assist the veteran in reaching his/her maximum potential.

**Program Description**

The Veterans' healthcare program offers a progressive, caring continuum of health care and social and rehabilitative services.

The Healthcare Center is licensed by the State Department of Public Health as a Chronic Disease Hospital with 125 beds. The center opened its doors to the growing veteran community in October, 2008. Under the direction of the Healthcare Services Administrator, the medical staff and nursing department provide ongoing comprehensive medical and rehabilitation services in order to improve every aspect of care for each veteran served.

DVA offers 24 hour healthcare to veterans with chronic and disabling medical conditions. Programs include general medical care, Alzheimer's and related dementia care, end of life care, palliative care, long term care, rehabilitation, respite care, mental health and psychological counseling and a formal substance abuse rehabilitation

program. Primary care clinics are available for veterans in the healthcare facility and residents in the residential facility. In addition to medicine and nursing, specialty areas include physical, occupational, speech and recreational therapy, laboratory, radiology, pharmacy, social work, cardiopulmonary and dental.

The Special Care Unit provides a safe, structured environment for veterans with Alzheimer's disease or other related dementias.

The Respite Care Program provides intermittent care to disabled veterans in an inpatient setting for the purpose of providing relief to family members or caregivers. Veterans are eligible for 28 days of respite care per calendar year.

The End of Life and Palliative Care Program provides special medical, psychological and spiritual needs to terminally ill veterans. Pain management, special nursing visits, alternative therapies and volunteer companions are provided to comfort individuals at end of life. A wide range of support and counseling, including individual and grief counseling, spiritual counseling, resource planning and assistance with end-of-life issues are provided.

The Recovery Support Rehabilitation Program provides education, motivation and environmental support for veterans seeking recovery from substance abuse. Veterans who are committed to their recovery from drug and/or alcohol addictions receive a concentrated program of treatment, work opportunities and community service.

**VETERANS' HEALTH CARE SERVICES**

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	93	6	-3	96	96	96	96	96

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	11,526,300	11,036,621	11,569,179	11,427,218	11,096,077	12,145,947	11,991,239	11,643,379
Other Expenses	1,627,626	1,664,838	1,714,512	1,700,504	1,563,469	1,772,895	1,777,276	1,563,469
TOTAL-General Fund	13,153,926	12,701,459	13,283,691	13,127,722	12,659,546	13,918,842	13,768,515	13,206,848

Additional Funds Available

Private Funds	285,148	301,750	310,000	310,000	310,000	315,000	315,000	315,000
TOTAL - All Funds	13,439,074	13,003,209	13,593,691	13,437,722	12,969,546	14,233,842	14,083,515	13,521,848

**RESIDENTIAL AND REHABILITATIVE SERVICES****Statutory Reference**

C.G.S. Sections 27-102l through 27-126

**Statement of Need and Program Objectives**

To provide homeless and needy veterans a domiciliary level of care to facilitate rehabilitation and a return to independent living.

**Program Description**

The basic philosophy of the Residential and Rehabilitative Services (RRS) Program is to facilitate rehabilitation of all its residents. Rehabilitation includes medical care, substance abuse treatment, social work services, recreational services, educational and vocational services, job training and supportive housing. The ultimate goal is to return productive citizens capable of independent living.

The Recovery Support program provides education, group activities, motivation and environmental support for veterans seeking recovery from substance abuse.

In the Social Work Services program, each new resident is assigned a social worker. Social workers provide case management services to

residents to manage a variety of issues. They can assist residents in resolving problems with finances, family, legal matters and eventual housing needs upon discharge. They can also assist them in pursuing any disability and retirement benefits for which they may be eligible.

The Veterans Work program for residents includes the ability to participate in a compensated work program earning minimum wage, receiving vocational counseling and testing to develop realistic future career goals. The program also provides assistance in attending local colleges and training institutions to enhance marketability, develop a resume and learn interview skills that can result in job placement.

Recreational activities including bingo, table games, pool tournaments, weekly bowling leagues, softball, basketball and volleyball teams, movies and pet therapy are available on the campus. Community trips to professional ballgames, theater, fishing excursions, shopping malls and local organizations are also available and encouraged.

The Residential Facility is certified by the federal Department of Veterans' Affairs and has 488 licensed beds.

**RESIDENTIAL AND REHABILITATIVE SERVICES****Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	19	0	0	19	19	19	19	19

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	1,294,383	1,261,498	1,317,951	1,371,266	1,331,528	1,382,574	1,438,949	1,397,205
Other Expenses	3,261	3,092	3,160	3,050	2,804	3,252	3,187	2,804
TOTAL-General Fund	1,297,644	1,264,590	1,321,111	1,374,316	1,334,332	1,385,826	1,442,136	1,400,009
<u>Additional Funds Available</u>								
Private Funds	740,956	241,800	245,500	245,500	245,500	251,000	251,000	251,000
<b>Federal Contributions</b>								
64005 Grants Construction of State Home Facilities	2,001,616	44,609	0	0	0	0	0	0
TOTAL - All Funds	4,040,216	1,550,999	1,566,611	1,619,816	1,579,832	1,636,826	1,693,136	1,651,009

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	15,411,695	15,019,871	15,794,085	14,959,737	16,596,708	15,715,109
Other Positions	2,896,116	3,085,441	3,314,772	3,313,956	3,480,511	3,545,679
Other	1,757,816	2,397,912	2,557,801	2,350,960	2,683,689	2,387,933
Overtime	1,755,390	1,334,909	1,405,320	1,567,500	1,475,537	1,638,038
TOTAL-Personal Services Gross	21,821,017	21,838,133	23,071,978	22,192,153	24,236,445	23,286,759
Less Reimbursements						
Less Turnover	0	0	-100,000	-217,988	-100,000	-231,067
TOTAL-Personal Services Net	21,821,017	21,838,133	22,971,978	21,974,165	24,136,445	23,055,692

Budget-in-Detail

Other Expenses-Contractual Services

Utility Services	937,067	972,383	1,016,001	926,416	1,071,240	926,418
Rentals, Storage and Leasing	177,081	169,911	173,598	158,142	178,632	158,142
Telecommunication Services	74,129	71,553	73,106	67,294	75,226	67,294
General Repairs	337,301	210,261	214,824	196,275	221,054	196,275
Motor Vehicle Expenses	214	203	207	0	213	0
Fees for Outside Professional Services	270,615	282,276	294,144	268,056	306,351	268,056
Fees for Non-Professional Services	241,112	60,124	61,428	55,518	63,209	55,517
DP Services, Rentals and Maintenance	102,832	137,564	190,550	173,843	157,126	173,843
Postage	14,574	13,814	14,114	12,899	14,524	12,897
Travel	320	303	310	561	319	560
Other Contractual Services	442,460	442,807	452,416	412,176	465,536	412,179
Printing & Binding	11,224	10,640	10,871	10,094	11,185	10,095

Other Expenses-Commodities

Books	468	444	454	561	467	561
Clothing and Personal Supplies	5,898	15,000	15,326	14,019	15,770	14,019
Maintenance and Motor Vehicle Supplies	285,626	258,576	264,188	240,577	271,850	240,576
Medical Supplies	1,097,405	1,051,120	1,081,764	986,421	1,118,153	986,421
Fuel	892,239	853,043	1,170,659	1,067,174	1,279,320	1,067,173
Office Supplies	163,383	173,552	177,319	162,066	182,462	162,066

Other Expenses-Sundry

Employee Fringe Benefits	901,528	921,501	938,088	855,758	954,598	855,758
TOTAL-Other Expenses Gross	5,955,476	5,645,075	6,149,367	5,607,850	6,387,235	5,607,850
Less Reimbursements						
TOTAL-Other Expenses Net	5,955,476	5,645,075	6,149,367	5,607,850	6,387,235	5,607,850

Other Current Expenses

Support Services for Veterans	180,499	190,000	199,533	520,200	205,209	520,200
TOTAL-Other Current Expenses	180,499	190,000	199,533	520,200	205,209	520,200

Pmts to Other Than Local Govts

Burial Expenses	7,200	7,200	7,200	0*	7,200	0*
Headstones	327,700	350,000	350,000	0*	350,000	0*
TOTAL-Pmts to Other Than Local Govts	334,900	357,200	357,200	0	357,200	0

Nonfunctional - Change to Accruals

	0	0	0	75,705	0	137,388
--	---	---	---	--------	---	---------

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**Character & Major Object Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	21,821,017	21,838,133	22,971,978	22,636,448	21,974,165	24,136,445	23,751,410	23,055,692
Other Expenses Net	5,955,476	5,645,075	6,149,367	6,099,367	5,607,850	6,387,235	6,374,735	5,607,850
Capital Outlay	0	1	0	1	1	0	1	1
Other Current Expenses	180,499	190,000	199,533	190,000	520,200	205,209	190,000	520,200
Payments to Other Than Local Governments	334,900	357,200	357,200	357,200	0	357,200	357,200	0
Nonfunctional - Change to Accruals	0	0	0	121,525	75,705	0	139,374	137,388
TOTAL-General Fund Net	28,291,892	28,030,409	29,678,078	29,404,541	28,177,921	31,086,089	30,812,720	29,321,131
<u>Additional Funds Available</u>								
Federal and Other Activities	2,001,616	44,609	0	0	0	0	0	0
Private Funds	1,675,182	1,600,000	1,617,700	1,617,700	1,617,700	1,648,300	1,648,300	1,648,300
TOTAL-All Funds Net	31,968,690	29,675,018	31,295,778	31,022,241	29,795,621	32,734,389	32,461,020	30,969,431

# DEPARTMENT OF ADMINISTRATIVE SERVICES

## AGENCY DESCRIPTION

The Department of Administrative Services (DAS) is the single agency in charge of providing administrative services to other state agencies. DAS' mission is to provide statewide policy to State of Connecticut agencies on matters related to purchasing, motor vehicle fleet, human resources, information technology, property and facilities management, along with other centralized services, and to supply the best possible people, goods and services to the agencies on time,

in accordance with their business needs, and within statutory requirements.

DAS' services enable the state to save money by taking advantage of economies of scale and streamlining services and processes. The services we provide cross state agencies, municipalities, vendors, colleges and universities, non-profit organizations and the public at large.

*The Department of Construction Services is recommended for consolidation with the Department of Administrative Services and other agencies in the Governor's budget as part of his proposal to restructure and transform state government.*

## AGENCY PROGRAM INDEX

Agency Management Services	79	Information & Technology	82
Financial Services Center	80	Leasing and Facilities Management	84
Human Capital Management	80	Boards and Commissions	84
Strategic Leadership	81	Construction Management	85
Business Enterprises	82		

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation	-1,936,084	-4,059,564
• Remove Funding for Salary Increases for Appointed Officials	-53,032	-111,414
• Annualize FY 2013 Rescissions	-2,739,865	-2,739,865
• Annualize FY 2013 Deficit Mitigation Plan	-2,192,204	-2,192,204
<i>Reduction for cost saving measures adopted in FY 2013 in a variety of areas, including reductions in property management costs and leasing, and competitively bidding contracts.</i>		
• Absorb Expenses for the Capitol Child Development Center in the Office of Legislative Management	-120,888	-120,888
• Eliminate the Hospital Billing Appropriation	-138,562	-145,490
<i>Expenditures related to the billing system will be provided through the IT Services account.</i>		
• Reduce the Insurance and Risk Management Account	-387,607	-416,636
<i>Reflects historical spending levels.</i>		
• Reduce Funding for Property Management and Rent	-677,336	-781,184
<i>Funding is reduced based on the anticipated closure of a building, continued reductions in leased space, and reduced property management costs.</i>		
• Achieve Savings as a Result of the Consolidation of Construction Services into the Department of Administrative Services	-1,062,394	-1,113,326
<i>Savings from the elimination of 13 positions resulting from the merging of the Department of Construction Services into the Department of Administrative Services.</i>		
<b>Reallocations or Transfers</b>		
• Consolidate the Department of Construction Services Within the Department of Administrative Services	10,307,051	10,707,668
<i>The school construction unit, the fire and building safety unit and the project management staff for state construction projects other than Board of Regents and Regional Vocational Technical High Schools are recommended for transfer into the Department of Administrative Services from the Department of Construction Services. Included are 98 general fund positions, 22 positions paid for from facility design and construction bond funds, and 8 federally funded positions.</i>		
• Transfer Costs for Courier and Central Mail Services from Customer Agencies	485,107	485,107
<i>Funds are transferred from customer agencies to the Department of Administrative Services to realign costs associated with moving courier and central mail operations.</i>		

Budget-in-Detail

• Transfer the Department of Veterans' Affairs Information Technology Functions to the Department of Administrative Services <i>This proposal enables DAS/BEST to manage all information technology-related activities on behalf of DVA. Five positions and associated Other Expenses dollars is transferred to DAS to support this change.</i>	452,703	465,235		
• Reallocate Licensing System Costs from Customer Agencies to the Department of Administrative Services <i>Funding is transferred from the Departments of Public Health, Consumer Protection, and Agriculture, and the Office of the Secretary of the State to the Department of Administrative Services to manage the on-line licensing system for those agencies.</i>	100,000	100,000		
• Streamline Agency Account Structure <i>Transfer the Connecticut Education Network account into the IT Services account, and the Surety Bonds for State Officials account into the Insurance and Risk Management account.</i>	0	0		
• Transfer the Employees' Review Board to the Department of Labor	-22,210	-22,210		
• Transfer Claims Costs to the Comptroller <i>Streamline the agency's account structure by moving staffing costs to Personal Services, and claims costs to the Adjudicated Claims account within the Office of the Comptroller.</i>	-100,000	-100,000		
• Transfer Statewide Human Resources to the Office of Policy and Management <i>Transfer statewide human resource operations, including agency liaisons, classifications, grievances, exams, audit, training, and HR-related Core-CT staff to the Office of Policy and Management. The transfer includes 37 full-time and 3 part-time positions. Additionally, the collective bargaining accounts for Quality of Work Life, Labor Management and Tuition Reimbursement are transferred.</i>	-4,175,815	-4,285,544		
<b>New or Expanded Services</b>			<b>FY 2014</b>	<b>FY 2015</b>
• Support Courier and Central Mail Services Within the General Fund <i>Support for courier and central mail operations are recommended within the General Fund rather than the Department of Administrative Services' general services revolving fund. Additional resources are required to support staff and other costs beyond levels that have historically been recovered from customer agencies.</i>			256,179	296,599
				296,599
<b>Technical Adjustments</b>				
• Revise GAAP Accrual Amounts	73,044	466,053		

AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	465	72	3	540	538	611	538	611
Federal and Other Activities	1	0	0	1	1	9	1	9
Bond Fund	0	0	0	0	0	22	0	22
Technical Services	20	3	-12	11	11	11	11	11
General Services	66	8	0	74	74	56	74	56
			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
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			6	6	5	5	5	5
<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	9,788,775	9,282,286	9,278,795	9,217,607	9,106,782	9,744,247	9,707,879	9,588,321
Financial Services Center	9,645,400	8,729,453	10,600,337	10,494,268	9,416,480	11,078,674	11,039,061	9,932,433
Human Capital Management	4,090,223	4,019,670	4,249,698	4,087,558	630,061	4,412,308	4,312,278	737,377
Strategic Leadership	6,325,822	6,364,702	6,429,789	6,363,785	6,283,159	6,463,224	6,412,653	6,329,321
Business Enterprises	3,830,826	3,817,058	4,464,289	4,419,524	5,000,814	4,672,299	4,669,943	5,283,899
Information & Technology	100,805,467	74,327,628	47,147,525	46,140,481	44,681,767	43,059,972	42,835,936	40,685,531
Leasing and Facilities Management	40,531,670	44,883,272	60,400,988	56,175,180	51,408,391	62,711,169	64,137,827	57,848,964
Boards and Commissions	18,579,233	20,836,466	22,070,412	22,001,199	21,122,534	23,345,802	23,322,040	22,403,713
Construction Management	0	0	0	0	10,729,321	0	0	11,168,086
TOTAL Agency Programs - All Funds Gross	193,597,416	172,260,535	164,641,833	158,899,602	158,379,309	165,487,695	166,437,617	163,977,645
Less Turnover	0	0	0	-1,225,374	-1,225,374	0	-766,256	-766,256
Nonfunctional - Change to Accruals	0	0	0	661,423	734,467	0	267,680	733,733
TOTAL Agency Programs - All Funds Net	193,597,416	172,260,535	164,641,833	158,335,651	157,888,402	165,487,695	165,939,041	163,945,122

Summary of Funding

General Fund Net	118,804,851	121,952,255	144,032,273	137,723,190	136,181,582	149,566,745	150,017,168	146,863,225
Special Transportation Fund Net	5,395,779	7,335,373	7,752,150	7,755,051	7,364,746	8,332,710	8,333,633	7,919,913
Federal and Other Activities	54,367,417	27,093,495	4,718,536	4,718,536	4,718,536	248,680	248,680	248,680
Private Funds	15,029,369	15,879,412	8,138,874	8,138,874	9,623,538	7,339,560	7,339,560	8,913,304
<b>TOTAL Agency Programs - All Funds Net</b>	<b>193,597,416</b>	<b>172,260,535</b>	<b>164,641,833</b>	<b>158,335,651</b>	<b>157,888,402</b>	<b>165,487,695</b>	<b>165,939,041</b>	<b>163,945,122</b>

## AGENCY MANAGEMENT SERVICES

**Statutory References**

C.G.S. Chapters 57, 58, 59, 60a, 61 and 67; C.G.S. §§ 1-83 (a)(2); 1-101rr; and 46a-68(b).

**Statement of Need and Program Objectives**

To set agency policy and direction; allocate, manage and monitor agency programs and resources; and provide legal and legislative support to DAS.

To provide Equal Employment Opportunity and Affirmative Action services for DAS and other Executive Branch agencies.

To provide written and electronic communications and print, media and web design services to DAS, other agencies and the Governor's Office and Lieutenant Governor's Office.

**Program Description**

In addition to the Office of the Commissioner, Agency Management Services includes Staff Counsel, Equal Employment Opportunity/Affirmative Action (EEO/AA), and Communications. *Staff Counsel* is responsible for assisting DAS leadership and staff with the development and implementation of DAS policies; assisting in the development of statewide policies relating to human resources and other DAS business units; providing employment law

guidance and training; representing the agency before administrative bodies; acting as the agency's legislative liaison, including drafting agency legislative proposals, drafting testimony and managing the legislative process, and handling all legislative constituent issues; drafting DAS regulations and guiding them through the approval process; serving as the agency's Ethics Compliance Officer; and serving as liaison to the Auditors of Public Accounts and assisting DAS Commissioners and directors with necessary corrective actions.

The *EEO/AA Unit* drafts the DAS Affirmative Action Plan, develops and implements EEO/AA goals for the agency, mediates employee EEO/AA concerns and complaints, and investigates complaints of discrimination and harassment. DAS' EEO/AA Unit also provides these services for the Governor's and Lieutenant Governor's Office and a number of other Executive Branch agencies.

The *Communications Unit* develops a wide range of communications and marketing materials, handles all media requests, and serves as the central clearinghouse for Freedom of Information requests. In addition, it provides graphic and web design services to the Governor's Office, Lieutenant Governor's Office and other state agencies.

## AGENCY MANAGEMENT SERVICES

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	41	9	0	50	50	50	50	50
Federal and Other Activities	1	0	0	1	1	1	1	1
General Services	6	1	0	7	7	7	7	7
<i>Other Positions Equated to Full Time</i>								
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			1	1	1	1	1	1

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<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	4,080,816	4,405,370	4,042,594	3,996,657	3,916,211	4,236,076	4,212,072	4,126,016
Other Expenses	629,385	52,409	58,481	47,906	44,467	60,506	58,430	53,378
<u>Other Current Expenses</u>								
Employees' Review Board	21,798	23,378	28,054	23,378	0	33,666	23,378	0
IT Services	12,096	52,096	53,227	53,227	49,665	54,770	54,770	49,698
<b>TOTAL-General Fund</b>	<b>4,744,095</b>	<b>4,533,253</b>	<b>4,182,356</b>	<b>4,121,168</b>	<b>4,010,343</b>	<b>4,385,018</b>	<b>4,348,650</b>	<b>4,229,092</b>
<u>Additional Funds Available</u>								
Private Funds	5,044,680	4,749,033	5,096,439	5,096,439	5,096,439	5,359,229	5,359,229	5,359,229
<b>TOTAL - All Funds</b>	<b>9,788,775</b>	<b>9,282,286</b>	<b>9,278,795</b>	<b>9,217,607</b>	<b>9,106,782</b>	<b>9,744,247</b>	<b>9,707,879</b>	<b>9,588,321</b>

## FINANCIAL SERVICES CENTER

**Statutory Reference**

C.G.S. 4a-12, 4a-13, 4a-15 and 4a-16.

**Statement of Need and Program Objectives**

To maximize revenue through collection of money owed to the state. To provide financial services to DAS and several small agencies.

**Program Description**

*Collections Services* provides comprehensive billing and collection services for care provided by the Departments of Developmental Services, Social Services, Mental Health and Addiction Services, Children and Families, Correction, and Veterans Affairs, as well as 90 towns participating in the School Based Child and Health Services Program. Collections Services also maintains 1200 trustee accounts for individuals residing in state humane institutions. In addition, this

division collects institutional and public assistance delinquent accounts receivables for the state as well as administers the State and Federal Tax Intercept Program.

The *Business Office* processes payments from Medicare and Medicaid; bills vendors for services; pays for services; performs travel, p-card, and petty cash functions; procures goods and services; develops and reports Small Business Set Aside Goals; receives grant funds, monitors the use of the funds and completes required federal reporting; develops and administers budgets; tags incoming equipment, conducts annual physical inventories and maintains inventory reports for agency assets; prepares all incoming mail for next-day service and delivers mail to 329 stops throughout the state; and provides telecommunication services to agencies.

## FINANCIAL SERVICES CENTER

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	115	19	1	135	134	135	134	135
Technical Services	5	0	0	5	5	5	5	5
General Services	19	0	0	19	19	19	19	19
<i>Other Positions Equated to Full Time</i>								
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			1	0	0	0	0	0

**Financial Summary****(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	8,526,992	8,317,297	9,426,069	9,360,253	9,171,559	9,888,674	9,856,919	9,654,741
Other Expenses	217,651	217,826	222,604	182,351	169,262	229,057	221,199	202,074
<i>Other Current Expenses</i>								
Tuition Reimburs Training, Travel	597,201	0	382,000	382,000	0	382,000	382,000	0
Quality of Work-Life	18,900	0	350,000	350,000	0	350,000	350,000	0
Refunds of Collections	1,394	27,076	27,664	27,664	25,723	28,466	28,466	25,723
Hospital Billing System	114,950	114,951	138,562	138,562	0*	145,490	145,490	0*
IT Services	12,303	52,303	53,438	53,438	49,936	54,987	54,987	49,895
TOTAL-General Fund	9,489,391	8,729,453	10,600,337	10,494,268	9,416,480	11,078,674	11,039,061	9,932,433
<i>Additional Funds Available</i>								
<b>Federal Contributions</b>								
10550 Equipment	156,009	0	0	0	0	0	0	0
TOTAL - All Funds	9,645,400	8,729,453	10,600,337	10,494,268	9,416,480	11,078,674	11,039,061	9,932,433

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

## HUMAN CAPITAL MANAGEMENT

**Statutory Reference**

C.G.S. Section 5-200.

**Statement of Need and Program Objectives**

To assist state agencies through the delivery of cost effective, innovative and timely human resources products and services.

**Program Description**

*Statewide Human Resources* designs and manages human resources systems for state agencies; provides quality control and auditing of personnel transactions; develops and administers employment examinations for all classified competitive job titles in the state;

provides comprehensive services in the areas of organizational design, classification, staffing, objective job evaluation, and compensation and the administration of HR laws and regulations.

This division also contributes leadership, staffing, and subject matter expertise to the Human Resource Management Systems (HRMS) modules of Core-CT.

The *DAS HR/SmART (Small Agency Resource Team)* unit staff performs the various human resources functions, payroll functions and benefit administration for DAS staff, the Governor and Lieutenant Governor's staff, as well as for several small state agencies.

HUMAN CAPITAL MANAGEMENT**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	43	10	0	53	53	16	53	16
			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
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			2	2	2	2	2	2

**Financial Summary****(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	4,027,260	3,925,574	4,153,622	4,008,855	597,007	4,313,423	4,216,785	690,140
Other Expenses	62,963	94,096	96,076	78,703	33,054	98,885	95,493	47,237
TOTAL-General Fund	4,090,223	4,019,670	4,249,698	4,087,558	630,061	4,412,308	4,312,278	737,377

STRATEGIC LEADERSHIP**Statutory Reference**

C.G.S. §§ 5-199c, 5-204, 5-248a and b, 5-248i, 31-284a, 4a-2b.

**Statement of Need and Program Objectives**

To provide statewide human resource planning and training and major strategic initiatives for the state.

To empower and support state agencies to meet the established operational procedures within the Workers' Compensation program and promote a culture of safety within their respective workforces.

**Program Description**

*Strategic Services* coordinates and facilitates statewide HR planning as well as DAS strategic planning; offers training for state employees through the DAS Learning Center, the New Managers' Orientation Program and the Aspiring Leaders Executive Development Program, and coordinates access to training classes and programs through the community and technical college system; supplies subject matter expertise in the proper administration of statutory federal and state family and medical leave; manages the administration of the

managerial performance awards and recognition system (PARS) by agencies; and maintains and manages inbound and outbound communication between state agencies and the Governor's Unified Command for disasters and emergencies related to weather or other incidences to maintain continuity of operations for state government.

The *Workers' Compensation* division designs the State of Connecticut workers' compensation program; establishes statewide reporting and processing procedures; manages statewide workers' compensation fiscal and accounting functions; procures and manages the third party claim administration company; and offers a wide array of loss control and safety services statewide.

This division also manages the master property and casualty insurance program for state-funded and federally-funded housing units. It handles all fleet auto claims and directs a safety program aimed at reducing accidents involving fleet vehicles.

STRATEGIC LEADERSHIP**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	10	0	0	10	10	10	10	10

**Financial Summary****(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	941,502	936,444	918,705	886,044	867,692	950,465	929,823	910,396
Other Expenses	16,442	22,973	23,452	19,211	17,832	24,107	23,280	21,267
<u>Other Current Expenses</u>								
Loss Control Risk Management	107,767	120,898	150,000	120,898	114,854	150,000	120,898	114,854
W. C. Administrator	5,250,000	5,250,000	5,302,500	5,302,500	5,250,000	5,302,500	5,302,500	5,250,000
IT Services	10,111	34,387	35,132	35,132	32,781	36,152	36,152	32,804
TOTAL-General Fund	6,325,822	6,364,702	6,429,789	6,363,785	6,283,159	6,463,224	6,412,653	6,329,321

## BUSINESS ENTERPRISES

### Statutory Reference

C.G.S. §§ 4a-4, 4a-5, 4a-67d, 4a-51, 4a-60g, 4a-67, 4a-57a, 4a-100, and 4d-2.

### Statement of Need and Program Objectives

To provide and maintain vehicles that meet the diverse needs of state agencies in a timely and cost effective manner.

To provide value-added and cost-effective services to state agencies, municipalities, certain non-profit organizations, and Connecticut small and minority businesses.

### Program Description

*Fleet Services* acquires, maintains, replaces and disposes of motor vehicles for over 60 state agencies, focusing on controlling vehicle

costs while still meeting agency needs and state and federal requirements.

The *Procurement Division* manages the statewide procurement of goods and services (including information technology and telecommunications procurements) and related activities, such as contract administration and purchasing, certification of Connecticut small and minority businesses, prequalification of construction contractors, administration of the state p-card program, administration of the surplus state property and federal surplus property programs, and administration of the federal Food Distribution Program and Employee Housing program. This division supports other agencies through the Core-CT Supply Chain team and the Construction Contracting Resources Team.

## BUSINESS ENTERPRISES

### Personnel Summary

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	44	5	0	49	49	67	49	67
General Services	41	7	0	48	48	30	48	30
			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
<i>Other Positions Equated to Full Time</i>			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			1	1	1	1	1	1

### Financial Summary

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<b>(Net of Reimbursements)</b>	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	3,582,575	3,513,747	4,073,440	4,046,964	4,506,762	4,287,171	4,286,922	4,781,008
Other Expenses	21,319	18,347	59,669	48,879	245,371	61,448	59,340	254,210
<i>Capital Outlay</i>								
Equipment	0	1	7,500	1	1	0	1	1
<i>Other Current Expenses</i>								
Labor - Management Fund	0	0	75,000	75,000	0	75,000	75,000	0
TOTAL-General Fund	3,603,894	3,532,095	4,215,609	4,170,844	4,752,134	4,423,619	4,421,263	5,035,219
<i>Additional Funds Available</i>								
Private Funds	298	0	0	0	0	0	0	0
<b>Federal Contributions</b>								
10550 Equipment	226,634	284,963	248,680	248,680	248,680	248,680	248,680	248,680
TOTAL - All Funds	3,830,826	3,817,058	4,464,289	4,419,524	5,000,814	4,672,299	4,669,943	5,283,899

## INFORMATION AND TECHNOLOGY

### Statutory Reference

C.G.S. §4d-2.

### Statement of Need and Program Objectives

To build a high performance organization by investing in IT personnel; to strengthen and improve disaster backup and recovery strategies and security programs; to enhance and enforce a technology architectural blueprint and standards. To improve program effectiveness and resolve business issues using technology and making services more accessible for residents and businesses. To improve delivery of services by implementing technology best practices. To provide management information solutions in response to agency needs. To provide and maintain a standardized technology system to streamline government operations, increase efficiency, facilitate better decision-making and eliminate redundant systems for the statewide human resources and procurement functions.

### Program Description

*The Bureau of Enterprise Systems and Technology (BEST)* consists of the following divisions: Enterprise Programs and Practices, Security, Application Development and Support, Operations, Communications and Collaborations, Platform Services and Network Services. BEST provides enterprise services to support state agency business and operational needs, from phones and desktops to the state's most critical financial, human service and public safety applications.

BEST provides infrastructure, hosting and development support for state data and distributed systems. BEST works to protect the state's IT infrastructure with a broad array of IT security services, including intrusion protection, business continuity and disaster recovery services for HIPAA-impacted agencies.

BEST provides customer agencies with advanced office environments through provision of enterprise messaging and e-mail, directory, desktop, file/print, anti-virus and patch management services.

BEST provides network connectivity to state agencies and facilities through maintenance and enhancement of the statewide local and wide area networks. BEST also provides telecommunication system consulting and project management services.

BEST provides the tools and management for expansion and advancement of the state's internet presence, including deployment of a statewide online web content management system.

BEST provides statewide procurement services for information technology and network products and services and administers the centralized telecommunication billing system for state agencies.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
CT Education Network Bandwidth (Megabits)		40,000	60,000	60,000
CT Education Network Usage (Megabits)	15,000	22,500	30,000	40,000
Routers in the BEST Enterprise Network	1,318	1,800	2,000	2,200
State Internet Bandwidth Capacity for State Agencies (Megabits)	1,000	1,000	1,000	1,000
State Internet Bandwidth Usage for State Agencies (Megabits) monthly average	180	220	260	300
State Network (WAN) Bandwidth Capacity for State Agencies (Megabits)	2,170	2,980	3,500	4,000
State Network (WAN) Bandwidth Usage for State Agencies (Megabits)	1,432	1,966	2,310	2,640
State Network (MAN) Bandwidth Capacity for State Agencies (Megabits)	30,000	80,000	110,000	130,000
State Network (MAN) Bandwidth Usage for State Agencies (Megabits)	15,000	30,000	40,000	50,000
State Network (PSDN) Bandwidth Capacity for Public Safety Agencies (Megabits)	10,000	20,000	20,000	20,000
State Network (PSDN) Bandwidth Usage for Public Safety Agencies (Megabits)	200	1,000	4,000	5,000
Cyber Attacks Blocked	11,601,460	12,700,000	14,037,000	15,441,000

#### INFORMATION & TECHNOLOGY

##### Personnel Summary

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
<i>Permanent Full-Time Positions</i>								
General Fund	155	16	1	172	171	176	171	176
Technical Services	15	3	-12	6	6	6	6	6

##### Other Positions Equated to Full Time

	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund	1	1	1	1	1	1

##### Financial Summary

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
<b>(Net of Reimbursements)</b>	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	13,729,564	13,593,178	14,765,141	15,013,091	15,135,372	15,472,746	15,535,876	15,649,880
Other Expenses	7,803,671	6,161,046	6,679,754	5,471,854	5,114,104	6,814,328	6,580,558	6,046,609
<i>Other Current Expenses</i>								
Connecticut Education Network	2,866,493	2,966,493	3,667,205	3,620,111	0*	3,785,903	3,732,507	0*
IT Services	12,436,574	13,668,000	14,523,134	14,523,134	16,920,000	15,006,664	15,006,664	17,008,711
TOTAL-General Fund	36,836,302	36,388,717	39,635,234	38,628,190	37,169,476	41,079,641	40,855,605	38,705,200
<i>Additional Funds Available</i>								
Private Funds	9,984,391	11,130,379	3,042,435	3,042,435	3,042,435	1,980,331	1,980,331	1,980,331
<b>Federal Contributions</b>								
ARRA-ExpandEduc,Safety Network	53,984,774	26,801,563	4,469,856	4,469,856	4,469,856	0	0	0
15809 Nat'l Spatial Data Infrass Coop Agreemt	0	6,943	0	0	0	0	0	0
93778 Medical Assistance Program	0	26	0	0	0	0	0	0
TOTAL - All Funds	100,805,467	74,327,628	47,147,525	46,140,481	44,681,767	43,059,972	42,835,936	40,685,531

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

## LEASING AND FACILITIES MANAGEMENT

### Statutory Reference

C.G.S. §§4b-1; 4b-21 and 4b-30

### Statement Of Need And Program Objectives

To acquire, sell and transfer real property based on sound economic principles pursuant to the best interests of the state. To ensure that state employees and the visiting public have a clean, safe and healthy environment in which to work or visit. To ensure the responsive and cost-effective implementation of the state's facilities management plan, capital development program, leasing and property acquisition activities, statewide security of buildings and disposition of surplus state property. To lease out state facilities to private parties, where appropriate.

### Program Description

The *Leasing and Property Transfer Unit* acquires, sells, or transfers real property. Additionally, it also leases state-owned property to private and nonprofit groups when appropriate. The unit assists state agencies in determining office space requirements; maintains an up-to-date statewide inventory of available office space; advertises for office space requirements in excess of 2,500 square feet; conducts extensive site searches for suitable office space to meet agency requirements; negotiates to obtain the best transaction possible; prepares lease proposals for the approval of OPM and the State Properties Review Board; and prepares lease documents for the approval of the Attorney General.

The *Facilities Management Unit* consists of both the Contract Property Management and Direct Property Management Units. The Facilities Management Unit administers the operation, maintenance and security of 5.9 million square feet of state owned

occupied buildings, and 2 million square feet of vacant buildings. Approximately 9,000 state employees from various agencies occupy these facilities. Buildings are located throughout the Hartford/Wethersfield area and major cities in the state including Meriden, Mystic, Newington, Norwich, and Waterbury.

The *CAS Management Unit* operates the Capitol Area Energy System (CAS) district heating and cooling loop. The CAS provides hot water for space heating and domestic hot water production, and chilled water for space cooling. The system currently serves 19 total facilities, totaling over 3 million square feet of building space, serving over 5,500 state employees and up to 4,000 private employees or patrons.

The *Statewide Security Unit* provides for the overall physical security of the state employees, clients, visitors and other assets of the State of Connecticut in both state-owned and leased facilities, except where specifically exempted by statute.

The *Technical Services Unit* provides technical engineering, planning and environmental support to Facilities Management and Leasing and Property Transfer. Engineering services include facilities project initiation, three-year infrastructure improvement plan, monthly bonding requests and supervision of agency administered construction projects. Planning services consist of collecting, monitoring and utilizing space allocation information to maximize the use of all leased and state-owned facilities managed by DAS, as well as space planning, move coordination and space renovation. Environmental services include environmental indoor air quality monitoring, safety compliance and recycling.

## LEASING AND FACILITIES MANAGEMENT

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	47	13	1	61	60	61	60	61

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	3,532,205	3,497,025	3,715,546	3,597,537	3,523,024	3,895,439	3,817,574	3,737,814
Other Expenses	23,649,588	24,567,011	38,744,877	31,738,637	28,960,548	40,531,445	39,140,985	35,256,894
<u>Other Current Expenses</u>								
Management Services	3,777,452	4,767,986	5,590,166	5,488,607	4,741,484	5,807,589	5,706,030	4,753,809
Rents and Moving	9,456,943	11,924,000	12,221,213	15,221,213	14,183,335	12,344,913	15,341,455	14,100,447
Capitol Day Care Center	115,482	127,250	129,186	129,186	0	131,783	131,783	0
TOTAL-General Fund	40,531,670	44,883,272	60,400,988	56,175,180	51,408,391	62,711,169	64,137,827	57,848,964

## BOARDS AND COMMISSIONS

### Statutory Reference

C.G.S. §§ 4b-3; 4-142a et seq.; 4a-19-4a-21; 6-38b.

### Statement Of Need And Program Objectives

To provide oversight of nine executive branch agencies concerning the leasing, sale and acquisition of real estate, as well as proposals for the hiring of architects and engineers to ensure financial prudence and compliance with state statutes.

To hear and determine all claims against the state except those claims specifically exempted in statute.

To appoint and oversee the administration of the State Marshals.

To determine the method by which the state insures itself against losses; to direct the negotiations for purchase of insurance for the state; to develop and implement risk management and loss prevention programs related to state insurance plans, and to designate the state's agent(s) of record.

### Program Description

The *State Properties Review Board* reviews and approves transactions involving: the acquisition and development of land and

buildings for state use; leasing of private buildings for state agencies; sale or lease of surplus state buildings and lands; acquisition of farms or development rights; assignment of state agencies to state buildings; the selection of and contracts for DPW project consultants; lease and/or purchase of group homes for the Department of Developmental Services; lease of warehouse/distribution space of the Connecticut Regional Market; leases, operating or concession agreements at state airports and piers; acquisition of highway and railroad rights-of-way and related facilities; and other transactions/hearings mandated by the legislature.

The *Office of the Claims Commissioner* receives claims filed against the state pursuant to Chapter 53 of the Connecticut General Statutes; conducts hearings for claims seeking more than \$7,500 and/or permission to sue the state; adjudicates, with or without hearings, all claims against the state for less than \$7,500; processes all claims in an expeditious manner; and decides which claims are “just and equitable” and meet the other statutory elements warranting a waiver of the sovereign immunity of the State.

The *State Marshal Commission* establishes professional standards, including training requirements and minimum fees for the execution and service of process; equitably assigns service of restraining orders to state marshals in each county; fills vacancies in the position of state marshal in any county; investigates complaints brought against state marshals and determines whether just cause exists to remove appointments; and reviews and audits marshals’ accounts.

The *State Insurance and Risk Management Board* promotes a coordinated insurance and risk management program within the state; protects the assets of the State of Connecticut by developing and implementing risk management and loss prevention programs; determines the method by which the state shall insure/self-insure; obtains the broadest coverage at the most reasonable cost; designates the agent of record and selects insurance companies; and utilizes risk management methods such as exposure identification, loss control, risk transfer or risk assumption.

## BOARDS AND COMMISSIONS

### Personnel Summary

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	10	0	0	10	11	11	11	11
<i>Other Positions Equated to Full Time</i>								
General Fund			<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
			0	1	0	0	0	0

### Financial Summary

#### (Net of Reimbursements)

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	601,354	600,220	681,433	659,790	865,699	714,158	699,883	918,403
Other Expenses	218,341	210,222	244,261	200,091	185,729	247,392	238,905	218,250
<u>Capital Outlay</u>								
Equipment	0	0	2,400	0	0	0	0	0
<u>Other Current Expenses</u>								
Surety Bonds for State Officials/Employees	6,631	82,000	67,600	67,600	0*	9,700	9,700	0*
Claims Commissioner Operations	294,205	258,651	329,505	328,505	0*	346,456	345,456	0*
Insurance & Risk Operations	12,062,923	12,350,000	12,993,063	12,993,063	12,706,563	13,695,386	13,695,386	13,350,986
TOTAL-General Fund	13,183,454	13,501,093	14,318,262	14,249,049	13,757,991	15,013,092	14,989,330	14,487,639
Insurance & Risk Operations	5,395,779	7,335,373	7,752,150	7,752,150	7,364,543	8,332,710	8,332,710	7,916,074
TOTAL-Special Transportation Fund	5,395,779	7,335,373	7,752,150	7,752,150	7,364,543	8,332,710	8,332,710	7,916,074

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

## CONSTRUCTION MANAGEMENT

### Statutory Reference

C.G.S. §§ 4b-1; 10-284; 29-250

### Statement of Need and Program Objectives

To manage the planning, design and construction of state-owned facilities, which provide adequate, efficient and environmentally sound buildings, including associated utilities and site improvements. To provide technical assistance to agency facility managers, including all state-managed institutions. To develop, and ensure compliance with, the State’s Building, Fire Safety, and Fire Prevention Codes. To provide technical support for DCS administered projects as well as

for other State agencies. To review and approve applications for state grants, and review project construction documents for conformance with building codes and program requirements.

### Program Description

*Construction Management* provides technical assistance and oversight of the design and construction of state capital projects and statewide programs, special projects, and claims management. The department is responsible of ensuring code compliance for all large-scale state owned construction projects by performing plan reviews, conducting inspections and issuing certificates of occupancy. This includes all major “threshold” projects administered

Budget-in-Detail

by CT DOT and UConn, such as the Jackson Laboratory project. The department provides technical review of the design documents for state funded local school construction projects and is responsible for review and approval of all local requests for grant funding for local

school construction. The State Building Inspector and State Fire Marshal staff develop, publish and administer a broad range of codes and agency regulations intended to protect the public from natural or technological failure or disaster.

**CONSTRUCTION MANAGEMENT**

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	0	0	0	0	0	85	0	85
Federal and Other Activities	0	0	0	0	0	8	0	8
Bond Fund	0	0	0	0	0	22	0	22

**Financial Summary**

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	0	0	0	0	8,189,732	0	0	8,575,915
Other Expenses	0	0	0	0	1,054,925	0	0	1,018,427
TOTAL-General Fund	0	0	0	0	9,244,657	0	0	9,594,342
<u>Additional Funds Available</u>								
Private Funds	0	0	0	0	1,484,664	0	0	1,573,744
TOTAL - All Funds	0	0	0	0	10,729,321	0	0	11,168,086

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	36,791,881	36,867,349	40,083,467	45,041,826	41,982,166	47,186,509
Other Positions	464,187	338,536	395,470	432,300	419,552	463,904
Other	1,650,200	1,467,249	1,031,117	1,127,145	1,093,913	1,209,554
Overtime	116,000	115,721	157,151	171,787	166,721	184,346
TOTAL-Personal Services Gross	39,022,268	38,788,855	41,667,205	46,773,058	43,662,352	49,044,313
Less Reimbursements						
Less Turnover	0	0	0	-1,225,374	0	-766,256
TOTAL-Personal Services Net	39,022,268	38,788,855	41,667,205	45,547,684	43,662,352	48,278,057
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	16,352	16,132	16,484	13,106	16,962	15,371
Utility Services	10,158,694	11,797,832	12,294,542	9,774,653	12,957,993	11,742,680
Rentals, Storage and Leasing	4,494,218	5,503,173	5,546,357	4,409,577	5,594,466	5,069,766
Telecommunication Services	186,755	201,626	206,638	164,285	212,632	192,689
General Repairs	8,838,664	9,932,350	20,834,677	16,564,406	21,765,368	19,724,015
Motor Vehicle Expenses	82,865	103,169	109,913	87,385	114,908	104,131
Insurance	29,500	29,520	30,161	23,979	31,036	28,125
Fees for Outside Professional Services	160,766	1,648,901	1,765,929	1,403,987	1,817,145	1,646,717
Fees for Non-Professional Services	4,850,194	4,144,924	6,853,084	5,448,478	7,051,825	6,390,441
DP Services, Rentals and Maintenance	1,631,349	340,662	397,577	316,089	409,107	370,738
Postage	73,548	72,527	74,101	58,914	76,251	69,099
Travel	28,155	27,729	28,331	22,524	29,154	26,420
Other Contractual Services	816,561	697,436	957,404	761,175	980,674	888,697
Advertising and Marketing	26,385	26,520	27,095	21,542	27,881	25,266
Printing & Binding	36,116	36,114	36,898	29,335	37,969	34,408
<u>Other Expenses-Commodities</u>						
Agriculture, Horticulture, Dairy & Food	1,628	1,680	1,716	1,364	1,766	1,600
Books	326	334	342	272	352	319
Clothing and Personal Supplies	531	540	1,551	1,233	1,596	1,446
Maintenance and Motor Vehicle Supplies	411,999	415,036	426,078	338,750	438,399	397,281
Medical Supplies	534	503	525	417	547	496
Fuel	446,582	688,791	946,611	752,594	1,034,728	937,682
Office Supplies	297,599	90,162	92,077	73,204	94,715	85,831
Refunds of Expenditures Not Otherwise	2,721	3,266	3,337	2,653	3,433	3,111

## Classified

Other Expenses-Sundry

Employee Fringe Benefits	25,959	27,623	28,121	22,357	28,617	25,933
Sundry - Other Items	1,359	33,723	36,923	29,356	37,956	34,396
TOTAL-Other Expenses Gross	32,619,360	35,840,273	50,716,472	40,321,635	52,765,480	47,816,658
Less Reimbursements	0	-4,496,343	-4,587,298	-4,496,343	-4,698,312	-4,698,312
TOTAL-Other Expenses Net	32,619,360	31,343,930	46,129,174	35,825,292	48,067,168	43,118,346

Other Current Expenses

Tuition Reimburs Training, Travel	597,201	0	382,000	0	382,000	0
Labor - Management Fund	0	0	75,000	0	75,000	0
Management Services	3,777,452	4,767,986	5,590,166	4,741,484	5,807,589	4,753,809
Loss Control Risk Management	107,767	120,898	150,000	114,854	150,000	114,854
Employees' Review Board	21,798	23,378	28,054	0	33,666	0
Surety Bonds for State Officials/Employees	6,631	82,000	67,600	0*	9,700	0*
Quality of Work-Life	18,900	0	350,000	0	350,000	0
Refunds of Collections	1,394	27,076	27,664	25,723	28,466	25,723
Rents and Moving	9,456,943	11,924,000	12,221,213	14,183,335	12,344,913	14,100,447
Capitol Day Care Center	115,482	127,250	129,186	0	131,783	0
W. C. Administrator	5,250,000	5,250,000	5,302,500	5,250,000	5,302,500	5,250,000
Hospital Billing System	114,950	114,951	138,562	0*	145,490	0*
Connecticut Education Network	2,866,493	2,966,493	3,667,205	0*	3,785,903	0*
Claims Commissioner Operations	294,205	258,651	329,505	0*	346,456	0*
Insurance & Risk Operations	12,062,923	12,350,000	12,993,063	12,706,563	13,695,386	13,350,986
IT Services	12,471,084	13,806,786	14,664,931	17,052,382	15,152,573	17,141,108
TOTAL-Other Current Expenses	47,163,223	51,819,469	56,116,649	54,074,341	57,741,425	54,736,927

Nonfunctional - Change to Accruals 0 0 0 734,264 0 729,894

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**AGENCY FINANCIAL SUMMARY - SPECIAL TRANSPORTATION FUND**

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
<u>Other Current Expenses</u>						
Insurance & Risk Operations	5,395,779	7,335,373	7,752,150	7,364,543	8,332,710	7,916,074
TOTAL-Other Current Expenses	5,395,779	7,335,373	7,752,150	7,364,543	8,332,710	7,916,074
<u>Nonfunctional - Change to Accruals</u>	0	0	0	203	0	3,839

**Character & Major Object Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	39,022,268	38,788,855	41,776,550	40,343,817	45,547,684	43,758,152	42,789,598	48,278,057
Other Expenses Net	32,619,360	31,343,930	46,129,174	37,787,632	35,825,292	48,067,168	46,418,190	43,118,346
Capital Outlay	0	1	9,900	1	1	0	1	1
Other Current Expenses	47,163,223	51,819,469	56,116,649	58,933,218	54,074,341	57,741,425	60,542,622	54,736,927
Nonfunctional - Change to Accruals	0	0	0	658,522	734,264	0	266,757	729,894
TOTAL-General Fund Net	118,804,851	121,952,255	144,032,273	137,723,190	136,181,582	149,566,745	150,017,168	146,863,225
Other Current Expenses	5,395,779	7,335,373	7,752,150	7,752,150	7,364,543	8,332,710	8,332,710	7,916,074
Nonfunctional - Change to Accruals	0	0	0	2,901	203	0	923	3,839
TOTAL-Special Transportation Fund Net	5,395,779	7,335,373	7,752,150	7,755,051	7,364,746	8,332,710	8,333,633	7,919,913
<u>Additional Funds Available</u>								
Federal and Other Activities	54,367,417	27,093,495	4,718,536	4,718,536	4,718,536	248,680	248,680	248,680
Private Funds	15,029,369	15,879,412	8,138,874	8,138,874	9,623,538	7,339,560	7,339,560	8,913,304
TOTAL-All Funds Net	193,597,416	172,260,535	164,641,833	158,335,651	157,888,402	165,487,695	165,939,041	163,945,122

# DEPARTMENT OF CONSTRUCTION SERVICES

## AGENCY DESCRIPTION

The Department of Construction Services' mission is to provide quality facilities and deliver cost-effective, responsive, timely services to state agencies in the areas of design, construction of new facilities and renovation of existing facilities. The department is responsible

for the design and construction of nearly all major capital projects for most facilities housing offices and equipment of the state.

*The Department of Construction Services is recommended for consolidation with the Department of Administrative Services and other agencies in the Governor's budget as part of his proposal to restructure and transform state government.*

## AGENCY PROGRAM INDEX

Management and Planning	89	School Construction	90
Facilities Design & Construction	89		
Fire and Building Safety	90		

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation	-29,761	-60,878
• Remove Funding for Salary Increases for Appointed Officials	-12,568	-26,406
• Annualize FY 2013 Rescissions	-52,308	-52,308
• Transfer Positions to Bond Funds	-120,824	-129,095
<i>Transfer two positions to the Board of Regents and support via bond funds.</i>		
<b>Reallocations or Transfers</b>		
• Transfer Functions of Department of Construction Services to the Department of Administrative Services	-10,375,512	-10,781,865
<i>Transfers the school construction unit, the fire and building safety unit and the project management staff for state construction projects, other than Board of Regents and Regional Vocational Technical High Schools, to the Department of Administrative Services.</i>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-426	-426
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-49,541	-37,912

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	78	10	6	94	94	0	94	0
Federal and Other Activities	4	4	0	8	8	0	8	0
Bond Fund	51	4	0	55	55	0	55	0
<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Management and Planning	475,613	524,073	1,120,529	1,117,034	0	1,177,241	1,168,680	0
Facilities Design & Construction	4,062,474	4,407,784	4,008,956	3,746,862	0	4,020,553	3,917,111	0
Fire and Building Safety	4,593,916	5,681,585	6,572,206	6,501,884	0	6,883,061	6,795,594	0
School Construction	691,256	755,694	823,093	814,650	0	860,213	852,639	0
TOTAL Agency Programs - All Funds Gross	9,823,259	11,369,136	12,524,784	12,180,430	0	12,941,068	12,734,024	0
Less Turnover	0	0	0	-104,367	0	0	-109,302	0
Nonfunctional - Change to Accruals	0	0	0	49,541	0	0	37,912	0
TOTAL Agency Programs - All Funds Net	9,823,259	11,369,136	12,524,784	12,125,604	0	12,941,068	12,662,634	0
<b>Summary of Funding</b>								
General Fund Net	9,103,511	9,940,480	11,040,120	10,640,940	0	11,367,324	11,088,890	0
Private Funds	719,748	1,428,656	1,484,664	1,484,664	0	1,573,744	1,573,744	0
TOTAL Agency Programs - All Funds Net	9,823,259	11,369,136	12,524,784	12,125,604	0	12,941,068	12,662,634	0

## MANAGEMENT AND PLANNING

### Statutory Reference

C.G.S. Section 4b-1

### Statement of Need and Program Objectives

To manage the staff and activities of the department to ensure the responsive and cost effective implementation of the state's capital development program by setting departmental policy, standards and priorities and managing internal processes.

### Program Description

This program consists of the Deputy Commissioner's Office and the Legal Services Division.

The Legal Services Division provides the full array of legal advice to the agency, covering areas that include, but are not limited to, contract, regulatory enforcement and administrative law.

## MANAGEMENT AND PLANNING

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	3	3	5	11	11	0	11	0

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	365,324	365,136	957,013	953,518	0	1,008,938	1,005,938	0
Other Expenses	110,289	158,937	163,516	163,516	0	168,303	162,742	0
TOTAL-General Fund	475,613	524,073	1,120,529	1,117,034	0	1,177,241	1,168,680	0

## FACILITIES DESIGN AND CONSTRUCTION

### Statutory Reference

C.G.S. Section 4b-1

### Statement of Need and Program Objectives

To manage the planning, design and construction of state-owned facilities and to provide technical assistance to agency facility managers, including all state-managed institutions.

### Program Description

Under this program, the department provides technical assistance and oversight of the design and construction of state capital projects and statewide programs, special projects, and claims management.

Client teams provide client agencies with a single point of contact with the department. The three agency teams are empowered to move horizontally throughout the department to gather the technical, administrative, and legal assistance required to respond to any client agency issue which falls under the department's statutory purview.

The client teams also provide construction overview either with in-house staff or by contracted firms. This construction administration duty ensures compliance with the intended design and adherence to the established schedule and budget.

## FACILITIES DESIGN & CONSTRUCTION

### Personnel Summary

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	11	1	0	12	12	0	12	0

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	3,764,065	3,977,748	3,515,321	3,253,227	0	3,558,750	3,425,811	0
Other Expenses	298,409	430,036	493,635	493,635	0	461,803	491,300	0
TOTAL-General Fund	4,062,474	4,407,784	4,008,956	3,746,862	0	4,020,553	3,917,111	0

## REGULATORY AND TECHNICAL COMPLIANCE

**Statutory Reference**

C.G.S. Section 29-250

**Statement of Need and Program Objectives**

To develop, and ensure compliance with, the state's building, fire safety, and fire prevention codes. To provide technical support for department administered projects as well as for other state agencies.

**Program Description**

The State Building Inspector and State Fire Marshal staff develops, publishes and administers a broad range of codes and agency

regulations intended to protect the public from natural or technological failure or disaster. This staff is responsible to ensure code compliance for all large-scale state owned construction projects by performing plan reviews, conducting inspections and issuing certificates of occupancy. The office also provides training, licensing, and technical support for all municipal code officials.

The division provides environmental compliance and permitting support for the department administered projects as well as for other state agencies' operations.

**FIRE AND BUILDING SAFETY****Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	57	5	0	62	62	0	62	0
Federal and Other Activities	4	4	0	8	8	0	8	0
Bond Fund	51	4	0	55	55	0	55	0

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	3,561,323	3,802,089	4,613,759	4,543,437	0	4,814,059	4,750,308	0
Other Expenses	312,845	450,840	473,783	473,783	0	495,258	471,542	0
TOTAL-General Fund	3,874,168	4,252,929	5,087,542	5,017,220	0	5,309,317	5,221,850	0
<u>Additional Funds Available</u>								
Private Funds	719,748	1,428,656	1,484,664	1,484,664	0	1,573,744	1,573,744	0
TOTAL - All Funds	4,593,916	5,681,585	6,572,206	6,501,884	0	6,883,061	6,795,594	0

## SCHOOL AND STATE CONSTRUCTION SUPPORT

**Statutory Reference**

C.G.S. Section 10-284

**Statement of Need and Program Objectives**

To review and approve applications for state grants, and review project construction documents for conformance with building codes and program requirements.

**Program Description**

Under this program, the department provides technical review of the design documents for state funded local school construction projects. This division is responsible for review and approval of all local requests for grant funding for local school construction.

**SCHOOL CONSTRUCTION****Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	7	1	1	9	9	0	9	0

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	686,851	749,346	816,607	808,164	0	853,538	846,184	0
Other Expenses	4,405	6,348	6,486	6,486	0	6,675	6,455	0
TOTAL-General Fund	691,256	755,694	823,093	814,650	0	860,213	852,639	0

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015		
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>		
<b><u>Personal Services</u></b>								
Permanent Fulltime Positions	8,151,403	8,651,034	7,054,155	0	7,376,256	0		
Other Positions	3,114	74,576	79,117	0	83,936	0		
Other	162,715	104,065	2,700,905	0	2,702,458	0		
Overtime	60,331	64,644	68,523	0	72,635	0		
TOTAL-Personal Services Gross	8,377,563	8,894,319	9,902,700	0	10,235,285	0		
Less Reimbursements								
Less Turnover								
TOTAL-Personal Services Net	8,377,563	8,894,319	9,902,700	0	10,235,285	0		
<b><u>Other Expenses-Contractual Services</u></b>								
Dues and Subscriptions	8,308	11,972	12,232	0	12,587	0		
Rentals, Storage and Leasing	45,531	65,614	67,037	0	68,981	0		
Telecommunication Services	74,788	107,776	110,114	0	113,308	0		
General Repairs	1,676	2,415	2,467	0	2,539	0		
Motor Vehicle Expenses	251,178	361,970	383,325	0	406,024	0		
Fees for Outside Professional Services	3,016	4,346	4,440	0	4,569	0		
Fees for Non-Professional Services	2,168	3,124	3,192	0	3,285	0		
DP Services, Rentals and Maintenance	92,345	133,078	184,138	0	139,909	0		
Postage	6,081	8,764	8,954	0	9,214	0		
Travel	29,227	42,121	43,035	0	44,284	0		
Other Contractual Services	4,076	5,875	6,004	0	6,179	0		
Advertising and Marketing	10,932	15,754	16,096	0	16,562	0		
Printing & Binding	69,230	99,766	101,931	0	104,887	0		
<b><u>Other Expenses-Commodities</u></b>								
Books	7,174	10,338	10,563	0	10,870	0		
Clothing and Personal Supplies	1,235	1,779	1,818	0	1,871	0		
Maintenance and Motor Vehicle Supplies	91,677	132,116	142,071	0	146,080	0		
Office Supplies	21,306	30,706	31,356	0	32,243	0		
<b><u>Other Expenses-Sundry</u></b>								
Sundry - Other Items	6,000	8,647	8,647	0	8,647	0		
TOTAL-Other Expenses Gross	725,948	1,046,161	1,137,420	0	1,132,039	0		
Less Reimbursements								
TOTAL-Other Expenses Net	725,948	1,046,161	1,137,420	0	1,132,039	0		
<b><u>Character &amp; Major Object Summary</u></b>								
	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	8,377,563	8,894,319	9,902,700	9,453,979	0	10,235,285	9,918,939	0
Other Expenses Net	725,948	1,046,161	1,137,420	1,137,420	0	1,132,039	1,132,039	0
Nonfunctional - Change to Accruals	0	0	0	49,541	0	0	37,912	0
TOTAL-General Fund Net	9,103,511	9,940,480	11,040,120	10,640,940	0	11,367,324	11,088,890	0
<b><u>Additional Funds Available</u></b>								
Private Funds	719,748	1,428,656	1,484,664	1,484,664	0	1,573,744	1,573,744	0
TOTAL-All Funds Net	9,823,259	11,369,136	12,524,784	12,125,604	0	12,941,068	12,662,634	0

# ATTORNEY GENERAL

## AGENCY DESCRIPTION

The Attorney General is the chief legal officer of the State of Connecticut. The Attorney General's Office serves as legal counsel to all state agencies and acts to protect the public interest for the people of the State of Connecticut.

The mission of the office is to represent and advocate the interests of the state and its citizens, to ensure that state government acts

within the letter and spirit of the law, to protect public resources for present and future generations, to preserve and enhance the quality of life of all the state's citizens, and to safeguard the rights of its most vulnerable citizens.

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-21,392	-45,068
• Remove Funding for Salary Increases for Appointed Officials	-30,188	-63,420
• Annualize FY 2013 Rescissions	-300,000	-300,000
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-2,640	-2,640
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-17,085	-2,757

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	268	20	10	298	298	298	298	298
Federal and Other Activities	13	1	-3	11	11	11	11	11

<b>Other Positions Equated to Full Time</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	6	6	6	6	6	6

<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Legal Services	29,836,018	31,707,692	35,408,503	34,342,540	33,988,320	36,978,546	35,959,205	35,548,077
TOTAL Agency Programs - All Funds Gross	29,836,018	31,707,692	35,408,503	34,342,540	33,988,320	36,978,546	35,959,205	35,548,077
Less Turnover	0	0	-500,000	-650,000	-650,000	-500,000	-650,000	-650,000
Nonfunctional - Change to Accruals	0	0	0	217,038	199,953	0	212,164	209,407
TOTAL Agency Programs - All Funds Net	29,836,018	31,707,692	34,908,503	33,909,578	33,538,273	36,478,546	35,521,369	35,107,484

### Summary of Funding

General Fund Net	28,415,008	30,457,314	33,622,724	32,623,799	32,252,494	35,156,454	34,199,277	33,785,392
Federal and Other Activities	80,000	80,000	80,000	80,000	80,000	80,000	80,000	80,000
Second Injury & Compensation Assurance	1,185,733	1,013,378	1,043,779	1,043,779	1,043,779	1,075,092	1,075,092	1,075,092
Private Funds	155,277	157,000	162,000	162,000	162,000	167,000	167,000	167,000
TOTAL Agency Programs - All Funds Net	29,836,018	31,707,692	34,908,503	33,909,578	33,538,273	36,478,546	35,521,369	35,107,484

## LEGAL SERVICES

### **Statutory Reference**

Sections 3-124 through 3-131.

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

To facilitate the efficient and effective provision of state services by preventing legal problems from impeding state operations. To advocate before the courts and administrative boards the rights and welfare of citizens of the state and the public policies of Connecticut.

### **Program Description**

The Office of the Attorney General is organized into one administrative and fourteen legal departments. Each of the fourteen departments provides the entire range of legal services to groups of state agencies. These legal services consist primarily of counseling and representation. The counseling function includes the rendering of informal advice and preparation of formal opinions, as well as the drafting and review of regulations, contracts and other instruments for legal sufficiency. The representation function involves representing all state agencies and employees, elected and

appointed officials in their official capacities in all phases of litigation in federal and state courts and in administrative proceedings. The office also initiates affirmative litigation as appropriate.

The central management of the Office of the Attorney General includes an executive and administrative staff. The executive staff oversees, directs and manages litigation and the provision of legal services, including contract review and issuance of advisory opinions;

oversees education to the public on legal issues; and formulates proposed legislation. The administrative staff manages all business operations, recruits and trains personnel, maintains the information systems, maintains the law libraries of the office and plans and develops systems to improve the efficiency and effectiveness of the office.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Formal Written Opinions	15	10	10	10
Court Cases Completes	17,366	19,000	19,100	19,200
Legal Documents Examined	14,835	15,000	15,100	15,200
General Fund Dollars Collected	223,337,262	256,000,000	256,500,000	257,000,000
Revenue Generated for Special Funds	4,418,390	3,000,000	3,000,000	3,000,000
Revenue Awarded or Paid to Individuals or Businesses	229,178,465	253,000,000	253,500,000	254,000,000

## LEGAL SERVICES

### Personnel Summary

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	268	20	10	298	298	298	298	298
Federal and Other Activities	13	1	-3	11	11	11	11	11
			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
Other Positions Equated to Full Time			Actual	Estimated	Requested	Recommended	Requested	Recommended
General Fund			6	6	6	6	6	6

### Financial Summary

(Net of Reimbursements)	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	27,401,249	29,516,393	33,083,227	32,081,409	31,751,221	34,595,281	33,640,085	33,276,665
Other Expenses	1,013,759	940,920	1,039,497	975,351	951,319	1,061,173	997,027	949,319
<u>Capital Outlay</u>								
Equipment	0	1	0	1	1	0	1	1
TOTAL-General Fund	28,415,008	30,457,314	34,122,724	33,056,761	32,702,541	35,656,454	34,637,113	34,225,985
<u>Additional Funds Available</u>								
Second Injury & Compensation Assurance	1,185,733	1,013,378	1,043,779	1,043,779	1,043,779	1,075,092	1,075,092	1,075,092
Private Funds	155,277	157,000	162,000	162,000	162,000	167,000	167,000	167,000
<b>Federal Contributions</b>								
Drinking Water ST Revolving Fd	80,000	80,000	80,000	80,000	80,000	80,000	80,000	80,000
TOTAL - All Funds	29,836,018	31,707,692	35,408,503	34,342,540	33,988,320	36,978,546	35,959,205	35,548,077

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

### Current Expenses by Minor Object

	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	24,979,479	26,907,681	30,451,027	30,429,688	31,940,487	31,885,918
Other Positions	1,308,183	1,378,000	1,419,340	1,386,673	1,461,920	1,469,873
Other	1,113,587	1,655,725	1,657,000	379,000	1,657,000	385,000
TOTAL-Personal Services Gross	27,401,249	29,941,406	33,527,367	32,195,361	35,059,407	33,740,791
Less Reimbursements	0	-425,013	-444,140	-444,140	-464,126	-464,126
Less Turnover	0	0	-500,000	-650,000	-500,000	-650,000
TOTAL-Personal Services Net	27,401,249	29,516,393	32,583,227	31,101,221	34,095,281	32,626,665
	0	-51,000	-53,000	-53,000	-55,000	-55,000
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	42,567	39,507	40,365	39,507	41,536	39,507
Rentals, Storage and Leasing	89,831	84,145	85,971	84,145	88,464	84,145
Telecommunication Services	90,585	84,074	85,899	84,074	88,391	84,074
General Repairs	43,679	44,019	44,975	44,019	46,278	44,019

Budget-in-Detail

Motor Vehicle Expenses	11,422	10,601	10,831	10,601	11,145	10,601
Fees for Outside Professional Services	7,284	6,790	6,937	6,790	7,138	6,790
Fees for Non-Professional Services	318,463	295,779	315,643	309,363	324,218	309,363
DP Services, Rentals and Maintenance	77,202	71,652	123,207	71,652	125,330	71,652
Postage	41,859	38,851	39,694	36,211	40,846	36,211
Travel	132,328	150,488	167,900	150,488	167,231	150,488
Other Contractual Services	4,032	17,522	20,908	20,783	21,079	20,783
Advertising and Marketing	2,846	7,430	7,591	7,430	7,811	7,430
Printing & Binding	11,265	10,455	10,682	10,455	10,992	10,455
<u>Other Expenses-Commodities</u>						
Books	910	845	863	845	888	845
Maintenance and Motor Vehicle Supplies	5,980	5,550	5,968	5,550	6,137	5,550
Office Supplies	131,966	122,783	123,603	120,977	127,187	120,977
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	1,540	1,429	1,460	1,429	1,502	1,429
TOTAL-Other Expenses Gross	1,013,759	991,920	1,092,497	1,004,319	1,116,173	1,004,319
Less Reimbursements	0	-51,000	-53,000	-53,000	-55,000	-55,000
TOTAL-Other Expenses Net	1,013,759	940,920	1,039,497	951,319	1,061,173	949,319
<u>Nonfunctional - Change to Accruals</u>	0	0	0	199,953	0	209,407

**Character & Major Object Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services Net	27,401,249	29,516,393	32,583,227	31,431,409	31,101,221	34,095,281	32,990,085	32,626,665
Other Expenses Net	1,013,759	940,920	1,039,497	975,351	951,319	1,061,173	997,027	949,319
Capital Outlay	0	1	0	1	1	0	1	1
Nonfunctional - Change to Accruals	0	0	0	217,038	199,953	0	212,164	209,407
TOTAL-General Fund Net	28,415,008	30,457,314	33,622,724	32,623,799	32,252,494	35,156,454	34,199,277	33,785,392
<u>Additional Funds Available</u>								
Federal and Other Activities	80,000	80,000	80,000	80,000	80,000	80,000	80,000	80,000
Second Injury & Compensation Assurance	1,185,733	1,013,378	1,043,779	1,043,779	1,043,779	1,075,092	1,075,092	1,075,092
Private Funds	155,277	157,000	162,000	162,000	162,000	167,000	167,000	167,000
TOTAL-All Funds Net	29,836,018	31,707,692	34,908,503	33,909,578	33,538,273	36,478,546	35,521,369	35,107,484

# DIVISION OF CRIMINAL JUSTICE

## AGENCY DESCRIPTION

The Division of Criminal Justice is constitutionally charged with the investigation and prosecution of all criminal matters in the Superior Court. Pursuant to Article 23 of the Connecticut Constitution, the division's mission is to contribute to the due process of criminal law and to achieve justice. Article 23, enacted by the voters in 1984, established the division as an Executive Branch agency and transferred it from the Judicial Branch.

The Chief State's Attorney, as administrative head of the agency, is responsible for planning and establishing agency policy and administering the operations and activities of the central office and over 50 prosecutor's offices throughout the state.

The division is organized into three major activity areas: investigation and prosecution, appellate and collateral litigation, and management and support services. These program areas include: prosecution of all felonies, misdemeanors, infractions, motor vehicle offenses and violations arising under state statutes; investigation and prosecution of particular crimes and offenses of statewide scope and/or requiring

special expertise and representation of the state in all appellate, post-trial and post-conviction proceedings related to criminal matters.

The division has expanded its activities in the areas of public integrity, "cold case" investigation, prosecution of elder abuse, Medicaid fraud, gun violence prosecution, computer crime, neighborhood prosecution, domestic violence, youth violence, recorded custodial interrogation research, and drunk driving.

The inclusion of juvenile prosecution in the division's repertoire of duties continues to present specialized issues. The division attained jurisdiction over juvenile prosecution as a result of Public Act No. 95-225. Juvenile offenders provide special challenges to prosecutors in that some juveniles may best be diverted to rehabilitative programs to avoid judicial action and detention. However, some juvenile offenders commit crimes serious enough to warrant their transfer to the adult docket.

## AGENCY PROGRAM INDEX

Investigation & Prosecution	96	Management and Support Services	100
Appellate & Collateral Litigation	99		

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation - General Fund	-75,612	-159,823
• Annualize FY 2013 Rescissions	-74,277	-74,277
• Annualize FY 2013 Deficit Mitigation Plan <i>Removes funding for Cold Case Unit vacancy.</i>	-50,898	-54,046
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-5,364	-5,364
• Streamline Agency Account Structure <i>Funding for the Cold Case Unit and Shooting Task Force accounts has been consolidated into Personal Services and Other Expenses.</i>	0	0
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts - General Fund	50,913	17,694

## AGENCY PROGRAMS

<b>Personnel Summary</b>	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	472	14	-3	483	483	482	483	482
Workers' Compensation Fund	4	0	0	4	4	4	4	4
Federal and Other Activities	9	0	1	10	1	1	1	1
<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>	<u>Requested</u>	<u>Services</u>	<u>Recommended</u>
Investigation & Prosecution	42,615,218	42,537,442	43,212,156	43,048,053	42,865,712	45,322,380	45,149,933	44,916,236
Appellate & Collateral Litigation	4,689,615	4,515,058	4,801,464	4,769,100	4,881,949	4,999,941	4,963,004	5,078,802
Management and Support Services	4,943,869	5,286,276	4,622,306	4,557,326	4,420,667	4,523,297	4,452,330	4,276,719
TOTAL Agency Programs - All Funds Gross	52,248,702	52,338,776	52,635,926	52,374,479	52,168,328	54,845,618	54,565,267	54,271,757
Less Turnover	0	0	-200,000	-584,446	-584,446	-206,000	-678,844	-678,844
Nonfunctional - Change to Accruals	0	0	0	250,880	301,793	0	280,415	298,109
TOTAL Agency Programs - All Funds Net	52,248,702	52,338,776	52,435,926	52,040,913	51,885,675	54,639,618	54,166,838	53,891,022

## Budget-in-Detail

### Summary of Funding

General Fund Net	49,069,650	48,835,928	51,109,337	50,729,404	50,574,166	53,539,656	53,077,883	52,802,067
Workers' Compensation Fund Net	461,580	719,464	647,462	632,382	632,382	688,782	677,775	677,775
Federal and Other Activities	2,143,165	2,412,443	479,127	479,127	479,127	211,180	211,180	211,180
Private Funds	574,307	370,941	200,000	200,000	200,000	200,000	200,000	200,000
TOTAL Agency Programs - All Funds Net	52,248,702	52,338,776	52,435,926	52,040,913	51,885,675	54,639,618	54,166,838	53,891,022

## INVESTIGATION AND PROSECUTION

### **Statutory References**

C.G.S. Sections 51-276, 51-286e, 54-82l-m and 54-36h.

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

To represent the people of the State of Connecticut in the investigation and prosecution of all felonies, misdemeanors and motor vehicle offenses against the laws of the State of Connecticut and the ordinances of local government after arrest by state or local law enforcement officials.

### **Program Description**

Thirteen Judicial District (JD) State's Attorneys' Offices handle major felonies. Twenty Geographic Area (GA) Offices are responsible for lesser felonies and misdemeanors, including motor vehicle and criminal infractions. Thirteen Juvenile Matters Offices are responsible for juvenile crimes.

Connecticut prosecutors are assigned to specific offices and the process of handling cases is the same in both JD and GA locations.

Throughout the process, significant time may be spent in negotiation with defense counsel, with the anticipated result being that many cases are resolved without a jury or court trial. In capital cases, prosecution requires the attention of more than one prosecutor and centralized research assistance is provided by Appellate Bureau staff that specializes in capital litigation.

In addition to the ongoing review of filed criminal cases, substantial prosecutor time must be devoted to the review and issuance of arrest, re-arrest and search warrants, as well as post-conviction actions, and the collection of forfeited bail bonds. The division is responsible for the extradition of prisoners from other states and for bringing in witnesses needed for trial who reside in other states.

Juvenile Prosecution became the responsibility of the Division of Criminal Justice in 1996. The prosecution of juvenile delinquents and status offenders runs the gamut of offenses from truancy to capital crimes. The division has taken substantial steps to improve the effectiveness of juvenile prosecution by hiring Supervisory Prosecutors and additional Juvenile Investigators and prosecutors in juvenile offices and upgrading the technology used by the staff. The State's Attorneys provide supervision of the juvenile matters staff while the Office of the Chief State's Attorney provides statewide coordination of juvenile matters as well as training and educational programs for staff, police agencies, schools and community groups. The division handles in excess of 15,000 juvenile delinquency matters each year, which, while down from peak numbers in past biennia due in part to increased use of graduated sanctions and community-based diversion programs, is a figure that will rise as ongoing implementation of the "Raise the Age" legislation brings 16 and 17-year-olds into the juvenile courts. Between July 1, 2012 (the first date that 17-year-olds became subject to "Families With Service Needs" laws) and November 30, 2012 there has been an eighteen percent increase in the number of delinquency cases received by the juvenile court compared to the same time period in the previous year.

The Asset Forfeiture Bureau works in conjunction with prosecutors handling drug-related prosecutions by filing civil actions, where appropriate, for the forfeiture to the state of property or assets used in the commission of the drug-related crime as a means to deter criminal activity. The bureau provides revenue to the state and programs for local and state agencies through forfeited assets. In Fiscal Year 2012 over \$3 million was collected in drug asset forfeitures. The bureau represents the state in the collection of bonds forfeited in criminal cases, with an average annual collection of \$2 million over the past three years.

The *Nuisance Abatement Unit*, within the Asset Forfeiture Bureau, employs two prosecutors assigned to handle Nuisance Abatement cases. These prosecutors are responsible for filing civil actions seeking injunctive relief against criminal nuisances as authorized in Connecticut General Statutes Section 19a-343, et seq. In addition to litigation responsibilities, the prosecutors conduct training of law enforcement personnel for nuisance abatement investigations and conduct community group education regarding the program. Another function of the nuisance abatement program is to provide cooperating landlords an opportunity to correct problems at their properties with the assistance of local police and the Chief State's Attorney's Office.

Housing Court Prosecutors deal with criminal cases in the state's urban areas and deal with issues including fire code violations, lead paint abatement and building code violations. This equates to approximately 200 prosecutions per year.

Community Court, through an innovative partnership between the Judicial Branch, city officials and the Division of Criminal Justice, handles "quality of life" offenses which otherwise would be assigned to the regular court docket. These crimes and violations are targeted because of their impact on the public safety of citizens and their contribution to the deterioration of many neighborhoods. In FY 2012, the division prosecuted 12,918 cases, resulting in 27,757 hours of community service, 2,314 referrals to human service providers and over 1,000 referrals to Hartford-area mediation.

The Office of the Chief State's Attorney conducts investigations and prosecutions on a statewide basis in a number of different specialized areas. These investigations are often highly technical, complex or statewide in nature. In the majority of cases that fall into these areas, referrals will be made from state or local police departments or the State's Attorney's Offices. In order to improve the effectiveness and efficiency of investigative and prosecutorial functions, a new organizational structure has been implemented. This new structure enables the division to draw upon experienced prosecutors and inspectors, allowing the agency as a whole to respond to surges in demand in particular program areas and to work more efficiently with the State's Attorneys' offices as well as state, local and federal law enforcement agencies.

The *Statewide Prosecution Bureau* has responsibility for public integrity matters, elder abuse, and environmental and other financial crimes. Highlights include the investigation and prosecution of public corruption; elder abuse prosecutorial activities to combat the

increasing incidence of crimes against the elderly which range from telemarketing scams to physical abuse (such cases are segregated and vertically prosecuted with an annual average of 85 open cases representing over \$7 million in financial abuse alone); and the investigation and prosecution of criminal violations relating to economic fraud, social services recipient and provider fraud, private health care fraud, environmental laws, election laws and other designated matters. Significant subunit activities include:

*The Worker's Compensation Fraud Control Bureau, within the Statewide Prosecution Bureau* at the Chief State's Attorney's Office has the broad responsibility of investigating and prosecuting offenses related to workers' compensation fraud.

*The Medicaid Fraud Control Unit, also within the Statewide Prosecution Bureau, protects the State of Connecticut and its citizens by investigating and prosecuting fraud committed by health care professionals and facilities that provide services paid for by the Connecticut Medicaid program. In addition, the unit investigates and prosecutes abuse and neglect of patients by Medicaid providers as well as misappropriation of patients' personal funds. In FY 2012, penalty fees, restitution and recovery proceeds collections exceeded \$7 million.*

The *Statewide Prosecution Bureau* also investigates organized crime, domestic violence, narcotics and other violent crimes. Highlights include the vertical prosecution of gang and gun-related crimes across the state, as well as other organized criminal activity, through use of the state's CORA (Corrupt Organization and Racketeering Act) laws. Significant subunit activities include:

Domestic Violence Prosecution in the Division of Criminal Justice, through a combination of state and federal funding, has been enhanced in the Judicial Districts of Ansonia/Milford, Fairfield, Hartford, New Britain, New Haven, Stamford, Waterbury, and Windham (with a special emphasis on rural domestic violence and child sexual assault issues) where prosecutors and investigators are given specialized training and handle domestic violence cases exclusively. They work with judicial, police and social service agencies to create a global approach that recognizes the special needs of victims and the importance of accountability for offenders. This approach includes expertise in the investigation and prosecution of statutory rape and also includes outreach programs designed to prevent teen pregnancy. Federal funding has also enabled the division to establish a centralized Domestic Violence Unit, which assists in domestic violence investigation and prosecution as well as in the formation, codification, dissemination and implementation of

best policies and procedures. The centralized unit also conducts in-depth statewide trainings on specialized domestic violence topics including the prosecution of strangulation crimes. The unit has, with federal funding, initiated a groundbreaking camera kit project to assist police departments in documenting domestic violence incidents.

*The Cold Case Unit* investigates and prosecutes serious crimes that have gone "cold," or unsolved for a long period of time. The cases assigned to this unit typically include unsolved murders, some of which took place decades ago. The unit works with the Connecticut State Police, local police departments, and nationally recognized forensics experts. The unit has obtained convictions in fifteen cases in which arrests have been made, a significant majority of them homicides.

*Shooting Task Forces* were established by the Office of the Chief State's Attorney in 2011 and currently are deployed in Hartford, New Haven, and New Britain. These teams link experienced Division of Criminal Justice Inspectors with state and local police officers to aggressively investigate cases involving known shooters in Connecticut's most violent cities. Since the inception of a shooting team in July 2011, the City of Hartford has seen a decrease of approximately 33% in the number of persons struck by gunfire. In a much shorter period of time the City of New Haven also has seen a notable decline in shootings, thus prompting the City of New Britain to request the initiation of a shooting team there, which began operation in the Fall of 2012.

*The Witness Protection Unit* was created in 1999 as a result of Public Act 99-40 and implements the Leroy Brown, Jr. and Karen Clarke Witness Protection Program. The unit administers a statewide program, in cooperation with the State's Attorneys and local, state and federal law enforcement agencies, to identify and protect witnesses in criminal proceedings where there is evidence of substantial danger that they may suffer from intimidation or retaliatory violence. Services rendered include temporary relocation, semi-permanent relocation in or outside Connecticut and police protection. Since its inception, the unit has handled 646 witness protection matters and has assisted 1,635 persons with some form of protection.

*The Centralized Case Presentation Unit, within the Office of the Chief State's Attorney, formed with federal assistance, assists prosecutors statewide in the collection and usage of digitized evidence and in utilizing the latest technology in trial presentations.*

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
<b>ADULT PROSECUTION:</b>				
Active pending cases - JD (July 1)		3,600	3,600	3,600
Active pending cases - GA (July 1) - includes motor vehicle	56,691	57,000	57,000	57,000
Cases added - JD	3,266	3,300	3,300	3,300
Cases added - GA - includes motor vehicle	293,853	294,000	294,000	294,000
Pending cases per FT JD prosecutor		45	45	45
Pending cases per FT GA prosecutor	515	515	515	515
Trials - JD	132	132	132	132
Dispositions - JD	3,386	3,400	3,400	3,400
Dispositions - GA - includes motor vehicle	298,544	299,000	299,000	299,000
<b>JUVENILE PROSECUTION:</b>				
Delinquency Case In-Take	10,386	10,400	10,400	10,400
Delinquency Case Disposals	10,922	11,000	11,000	11,000

Budget-in-Detail

Family with Service Needs - Intake	3,149	3,149	3,149	3,149
Family with Service Needs - Disposals	3,230	3,230	3,230	3,230
Youth in Crisis - New Cases	450	450	450	450
Youth in Crisis - Disposed Cases	481	481	481	481
SPECIALIZED PROSECUTION UNITS:				
FINANCIAL CRIMES BUREAU:				
Investigations Opened	112	112	112	112
Investigations Closed	127	127	127	127
VIOLENT CRIMES BUREAU:				
Investigations Opened	55	55	55	55
Investigations Closed	57	57	57	57
MEDICAID FRAUD CONTROL UNIT:				
Investigations Opened	72	72	72	72
Investigations Closed	69	69	69	69
WORKERS' COMPENSATION FRAUD CONTROL UNIT:				
Investigations Opened	30	30	30	30
Investigations Closed	44	44	44	44
ALL SPECIALIZED PROSECUTION UNITS:				
Restitution (\$)	421,023	450,000	450,000	450,000
DRUG ASSET FORFEITURE BUREAU:				
New Cases (2012)	1,049	1,049	1,049	1,049
Disposed Cases (2012)	1,063	1,063	1,063	1,063
Forfeitures Collected (DCJ Share only)	319,761	200,000	200,000	200,000

**INVESTIGATION & PROSECUTION**

**Personnel Summary**

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
Permanent Full-Time Positions								
General Fund	400	11	0	411	411	410	411	410
Workers' Compensation Fund	4	0	0	4	4	4	4	4
Federal and Other Activities	9	0	1	10	1	1	1	1

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
<b>(Net of Reimbursements)</b>								
Personal Services	38,020,535	36,237,919	38,113,796	38,009,133	38,936,124	40,016,027	39,911,257	40,895,721
Other Expenses	1,442,052	1,406,785	1,449,927	1,449,927	1,490,768	1,492,165	1,492,165	1,489,563
<u>Capital Outlay</u>								
Equipment	1	23,401	0	1	1	0	1	1
<u>Other Current Expenses</u>								
Witness Protection	30,229	40,899	50,000	38,825	38,825	50,000	37,970	37,970
Training and Education	24,894	31,550	32,405	23,975	22,460	33,345	23,956	22,442
Expert Witnesses	213,594	115,223	220,000	195,192	195,192	225,000	194,664	194,664
Medicaid Fraud Control	676,971	1,155,149	1,151,372	1,151,372	1,151,372	1,191,890	1,191,890	1,191,890
Cold Case Unit	0	236,797	195,874	195,874	0*	208,768	208,768	0*
Shooting Taskforce	0	958,957	952,784	952,784	0*	1,005,277	1,005,277	0*
TOTAL-General Fund	40,408,276	40,206,680	42,166,158	42,017,083	41,834,742	44,222,472	44,065,948	43,832,251
Personal Services	282,626	407,580	358,609	358,609	358,609	382,159	382,159	382,159
Other Expenses	9,011	30,602	32,029	17,000	17,000	32,924	17,000	17,000
<u>Capital Outlay</u>								
Equipment	0	1	0	1	1	0	1	1
<u>Other Current Expenses</u>								
Fringe Benefits	169,928	281,230	256,772	256,772	256,772	273,645	273,645	273,645
TOTAL-Workers' Compensation Fund	461,565	719,413	647,410	632,382	632,382	688,728	672,805	672,805
<u>Additional Funds Available</u>								
Private Funds	572,240	370,941	200,000	200,000	200,000	200,000	200,000	200,000
<b>Federal Contributions</b>								
Audit Criminal History - fed shar	10,452	0	0	0	0	0	0	0
COLD CASE UNIT - FED SHARE	131,250	0	0	0	0	0	0	0
Dom Viol Prosecution Fed Share	59,998	0	0	0	0	0	0	0
Htfd. Shooting Task Force	61,711	0	0	0	0	0	0	0
IT Initiative - Phase 2	1,127	0	0	0	0	0	0	0

16579 Byrne Formula Grant Program	198,194	499,608	0	0	0	0	0	0
16586 Violent Offender Incarceration/Truth Sentencing	659,310	552,077	0	0	0	0	0	0
20600 State & Community Highway Safety	38,615	188,723	198,588	198,588	198,588	211,180	211,180	211,180
99125 Forfeited Property Sharing	12,480	0	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>42,615,218</b>	<b>42,537,442</b>	<b>43,212,156</b>	<b>43,048,053</b>	<b>42,865,712</b>	<b>45,322,380</b>	<b>45,149,933</b>	<b>44,916,236</b>

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

## APPELLATE AND COLLATERAL LITIGATION

### Statutory Reference

C.G.S. Sections 51-276, 51-277, 51-279 and 51-279b.

### Statement of Need and Program Objectives

To participate on behalf of the state in all appellate, post-trial and post-conviction proceedings arising out of the initiation of any criminal action, whether or not the proceedings are denominated civil or criminal for other purposes. To provide research in matters of criminal law and legislation to further specific prosecutorial action and agency policy.

### Program Description

Criminal prosecution and investigation generates numerous pre- or post-arrest activities. The Appellate Bureau's activities include: handling direct appeals in criminal cases, whether in the state or federal appellate court system; representing the state in state and

federal habeas corpus matters referred to it by the field offices; conducting legal research to assist division personnel as well as responding to state and municipal law enforcement agencies' information requests; coordinating capital research and litigation on a statewide basis; providing representation of agency interests in collateral litigation, such as habeas corpus and subpoenas of agency personnel and the collection of bonds forfeited in criminal cases.

The bureau also assists in the preparation, editing and publication of legal summaries, manuals and handbooks that are disseminated to division personnel and others to be used in training.

The Civil Litigation Bureau's primary focus is the representation of the division's interests in civil matters not otherwise handled by the agency's prosecutors or the Attorney General's Office.

<b>Program Measure</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimated</b>	<b>FY 2014 Projected</b>	<b>FY 2015 Projected</b>
<b>APPELLATE &amp; COLLATERAL LITIGATION:</b>				
State Supreme & Appellate Court Appeals Opened	284	284	284	284
State Supreme & Appellate Court Appeals Closed	318	318	318	318
State Supreme & Appellate Court Appelas Pending	1,024	1,024	1,024	1,024
Habeas Corpus, State & Federal Court Pending	810	1,100	1,100	1,100
Bond Forfeiture Collections	1,087,950	1,100,000	1,100,000	1,100,000

## APPELLATE & COLLATERAL LITIGATION

### Personnel Summary

	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	38	3	-2	39	39	39	39	39

### Financial Summary

<b>(Net of Reimbursements)</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	4,454,744	4,245,883	4,526,454	4,514,024	4,624,115	4,716,621	4,704,272	4,820,309
Other Expenses	98,816	97,448	99,551	99,546	102,350	102,423	102,423	102,246
<b>Other Current Expenses</b>								
Training and Education	693	950	976	722	676	1,354	973	911
Expert Witnesses	134,777	170,777	174,483	154,808	154,808	179,543	155,336	155,336
<b>TOTAL-General Fund</b>	<b>4,689,030</b>	<b>4,515,058</b>	<b>4,801,464</b>	<b>4,769,100</b>	<b>4,881,949</b>	<b>4,999,941</b>	<b>4,963,004</b>	<b>5,078,802</b>

### Additional Funds Available

#### Federal Contributions

IT Initiative - Phase 2	585	0	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>4,689,615</b>	<b>4,515,058</b>	<b>4,801,464</b>	<b>4,769,100</b>	<b>4,881,949</b>	<b>4,999,941</b>	<b>4,963,004</b>	<b>5,078,802</b>

## MANAGEMENT AND SUPPORT SERVICES

**Statutory Reference**

C.G.S. Sections 51-276 and 54-142h.

**Statement of Need and Program Objectives**

To direct and coordinate the policy, planning and administration of the Division of Criminal Justice. To ensure that the personnel, payroll, budgeting, accounting, information technology, training and service requirements of the central office and 50 geographically disparate field offices are met in a timely and efficient manner.

**Program Description**

Management and Support Services coordinate a variety of activities and services that respond to the programmatic and logistical demands of the division. The responsibilities include: establishing and enforcing policy for the division, developing and supporting legislation related to the criminal justice process, coordinating training and developing manuals related to new issues in prosecution and the law, implementing collective bargaining agreements and coordinating all contracts and grant applications and awards.

In addition, planning, implementation and service delivery for budget, payroll, purchasing, accounting, auditing, data systems, inventory control, communications and personnel functions, including labor relations, are handled in the central office. Financial and personnel records are maintained for each office location and in aggregate.

Management and Support Services is also responsible for providing information technology policies and strategies in conjunction with the Department of Administrative Services' Bureau of Enterprise Systems and Technology, law enforcement and other agencies (such as planning for major infrastructure improvements), developing and implementing electronic case management, establishing electronic means for document management and legal research and implementing the Criminal Justice Information System (CJIS) initiatives. Federal grants totaling more than \$3 million were secured to support these activities.

Further duties include delivering in-service training on issues of criminal law, ethics and forensic science, as well as diversity training, workplace violence training and management training. The division has prepared a criminal records manual for police departments and has conducted training sessions for police records officers. It also provides an Employee Assistance Program (EAP) in conjunction with the University of Connecticut. Other activities performed by Management Services include: responding to Freedom of Information Act requests, processing complaints concerning division personnel; coordinating prisoner transportation for extradition; planning facilities for field offices; records retention; managing the agency's fleet of vehicles; coordinating firearms training and law enforcement related purchases and organizing, conducting, and tracking training sessions for prosecutors and support staff. The division is required by statute to conduct audits of randomly-selected agencies retaining criminal records to insure that these agencies comply with state law.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
MANAGEMENT & SUPPORT SERVICES:				
Purchase Requisitions Processed			500	500
Purchase Orders Processed	1,631	1,600	1,600	1,600
Vouchers Processed	4,347	4,300	4,300	4,300
TRAINING:				
# of Professional Development Experiences for All Employees	1,466	1,466	1,466	1,466
# of Prosecutor Professional Development Training Experiences	333	333	333	333
# of Employees Trained in Sexual Harassment Prevention	9	9	9	9
Witness Protection Cases Provided Assistance	53	53	53	53

## MANAGEMENT AND SUPPORT SERVICES

**Personnel Summary**

Permanent Full-Time Positions	As of 06/30/2012		FY 2013	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Filled	Vacant	Change	Total	Requested	Recommended	Requested	Recommended
General Fund	34	0	-1	33	33	33	33	33

**Financial Summary****(Net of Reimbursements)**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	2,971,614	2,867,635	2,880,054	2,872,145	2,942,193	3,010,430	3,002,548	3,076,610
Other Expenses	831,149	810,120	981,756	981,761	1,009,415	1,012,719	1,012,719	1,010,951
<b>Other Current Expenses</b>								
Witness Protection	144,010	179,101	207,566	161,175	161,175	213,364	162,030	162,030
Training and Education	25,191	35,000	38,760	28,677	26,864	39,592	28,445	26,647
Criminal Justice Commission	380	395	1,050	500	481	1,050	500	481
Cold Case Unit	0	118,275	122,687	122,687	0*	129,645	129,645	0*
Shooting Taskforce	0	103,664	109,842	109,842	0*	116,443	116,443	0*
TOTAL-General Fund	3,972,344	4,114,190	4,341,715	4,276,787	4,140,128	4,523,243	4,452,330	4,276,719
Other Expenses	15	51	52	0	0	54	0	0
TOTAL-Workers' Compensation Fund	15	51	52	0	0	54	0	0

Additional Funds Available

Private Funds	2,067	0	0	0	0	0	0	0
<b>Federal Contributions</b>								
ARRA IT Initiative - Phase 4	163,722	196,571	0	0	0	0	0	0
Audit Criminal History - fed shar	8,265	0	0	0	0	0	0	0
COLD CASE UNIT - FED SHARE	16,073	0	0	0	0	0	0	0
Htfd. Shooting Task Force	2,073	0	0	0	0	0	0	0
IT Initiative - Phase 1	290,337	14,200	0	0	0	0	0	0
IT Initiative - Phase 2	148,973	211,264	0	0	0	0	0	0
IT Initiative - Phase 3	340,000	750,000	280,539	280,539	280,539	0	0	0
TOTAL - All Funds	4,943,869	5,286,276	4,622,306	4,557,326	4,420,667	4,523,297	4,452,330	4,276,719

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	42,502,441	40,768,192	42,817,189	43,808,262	44,993,717	46,054,367
Other Positions	1,005,277	1,060,167	1,060,167	1,084,706	1,060,167	1,085,159
Other	1,939,175	1,523,078	1,642,948	1,609,464	1,689,194	1,653,114
TOTAL-Personal Services Gross	45,446,893	43,351,437	45,520,304	46,502,432	47,743,078	48,792,640
Less Reimbursements						
Less Turnover	0	0	-200,000	-584,446	-206,000	-678,844
TOTAL-Personal Services Net	45,446,893	43,351,437	45,320,304	45,917,986	47,537,078	48,113,796
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	30,840	31,169	31,846	32,743	32,770	32,713
Utility Services	161,743	157,788	165,347	170,004	175,489	175,182
Rentals, Storage and Leasing	297,430	290,398	296,699	305,056	305,305	304,773
Telecommunication Services	115,436	112,614	115,058	118,299	118,395	118,188
General Repairs	134,964	131,689	134,549	138,339	138,451	138,211
Motor Vehicle Expenses	50,063	48,839	49,899	51,304	51,346	51,257
Insurance	21,100	21,486	21,952	22,575	22,589	22,550
Fees for Outside Professional Services	68,865	68,948	70,445	72,429	72,488	72,361
Fees for Non-Professional Services	251,948	247,596	252,966	260,089	260,301	259,847
DP Services, Rentals and Maintenance	100,890	98,423	241,828	248,640	245,025	244,598
Postage	18,710	18,167	18,562	19,085	19,100	19,067
Travel	54,491	52,548	53,687	55,199	55,245	55,149
Other Contractual Services	464,289	448,321	458,050	470,952	471,333	470,510
Advertising and Marketing	4,869	4,800	4,904	5,042	5,046	5,035
<u>Other Expenses-Commodities</u>						
Books	886	864	883	908	909	907
Clothing and Personal Supplies	15	0	0	0	0	0
Maintenance and Motor Vehicle Supplies	344,636	336,246	358,786	368,892	368,947	368,304
Medical Supplies	736	718	750	771	782	781
Fuel	17,691	17,259	23,720	24,388	25,929	25,884
Office Supplies	219,304	213,960	218,533	224,689	224,777	224,385
Refunds of Expenditures Not Otherwise Classified	7,534	7,313	7,471	7,681	7,688	7,675
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	5,377	5,207	5,299	5,448	5,392	5,383
Sundry - Other Items	200	0	0	0	0	0
TOTAL-Other Expenses Gross	2,372,017	2,314,353	2,531,234	2,602,533	2,607,307	2,602,760
Less Reimbursements						
TOTAL-Other Expenses Net	2,372,017	2,314,353	2,531,234	2,602,533	2,607,307	2,602,760

Budget-in-Detail

Other Current Expenses

Witness Protection	174,239	220,000	257,566	200,000	263,364	200,000
Training and Education	50,778	67,500	72,141	50,000	74,291	50,000
Expert Witnesses	348,371	286,000	394,483	350,000	404,543	350,000
Medicaid Fraud Control	676,971	1,155,149	1,151,372	1,151,372	1,191,890	1,191,890
Criminal Justice Commission	380	395	1,050	481	1,050	481
Cold Case Unit	0	355,072	318,561	0*	338,413	0*
Shooting Taskforce	0	1,062,621	1,062,626	0*	1,121,720	0*
<b>TOTAL-Other Current Expenses</b>	<b>1,250,739</b>	<b>3,146,737</b>	<b>3,257,799</b>	<b>1,751,853</b>	<b>3,395,271</b>	<b>1,792,371</b>

<u>Nonfunctional - Change to Accruals</u>	0	0	0	301,793	0	293,139
---	---	---	---	---------	---	---------

\* Funding for this account has been consolidated elsewhere within the agency's budget. For more information, please see the writeup(s) entitled 'Streamline Agency Account Structure.' Note that other adjustments to the account may also be applicable; such adjustments are referenced in other writeups.

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

<b>Current Expenses by Minor Object</b>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	<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	276,413	399,775	349,864	349,864	370,994	370,994
Other	6,213	7,805	8,745	8,745	11,165	11,165
<b>TOTAL-Personal Services Gross</b>	<b>282,626</b>	<b>407,580</b>	<b>358,609</b>	<b>358,609</b>	<b>382,159</b>	<b>382,159</b>
Less Reimbursements						
Less Turnover						
<b>TOTAL-Personal Services Net</b>	<b>282,626</b>	<b>407,580</b>	<b>358,609</b>	<b>358,609</b>	<b>382,159</b>	<b>382,159</b>
<u>Other Expenses-Contractual Services</u>						
Telecommunication Services	344	1,168	1,193	632	1,228	633
Motor Vehicle Expenses	471	1,000	1,022	542	1,051	542
DP Services, Rentals and Maintenance	60	204	208	110	214	110
Postage	15	51	52	28	54	28
Travel	214	727	743	394	765	394
Other Contractual Services	351	1,048	1,071	568	1,102	568
<u>Other Expenses-Commodities</u>						
Maintenance and Motor Vehicle Supplies	7,203	25,199	27,016	14,316	27,766	14,314
Office Supplies	224	760	776	410	798	411
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	144	496	0	0	0	0
<b>TOTAL-Other Expenses Gross</b>	<b>9,026</b>	<b>30,653</b>	<b>32,081</b>	<b>17,000</b>	<b>32,978</b>	<b>17,000</b>
Less Reimbursements						
<b>TOTAL-Other Expenses Net</b>	<b>9,026</b>	<b>30,653</b>	<b>32,081</b>	<b>17,000</b>	<b>32,978</b>	<b>17,000</b>
<u>Other Current Expenses</u>						
Fringe Benefits	169,928	281,230	256,772	256,772	273,645	273,645
<b>TOTAL-Other Current Expenses</b>	<b>169,928</b>	<b>281,230</b>	<b>256,772</b>	<b>256,772</b>	<b>273,645</b>	<b>273,645</b>
<u>Nonfunctional - Change to Accruals</u>	0	0	0	0	0	4,970

<b>Character &amp; Major Object Summary</b>	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	<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	45,446,893	43,351,437	45,320,304	44,810,856	45,917,986	47,537,078	46,939,233	48,113,796
Other Expenses Net	2,372,017	2,314,353	2,531,234	2,531,234	2,602,533	2,607,307	2,607,307	2,602,760
Capital Outlay	1	23,401	0	1	1	0	1	1
Other Current Expenses	1,250,739	3,146,737	3,257,799	3,136,433	1,751,853	3,395,271	3,255,897	1,792,371
Nonfunctional - Change to Accruals	0	0	0	250,880	301,793	0	275,445	293,139
<b>TOTAL-General Fund Net</b>	<b>49,069,650</b>	<b>48,835,928</b>	<b>51,109,337</b>	<b>50,729,404</b>	<b>50,574,166</b>	<b>53,539,656</b>	<b>53,077,883</b>	<b>52,802,067</b>
Personal Services Net	282,626	407,580	358,609	358,609	358,609	382,159	382,159	382,159
Other Expenses Net	9,026	30,653	32,081	17,000	17,000	32,978	17,000	17,000
Capital Outlay	0	1	0	1	1	0	1	1
Other Current Expenses	169,928	281,230	256,772	256,772	256,772	273,645	273,645	273,645
Nonfunctional - Change to Accruals	0	0	0	0	0	0	4,970	4,970
<b>TOTAL-Workers' Compensation Fund Net</b>	<b>461,580</b>	<b>719,464</b>	<b>647,462</b>	<b>632,382</b>	<b>632,382</b>	<b>688,782</b>	<b>677,775</b>	<b>677,775</b>
<b><u>Additional Funds Available</u></b>								
Federal and Other Activities	2,143,165	2,412,443	479,127	479,127	479,127	211,180	211,180	211,180
Private Funds	574,307	370,941	200,000	200,000	200,000	200,000	200,000	200,000
<b>TOTAL-All Funds Net</b>	<b>52,248,702</b>	<b>52,338,776</b>	<b>52,435,926</b>	<b>52,040,913</b>	<b>51,885,675</b>	<b>54,639,618</b>	<b>54,166,838</b>	<b>53,891,022</b>