

## REGULATION AND PROTECTION

Department Of Emergency Services and Public Protection .....	105
Department of Motor Vehicles.....	120
Military Department.....	129
Department of Banking .....	134
Insurance Department.....	139
Office of Consumer Counsel .....	144
Office of the Healthcare Advocate .....	147
Department of Consumer Protection.....	150
Department of Labor .....	160
Commission On Human Rights & Opportunities .....	177
Office of Protection & Advocacy for Persons with Disabilities .....	180
Workers' Compensation Commission .....	184

# DEPARTMENT OF EMERGENCY SERVICES AND PUBLIC PROTECTION

## AGENCY DESCRIPTION

The Department of Emergency Services and Public Protection (DESPP) is committed to protecting and improving the quality of life for all by providing enforcement, regulatory, response and recovery, training, and scientific services through prevention, education, and innovative use of technology.

The Division of Emergency Management and Homeland Security (DEMHS) is charged with developing, administering and coordinating a comprehensive statewide emergency management and homeland security program that encompasses all human-made and natural hazards, and includes prevention, mitigation, preparedness, response and recovery components to ensure the safety and well-being of the citizens of Connecticut.

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

The Commission on Fire Prevention and Control (FPC) division is committed to reducing death, injury and property damage due to fire, emergencies and other disasters by increasing the proficiency of fire service personnel through training, education and recognition of professional competency through certification.

The Division of Scientific Services is comprised of three laboratories, the Forensic Laboratory, the Toxicology and Controlled Substance Laboratory: and the Computer Crime and Electronic Evidence

Laboratory. The three laboratories are centrally located at the Mulcahey complex in Meriden, fusing the agency's scientific investigative arm into one function. The Division of Scientific Services is unique in that it provides forensic services to both criminal prosecutors and to the public defender's office.

The Division of State Police is responsible for primary law enforcement services for all municipalities that do not have their own chartered police department. The state police provide additional special police resources to all municipalities on request. Special police services include the bomb squad, aviation unit, marine unit, dive team, tactical unit, canine search and rescue, arson cause and origin investigation and major crime investigative units. Police services are coordinated out of three districts and the Bureau of Criminal Investigations (BCI). Troopers are assigned to one of 11 troops, the casino unit or to the BCI where they work on one of the numerous task forces targeting specific public safety concerns. Troopers are also assigned to the Division of Scientific Services and the Division of Emergency Management and Homeland Security in the Office of Counter Terrorism.

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

## AGENCY PROGRAM INDEX

Police Services	106	Police Officer Standards and Training	113
Fire Investigations and Telecommunications	108	Fire Prevention and Control	114
Division of Scientific Services	110	Protective Services	116
Emergency Mgmt/Homeland Security	112	Administrative/Management Services	116

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation	-1,339,980	-2,448,018
• Remove Funding for Salary Increases for Appointed Officials	-54,031	-113,514
• Annualize FY 2013 Rescissions	-60,477	-60,477
• Annualize FY 2013 Deficit Mitigation Plan	-720,000	-720,000
• Reduce Overtime at the Division of Scientific Services	-503,239	-503,239
• Consolidate Dispatch Operations for the Central Region	-300,000	-300,000
• Civilianize the Background and Special Licensing and Firearms Investigations Units	-250,000	-250,000
• Seek Reimbursement from FEMA Administrative Funds	-210,000	0
<i>Work continues on approving repairs to damage that occurred during the two 2012 storms. The Department of Emergency Services and Public Protection will charge the Federal Emergency Management Agency (FEMA) for time spent on work related to the two storms.</i>		
• Reduce Other Expenses	-21,709	-21,709
• Reduce Funds as Recommended through the Telecommunication Cost Recovery Project	-13,000	-13,000

**Reallocations or Transfers**

- Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services -36,069 -36,069
  - Streamline Agency Account Structure 0 0
- Funding for the Regional Fire Training Schools has been combined into one account, while the two Maintenance of Fire Radio Network accounts have also been merged. Fleet Services has been consolidated into Other Expenses.*

**Technical Adjustments**

- Revise GAAP Accrual Amounts -624,078 33,243

**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	1,528	79	63	1,670	1,670	1,670	1,670	1,670
Federal and Other Activities	84	6	-5	85	85	85	85	85
			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>
Federal and Other Activities			3	3	3	3	3	3
<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>
Police Services	154,688,876	153,267,500	154,850,954	152,028,792	148,659,236	158,922,919	154,611,217	150,328,764
Fire Investigations and Telecommunications	29,496,418	2,372,558	2,531,375	2,527,803	2,527,131	2,590,016	2,586,226	2,585,138
Division of Scientific Services	9,302,464	7,647,467	10,468,801	10,391,918	10,583,919	10,943,995	10,815,020	11,058,404
Emergency Management/Homeland Security	55,719,743	86,258,782	62,753,456	62,738,751	62,631,914	52,705,318	52,690,442	52,668,905
Police Officer Standards and Training	2,039,438	1,615,680	1,903,998	1,893,800	1,887,526	1,988,089	1,978,161	1,963,419
Fire Prevention and Control	4,271,678	4,133,982	4,705,762	4,568,993	4,472,510	4,939,702	4,825,481	4,677,045
Protective Services	489,967	397,452	167,219	167,219	167,178	174,604	174,604	174,507
Administrative and Management Services	12,294,096	49,339,537	43,831,134	43,656,408	43,535,765	33,992,466	33,699,359	33,458,303
TOTAL Agency Programs - All Funds Gross	268,302,680	305,032,958	281,212,699	277,973,684	274,465,179	266,257,109	261,380,510	256,914,485
Less Turnover	0	0	-3,100,000	-4,153,836	-4,153,836	-3,100,000	-4,153,836	-4,153,836
Nonfunctional - Change to Accruals	0	0	0	1,355,109	731,031	0	644,757	678,000
TOTAL Agency Programs - All Funds Net	268,302,680	305,032,958	278,112,699	275,174,957	271,042,374	263,157,109	257,871,431	253,438,649
<u>Summary of Funding</u>								
General Fund Net	170,818,502	164,569,768	174,140,902	171,203,160	167,070,577	179,328,603	174,042,925	169,610,143
Federal and Other Activities	57,951,677	87,993,609	60,611,447	60,611,447	60,611,447	50,250,473	50,250,473	50,250,473
Special Funds, Non-Appropriated	62,556	1,270,804	200,000	200,000	200,000	200,000	200,000	200,000
Private Funds	39,469,945	51,198,777	43,160,350	43,160,350	43,160,350	33,378,033	33,378,033	33,378,033
TOTAL Agency Programs - All Funds Net	268,302,680	305,032,958	278,112,699	275,174,957	271,042,374	263,157,109	257,871,431	253,438,649

**POLICE SERVICES****Statutory Reference**

C.G.S. Sections 7-284, 29-4, 29-5, 29-7, 29-22, 29-7c, 29-23, 29-23a, 29-28 through 29-37, 29-38c, 29-38e, 29-153 through 29-161c, 29-165 through 29-179i, 54-222a.

**Statement of Need and Program Objectives**

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

**Program Description****STATE POLICE PATROL TROOPS**

The Connecticut State Police provide primary police service to 81 of Connecticut's 169 towns. These 81 towns encompass 55% of the state's geographical area. Additionally, the state police patrol 600 miles of limited access highways, 7,000 miles of state and local roads and render assistance to local police departments upon request. Police service is delivered by 11 troops strategically located and organized into three districts. The resident state trooper program, in existence since 1947, presently consists of 110 troopers assigned to 54 towns which have contracted to pay 70% of the cost and expenses associated with these assignments.

**TRAFFIC SERVICES UNIT**

The *Traffic Services Unit* is comprised of several specialized components directed towards promoting statewide traffic safety through education, enforcement and investigation. Aggressive driving teams are deployed utilizing non-conventional patrol vehicles and various speed detection equipment to identify speed and other hazardous moving violations. Commercial vehicle enforcement

teams conduct weight and safety inspections of commercial vehicle traffic traveling throughout the state. These teams are equipped with portable truck scales to conduct roving operations and also maintain a criminal enforcement presence at the state's six weigh stations. Their charge is to ensure that motor carriers comply with state laws and federal regulations related to size, weight, licensing, safety equipment and safe operations. The collision analysis reconstruction squad is made up of highly trained accident reconstructionists, utilizing specialized equipment and techniques, in order to accurately document collision scenes, analyze data and employ scientific methods to determine the causes and contributing factors of a collision. These accident reconstruction services support the department's 11 state police troops and all local police agencies in our state. The motorcycle program coordinates utilization of the department's motorcycle troopers throughout the year for patrol, traffic enforcement, traffic control and ceremonial duties for a wide variety of events. Through this program, the traffic services unit also trains state and local law enforcement officers to become police motorcycle riders. The seatbelt convincer and rollover demonstrator are both utilized at scores of public events each year to demonstrate the importance of utilizing occupant protection devices in motor vehicles. The breath alcohol testing vehicle is a self-contained processing vehicle, deployed at state and local law enforcement DUI checkpoints. The vehicle contains equipment to chemically test motorists who are suspected of driving while intoxicated, and eliminates the need to transport most arrested persons to a law enforcement facility for arrest processing. The railroad liaison office is also maintained within the Traffic Services Unit. This office serves as a liaison to railroads and their associated federal oversight agencies, as well as coordinates training and technical resources to state and local law enforcement agencies as it relates to railroad related enforcement and investigations.

#### CASINO LICENSING AND OPERATIONS UNIT

The Connecticut state police are tasked with providing law enforcement services at the state's casinos through the *Casino Licensing and Operations Unit*. The members of this unit, all of whom are state troopers, provide a variety of police services inside these casinos, including walking patrols; investigation of all crimes, including complex gaming violations; and dignitary protection and crowd control duties. Additionally, the unit is responsible for conducting background investigations for all prospective casino employees and entities conducting business with the casinos.

#### INVESTIGATIVE SERVICES

*Major Crime Squads* are strategically located in three districts to be available 24 hours a day to investigate crimes which occur in the 81 towns without organized police departments. These units investigate and coordinate investigations in conjunction with other state police units and local, state and federal agencies. In early 2012, the agency created a missing persons team made up of veteran detectives from the three district major crime squads. This team is tasked with investigating complex and cold missing and unidentified persons cases. The team's services are available for existing state police cases, as well as local police investigations, and have already enjoyed considerable investigative success in just the several months of its existence.

The Bureau of Criminal Investigations is comprised of a series of investigative task forces and units, which have been implemented to address long term quality of life issues. A significant portion of the units and task forces within the bureau were formed to function with the integration of local police officers, who are granted special state police authority while assigned to the bureau. The sub-units and task forces operating within the bureau consist of: Statewide Narcotics Task Force; Statewide Organized Crime Investigative Task Force; State Urban Violence and Cooperative Control Task Force; Central Criminal Intelligence Unit; Statewide Firearms Trafficking Task Force; Connecticut Regional Auto Theft Task Force; Statewide Fugitive Unit; Electronic Surveillance Lab; and Extradition Unit.

#### EMERGENCY SERVICES UNIT

Provides specialized support to state and local police agencies in six areas: the Hazardous Devices Unit / Bomb Squad, the Dive Team, the Canine Unit, the Tactical Unit, the Aviation Unit, and the Mass Transit Unit.

#### OFFICE OF COUNTER TERRORISM

The *Office of Counter Terrorism* consists of state troopers assigned to the Division of Emergency Management and Homeland Security. These state troopers coordinate efforts and foster partnerships with local, state, and federal agencies, implementing unified safety and security measures to prevent, mitigate, and manage incidents threatening the citizens of Connecticut. There are two other important units under the Office of Counter Terrorism, they are the Connecticut Intelligence Center/Fusion Center and the Joint Terrorism Task Force (troopers working with the FBI to combat terrorism).

<b>Program Measure</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimated</b>	<b>FY 2014 Projected</b>	<b>FY 2015 Projected</b>
Investigative Services				
Crimes against persons (% cleared)	0.693	0.7	0.7	0.7
Crimes against property (% cleared)	0.253	0.25	0.25	0.25
Support Services				
Assigned fleet <70,000 miles patrol	470	400	350	350
Assigned fleet <70,000 miles administration includes under cover	384	350	300	300
Licenses/Permits *	36954	62530	63000	63000
In-service training (avg hrs/trooper)	24	32	40	40
Professional Standards				
Complaints	272	300	300	300
Internal Affairs	92	100	100	100
Use of Force	191	200	200	200



certification, public safety frequency coordination, funding for regional communications centers, funding for cities with populations greater than 40,000, public safety answering points (PSAPs), grant assistance for capital expenses for PSAPs and grant assistance for coordinated medical emergency direction (CMED). OSET provides all state and local public safety agencies with street centerline and street address information (geographic information systems – GIS) for emergency response purposes. OSET also provides chairmanship and plan development for the six New England state 700 MHz, 800MHz and 4.9 GHz planning committees.

Phase one of the public safety data network is the connection of 111 locations, 106 PSAPs and DESPP HQ, DESPP Rocky Hill, DESPP Meriden campus and Bureau of Enterprise Systems and Technology/DAS in East Hartford, through a high speed, fiber optic

network. The network will provide the connectivity needed to provide improved 9-1-1 services, deliver greater reliability and speed, enable improved interoperability (including radio interoperability), and reduce costs to the state for the delivery of criminal justice information system services such as Connecticut On-Line Law Enforcement Communications Teleprocessing and National Crime Information Center. Phase two is the extension of the network to another 403 public safety sites using the Federal Broadband Technology Opportunities Grant (BTOP) awarded in 2010. Currently the project is in the deployment phase and has exceeded federal grant guidelines which require two-thirds of the network to be completed by September, 2012 and is on track to meet the deadline of full deployment by September, 2013.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Office of Statewide Emergency Telecommunications				
Telecommunicator Training class attendees	162	136	160	160
Telecommunicator Exams	169	127	170	170
Percent of PSAPs submitting call reports	100	100	100	100

#### FIRE INVESTIGATIONS AND TELECOMMUNICATIONS

##### **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	20	1	0	21	21	21	21	21

##### **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	2,898,655	2,350,074	2,515,642	2,512,070	2,512,070	2,575,320	2,571,530	2,571,530
Other Expenses	21,948	13,608	14,280	14,280	13,608	14,696	14,696	13,608
<u>Other Current Expenses</u>								
COLLECT	0	4,892	0	0	0	0	0	0
TOTAL-General Fund	2,920,603	2,368,574	2,529,922	2,526,350	2,525,678	2,590,016	2,586,226	2,585,138
<u>Additional Funds Available</u>								
Private Funds	26,440,726	0	0	0	0	0	0	0
<b>Federal Contributions</b>								
	31,062	0	0	0	0	0	0	0
19415 Professional Exchanges Annual Open Gra	1,355	3,984	1,453	1,453	1,453	0	0	0
93632 University Centers for Excellence in D	498	0	0	0	0	0	0	0
97067 Homeland Security Grant Program	102,174	0	0	0	0	0	0	0
TOTAL - All Funds	29,496,418	2,372,558	2,531,375	2,527,803	2,527,131	2,590,016	2,586,226	2,585,138

## DIVISION OF SCIENTIFIC SERVICES

### Statutory Reference

C.G.S. Section 29-7b, Chapter 961, Part IIa.

### Statement of Need and Program Objectives

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

### Program Description

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

#### THE FORENSIC SCIENCE LABORATORY

The *Forensic Science Laboratory* includes criminalistics, identification, DNA and crime scene reconstruction units.

The Criminalistics Unit includes forensic biology, trace evidence, arson and chemistry. The forensic biology section identifies biological fluids and determines which samples should undergo full DNA analysis. The trace section examines and compares paint, hairs, fibers, glass, soil, tape, light bulbs, cordage, and white powders, and also identifies unknown materials. In addition, the trace section maintains an extensive automotive paint database dedicated to providing investigative leads in motor vehicle cases in which the vehicle has fled the scene. The chemistry section is responsible for the analysis and identification of gunshot residue and explosive materials. The arson section examines fire debris for the identification of suspected accelerants.

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

The Identification Unit consists of the firearms, toolmarks, questioned documents, latent prints and imprints sections. The firearms section examines all firearms evidence and conducts test

fires of all guns scheduled for destruction. All test fires are entered into the firearms database. The firearms section conducts all toolmarks examinations. The latent print section processes evidentiary materials to develop latent prints. Latent prints that are developed are compared to inked prints or entered into the fingerprint database. The questioned documents section conducts examinations of handwriting, indented writing and all forms of printing. In addition, the special revenue section examines all Connecticut lottery games, conducting analyses on the integrity of the various gaming tickets prior to general release. The imprint section conducts examinations and comparison of all three-dimensional prints, such as footwear and tire tracks.

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

#### THE COMPUTER CRIME AND ELECTRONIC EVIDENCE LABORATORY

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

#### CONTROLLED SUBSTANCE AND TOXICOLOGY LABORATORY

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

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

<b>Program Measure</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimated</b>	<b>FY 2014 Projected</b>	<b>FY 2015 Projected</b>
Criminalistics				
Biology	1005	1070	2060	2060
Trace	68	100	105	105
Chemistry	12	14	14	16
DNA				
Convicted Offender Submissions (CODIS)	4300	7000	7000	7000
Nuclear DNA	815	1020	1125	1125
No Suspect DNA	400	500	550	550

Identification				
Questioned Documents/Special Revenue	412	430	460	460
Imprints	25	27	28	28
Firearms - Cases	570	587	600	604
Firearms - Destruction Guns	1400	1400	1480	1529
Latent Prints	822	900	1000	1000
Photography	97890	98000	98500	98500
Reconstruction	6	12	12	12
Forensic Laboratory - Total Case Requests				
Computer Crimes and Electronic Laboratory	33	55	45	45
Video Enhancement	301	312	320	320
Toxicology & Controlled Substances				
Controlled Substance Cases	376	500	600	600
Toxicology Cases	1297	1350	1400	1400

**DIVISION OF SCIENTIFIC 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	84	5	18	107	107	107	107	107

**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	5,791,312	4,693,687	8,744,128	8,726,030	8,726,030	9,170,440	9,151,239	9,151,239
Other Expenses	1,329,172	1,266,328	1,320,665	1,265,925	1,457,926	1,373,239	1,265,925	1,509,309
<b>Capital Outlay</b>								
Equipment	0	0	21,285	17,240	17,240	9,540	7,080	7,080
<b>TOTAL-General Fund</b>	<b>7,120,484</b>	<b>5,960,015</b>	<b>10,086,078</b>	<b>10,009,195</b>	<b>10,201,196</b>	<b>10,553,219</b>	<b>10,424,244</b>	<b>10,667,628</b>

**Additional Funds Available**

Private Funds	57,761	0	0	0	0	0	0	0
---------------	--------	---	---	---	---	---	---	---

**Federal Contributions**

	173,255	0	0	0	0	0	0	0
DPS Forensic Laboratory Person	31,258	0	0	0	0	0	0	0
Expedite Process DNA Samples	216,639	0	0	0	0	0	0	0
Expedite Process DNA Samples (	700,111	39,405	0	0	0	0	0	0
Project Safe Neighborhood	5,668	19,471	0	0	0	0	0	0
16542 ICAC Grant	194,246	253,208	0	0	0	0	0	0
16560 National Inst Justice Rsrch, Eval Dev Prj	164,253	482,762	300,776	300,776	300,776	300,776	300,776	300,776
16710 Public Safety Partshp & Comm Policing	11,605	75,000	0	0	0	0	0	0
16741 Forensic DNA Capacity Enhancement Program	64,739	319,558	0	0	0	0	0	0
16800 Internet Crimes against Children Task Force Pgm	107,764	187,604	0	0	0	0	0	0
16803 American Recovery/Reinvestment Act of 2009 (JAG)	244,834	0	0	0	0	0	0	0
20205 Highway Planning & Construction	12,529	0	0	0	0	0	0	0
81117 Energy Efficiency & Renewable Energy	62,733	199,946	81,947	81,947	81,947	90,000	90,000	90,000
93286 Discovery & Applied Research	116,324	110,498	0	0	0	0	0	0
97067 Homeland Security Grant Program	18,261	0	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>9,302,464</b>	<b>7,647,467</b>	<b>10,468,801</b>	<b>10,391,918</b>	<b>10,583,919</b>	<b>10,943,995</b>	<b>10,815,020</b>	<b>11,058,404</b>

**DIVISION OF EMERGENCY MANAGEMENT AND HOMELAND SECURITY**

**Statutory Reference**

C.G.S. Titles 28 and 29.

**Statement of Need and Program Objectives**

The deputy commissioner for the *Division of Emergency Management and Homeland Security* (DEMHS) is responsible for providing a coordinated, integrated program for statewide emergency management and homeland security.

**Program Description**

The DEMHS includes the Office of Emergency Management and the Office of Counter Terrorism.

The DEMHS Office of Counter Terrorism (OCT) is headed by the director of the Connecticut intelligence center. The purpose of the OCT includes maintaining and operating the Connecticut Intelligence Center (CTIC), including coordinating the collection, analysis and distribution of information and security warnings to state and local government personnel, agencies and authorities, and the general public; establishing standards and protocols for the use of any intelligence information, and; working with federal, state, local, and private sector representatives on intelligence and critical infrastructure issues.

The Connecticut Intelligence Center Unit (CTIC) includes a co-located team of federal, state and local officers. The CTIC collects, analyzes and disseminates both criminal and terrorism-related intelligence to law enforcement officials throughout the state, and pertinent vetted information to authorized and appropriate agencies within the first responder and private sectors. CTIC staff includes 5 regional intelligence officers corresponding to the five DEMHS regions. CTIC operates under a privacy, civil rights, and civil liberties protection policy.

The Critical Infrastructure (CI) Unit within CTIC works to assess and protect Connecticut’s public and private critical infrastructure assets and key resources, both physical and cyber-based, which are essential to maintaining minimal operational capabilities of government. The CI unit also works with the OEM and the state emergency operations center during emergencies to assist in preparedness, response, protection and recovery issues related to the state’s critical infrastructure.

The Joint Terrorism Task Force is a Federal Bureau of Investigation (FBI) task force to which OCT personnel are assigned.

**EMERGENCY MANAGEMENT AND HOMELAND SECURITY**

The DEMHS *Office of Emergency Management (OEM)* is headed by the state emergency management director.

The OEM is divided into the following units:

- Operations, training and exercise including five DEMHS regional offices; training; urban search and rescue team; web emergency operations center;
- All-hazards planning, including regional planning, radiological preparedness, and recovery units;
- Strategic planning and community preparedness (in conjunction with operational planning and DESPP grants unit);
- Field support coordination which includes supply and operation of communications equipment, Geospatial Information Systems (GIS).

<b>Program Measure</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimated</b>	<b>FY 2014 Projected</b>	<b>FY 2015 Projected</b>
Operations	120	120	120	120
Days EOC Activated	2011-2012:27	18	18	18
Exercises	60	62	62	62
Support of Municipalities	172	172	172	172
No. of Towns Receiving Grants	172	172	172	172
Training Classes	100	100	100	100
Students Trained	3100	3200	3300	3400
Terrorism Training - No. of students trained	1300	1350	1400	1400
Assessment of State Facilities	15	15	15	15
Assessment of Municipal Facilities	0	15	15	15
Assessment of Federal Facilities	0	0	0	0
Assessment of Private Facilities	0	20	20	20
Assessment of Maritime Vessels	0	0	0	0
Assessment of Buffer Zone Sites	2	2	0	0
Assessment of Strategic National Stockpile RSS Sites	1	1	1	1
Urban Search and Rescue Training Days	20	24	30	30

**EMERGENCY MGMT/HOMELAND SECURITY**

**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	30	1	0	31	31	31	31	31
Federal and Other Activities	21	3	0	24	24	24	24	24

<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	1,337,037	1,082,998	1,721,220	1,718,415	1,618,415	1,753,079	1,750,103	1,750,103
Other Expenses	485,715	280,394	198,533	198,533	191,696	213,233	213,233	191,696
<u>Capital Outlay</u>								
Equipment	0	0	51,650	39,750	39,750	11,900	0	0
<u>Other Current Expenses</u>								
Fleet Purchase	21,833	16,477	0	0	0*	0	0	0*
TOTAL-General Fund	1,844,585	1,379,869	1,971,403	1,956,698	1,849,861	1,978,212	1,963,336	1,941,799
<u>Additional Funds Available</u>								
Private Funds	1,416,436	3,171,150	2,550,476	2,550,476	2,550,476	2,615,626	2,615,626	2,615,626
<b>Federal Contributions</b>								
FEMA Public Assist. DR4046	6,634,632	23,178,747	23,178,747	23,178,747	23,178,747	23,178,747	23,178,747	23,178,747
Interoperable Emergency Commun	560	1,646	600	600	600	0	0	0
10219 Biotech Risk Assessmt Research	2,516,177	3,219,603	0	0	0	0	0	0
10443 Outreach & Assist Soc Dis Farmer/Ranch	1,258,815	3,874,860	1,611,059	1,611,059	1,611,059	0	0	0
15814 National Geological and Geophysical Data Preservat	1,915,060	9,029,350	647,405	647,405	647,405	107,901	107,901	107,901
19415 Professional Exchanges Annual Open Gra	232,247	0	0	0	0	0	0	0
93286 Discovery & Applied Research	1,068	0	0	0	0	0	0	0
97008 Urban Areas Security Initiative	188,972	0	0	0	0	0	0	0
97036 Public Assistance Grants	26,274,908	13,988,513	13,764,674	13,764,674	13,764,674	12,645,480	12,645,480	12,645,480
97039 Hazard Mitigation Grant	121,716	3,431,180	2,690,233	2,690,233	2,690,233	2,541,908	2,541,908	2,541,908
97042 Emergency Management Performance Grant	2,145,562	6,910,867	3,896,101	3,896,101	3,896,101	2,863,304	2,863,304	2,863,304
97052 Emergency Operations Centers	364,448	1,447,433	461,538	461,538	461,538	76,923	76,923	76,923
97067 Homeland Security Grant Program	9,939,926	13,602,537	11,702,241	11,702,241	11,702,241	6,697,217	6,697,217	6,697,217
97074 Law Enforcement Terrorism Prevention	404,738	68,467	0	0	0	0	0	0
97078 Buffer Zone Protection Plan (BZPP)	352,949	732,262	0	0	0	0	0	0
97110 Severe Loss Repetitive Program	106,944	2,222,298	278,979	278,979	278,979	0	0	0
TOTAL - All Funds	55,719,743	86,258,782	62,753,456	62,738,751	62,631,914	52,705,318	52,690,442	52,668,905

\* 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.

## DIVISION OF POLICE OFFICER STANDARDS AND TRAINING

### Statutory Reference

C.G.S. Sections 7-29 through 7-294aa.

### Statement of Need and Program Objectives

To provide the necessary standards, training and education for police officers to acquire and maintain state certification which is necessary to perform their police duties and maintain their position as police officers. To identify, design, provide and evaluate specialized training that responds to and anticipates police needs. To administer and control the agency's management and operations to ensure prudent and efficient use of agency appropriations and resources and to administer the affairs of a vocational training and education academy.

### Program Description

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

The program provides to, or oversees for, every newly appointed police officer, the basic police officer training course at the Connecticut police academy and/or at satellite locations. The agency manages the council's yearly agenda.

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

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Municipal Police recruits trained/880 hours each	194	200	200	200
In-Service Training for Police Officers Course offered	101	100	100	100
Participants	3806	3800	3800	3800
Law enforcement driving instruction Officers trained	107	160	160	160
General notices-Administration	9	5	5	5
Operational rules & regulation changes	1	2	2	2
Accreditation awards	12	14	15	15
Support of Municipalities	160	160	160	160
Assessment of State Facilities	1	1	1	1
Assessment of Municipal Facilities	6	6	6	6
Licenses revoked	7	10	10	10
Occupational licenses issued	1250	1350	1400	1450

**POLICE OFFICER STANDARDS AND TRAINING****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**

<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	1,640,020	1,329,640	1,610,014	1,600,656	1,600,656	1,686,457	1,676,529	1,676,529
Other Expenses	382,374	283,040	289,314	289,314	283,040	297,782	297,782	283,040

**Capital Outlay**

Equipment	0	0	1,470	630	630	450	450	450
TOTAL-General Fund	2,022,394	1,612,680	1,900,798	1,890,600	1,884,326	1,984,689	1,974,761	1,960,019

**Additional Funds Available**

Private Funds	17,044	3,000	3,200	3,200	3,200	3,400	3,400	3,400
TOTAL - All Funds	2,039,438	1,615,680	1,903,998	1,893,800	1,887,526	1,988,089	1,978,161	1,963,419

**DIVISION OF FIRE PREVENTION AND CONTROL / CONNECTICUT FIRE ACADEMY****Statutory Reference**

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

**Statement of Need and Program Objectives**

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

**Program Description**

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

The Training Division of the Connecticut Fire Academy offers in excess of 100 individual training programs available to fire departments. Fire service personnel in Connecticut can choose from: firefighter, instructor, officer, hazardous materials technician, technical rescue, apparatus operator, and terrorism preparedness along with numerous special fire officer seminars and technical specialty courses compliant with the National Incident Management System (NIMS).

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

curriculum development expenses and reducing duplication of effort.

The Connecticut Fire Academy, a state-of-the-art training facility, began operation in February 1994 and serves as the focal point for fire service training and education. Hands-on and technical/specialty training programs are conducted at this facility. A facility expansion during FY 2012 added a class-A burn building and fire station/maintenance garage allowing fire departments greater access and opportunities to meet occupational safety and health regulations.

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

The Certification Division offers 32 levels of professional competency testing in accordance with nationally developed standards. Certification is a voluntary program available to the state's career and volunteer fire service. Many fire departments mandate certification at the local level through by-law and contractual requirements. The commission is accredited by the national board on fire service professional qualifications and the international fire service accreditation congress.

Information and Assistance Services provide persons interested in fire prevention and control with access to a network of resources

and provide services that are beyond the resources of many local fire departments, such as:

- Free loan library of audio visual aids, books and reference materials on fire prevention and suppression.
- Mailing and distribution lists maintained by audience.
- Testing procedures for hiring or promoting fire service personnel.
- Juvenile fire-setting intervention training and referrals.
- Advise other state agencies regarding the purchase of firefighting equipment and apparatus.
- Fire safety education media campaigns and exhibits.
- Public fire and life safety education resources available for loan to local communities.
- Assist local communities with volunteer firefighter recruitment and retention efforts.
- Administration of the statewide fire rescue disaster response plan.
- Staff the State's Emergency Operations Center (SEOC) with fire service liaisons during activations for disasters, exercises and other emergencies.
- Support and coordination of the regional foam trailer program.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Firefighters tested	5850	5850	6143	6450
Firefighters certified	2384	2384	2668	2801
Certification Passing Rate (%)	80	80	81	82
Courses developed, taught	479	479	450	450
Persons trained	7795	7795	8000	8000
Student contact hours	170751	170751	180000	180000
Candidate Physical Ability Test	1519	1519	1595	1675
Candidate Physical Ability Test Passing Rate (%)	87	87	87	87

**FIRE PREVENTION AND CONTROL**

**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	11	2	-2	11	11	11	11	11
Federal and Other Activities	8	0	-1	7	7	7	7	7

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	1,439,040	1,166,697	1,395,003	1,391,772	1,391,772	1,454,135	1,450,707	1,450,707
Other Expenses	411,027	393,839	434,181	434,181	393,839	459,933	459,933	393,839

**Capital Outlay**

Equipment	0	0	8,500	7,000	7,000	8,500	7,000	7,000
-----------	---	---	-------	-------	-------	-------	-------	-------

**Pmts to Other Than Local Governments**

Fire Training School - Willimantic	153,709	161,798	199,243	165,309	0*	199,709	170,103	0*
Fire Training School - Torrington	77,299	81,367	81,368	83,133	0*	81,368	88,544	0*
Fire Training School - New Haven	45,946	48,364	86,824	49,414	0*	89,424	50,847	0*
Fire Training School - Derby	35,283	37,139	41,150	37,945	0*	44,150	39,045	0*
Fire Training School - Wolcott	95,154	100,162	116,750	102,335	0*	121,000	105,303	0*
Fire Training School - Fairfield	66,876	70,395	72,500	71,923	0*	74,682	74,009	0*
Fire Training School - Hartford	160,870	169,336	196,518	173,011	0*	202,610	178,028	0*
Fire Training School - Middletown	56,101	59,053	80,405	60,335	0*	62,405	62,085	0*
Fire Training School - Stamford	52,661	55,432	57,320	56,635	0*	60,186	58,277	0*
Regional Fire Training School Grants	0	0	0	0	743,899	0	0	743,899
<b>TOTAL-General Fund</b>	<b>2,593,966</b>	<b>2,343,582</b>	<b>2,769,762</b>	<b>2,632,993</b>	<b>2,536,510</b>	<b>2,858,102</b>	<b>2,743,881</b>	<b>2,595,445</b>

**Additional Funds Available**

Private Funds	1,531,993	1,790,400	1,936,000	1,936,000	1,936,000	2,081,600	2,081,600	2,081,600
---------------	-----------	-----------	-----------	-----------	-----------	-----------	-----------	-----------

**Federal Contributions**

	145,719	0	0	0	0	0	0	0
--	---------	---	---	---	---	---	---	---

<b>TOTAL - All Funds</b>	<b>4,271,678</b>	<b>4,133,982</b>	<b>4,705,762</b>	<b>4,568,993</b>	<b>4,472,510</b>	<b>4,939,702</b>	<b>4,825,481</b>	<b>4,677,045</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.

## PROTECTIVE SERVICES

### Statutory Reference

C.G.S. Sections 29-5f.

### Program Description

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

The Governor's Security Unit is comprised of troopers who staff a security operational center at the Governor's residence on a 24 hour-a-day basis. Unit members provide personal protection for the Governor and the Governor's family 24 hours a day, 7 days a week and 365 days a year.

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

### PROTECTIVE 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	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	487,906	395,567	165,293	165,293	165,293	172,622	172,622	172,622
Other Expenses	2,061	1,885	1,926	1,926	1,885	1,982	1,982	1,885
TOTAL-General Fund	489,967	397,452	167,219	167,219	167,178	174,604	174,604	174,507

## ADMINISTRATIVE AND MANAGEMENT SERVICES

### Statutory Reference

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

### Statement of Need and Program Objectives

To provide support services to the DESPP.

### Program Description

#### OFFICE OF ADMINISTRATIVE SERVICES

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

supervision of boxing and administration of sex offender registrations.

The DESPP communications center is a 24-hour facility that has the ability to facilitate communications during any major event, to include statewide interoperability, through a mutual aid radio system, as well as other means. The center is also responsible for the State's Amber alert system, utilizing the emergency broadcast system's network to broadcast statewide Amber alerts.

#### INFRASTRUCTURE PLANNING AND FACILITIES MANAGEMENT UNIT

The Infrastructure Planning and Facilities Management Unit maintains, repairs and oversees the renovation of all department buildings and facilities. It also assists the commissioner and the Department of Construction Services in coordinating capital projects, such as major repairs, major renovations and new construction throughout DESPP.

#### ADMINISTRATION AND MANAGEMENT SUPPORT

The Bureau of Management Support and several other administrative units are part of the Office of the Commissioner. There are seven units, including:

- The Equal Opportunity Unit,
- The Fiscal Services Unit,
- The Labor Relations Unit,
- The Human Resources Unit,
- Public Information Office,
- Professional Standards Unit, and
- Legal Affairs Unit.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Labor Grievances handled	60	65	70	70
Employee Assistance Program cases				
Percent Minority Rerepresentation (including Protected Women) %	31	31	31	31
Inventory Control (\$M)	214	214	214	214
Direct Federal Grants (\$)	99,927,649	146,166,216	1,075,619,67	8,7166,760
Workers' Compensation Claims	633	600	600	600
Payouts on Claims (\$000)	4284	4404	4528	4668

**ADMINISTRATIVE/MANAGEMENT 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
<i>Permanent Full-Time Positions</i>								
General Fund	95	9	2	106	106	106	106	106
Federal and Other Activities	22	0	0	22	22	22	22	22
			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

**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	7,679,810	6,226,377	8,880,564	8,705,838	8,651,807	9,220,974	8,927,867	8,814,353
Other Expenses	1,615,387	1,503,693	1,548,975	1,548,975	1,503,693	1,609,905	1,609,905	1,503,693
<u>Other Current Expenses</u>								
Stress Reduction	250	188	0	0	0	0	0	0
<u>Pmts to Other Than Local Governments</u>								
Maintenance of County Base Fire Radio	23,918	25,176	25,176	25,176	0*	25,176	25,176	0*
Maint of State-Wide Fire Radio Network	15,919	16,756	16,756	16,756	0*	16,756	16,756	0*
Police Association of Connecticut	152,665	190,000	190,000	190,000	180,500	190,000	190,000	180,500
Connecticut State Firefighter's Assoc	152,433	194,711	194,711	194,711	184,976	194,711	194,711	184,976
Maintenance of Fire Radio Networks	0	0	0	0	39,837	0	0	39,837
TOTAL-General Fund	9,640,382	8,156,901	10,856,182	10,681,456	10,560,813	11,257,522	10,964,415	10,723,359
<u>Additional Funds Available</u>								
Private Funds	2,042,799	39,510,812	31,982,934	31,982,934	31,982,934	21,989,617	21,989,617	21,989,617
<b>Federal Contributions</b>								
	10,205	0	0	0	0	0	0	0
FEMA Public Assist. DR4046	8,136	28,424	28,424	28,424	28,424	28,424	28,424	28,424
10219 Biotech Risk Assessmt Research	86	110	0	0	0	0	0	0
10443 Outreach & Assist Soc Dis Farmer/Ranch	602	1,853	770	770	770	0	0	0
16542 ICAC Grant	877	0	0	0	0	0	0	0
97036 Public Assistance Grants	44,477	23,554	23,177	23,177	23,177	21,293	21,293	21,293
97039 Hazard Mitigation Grant	0	149,389	127,137	127,137	127,137	123,086	123,086	123,086
97042 Emergency Management Performance Grant	247,089	795,875	448,686	448,686	448,686	329,746	329,746	329,746
97067 Homeland Security Grant Program	294,548	363,400	363,824	363,824	363,824	242,778	242,778	242,778
97108 Homeland Security, Research, Testing, Evaluation,	0	309,219	0	0	0	0	0	0
99125 Assets Forfeiture Fund	3,401	0	0	0	0	0	0	0
99125 Dept of Justice Forfeiture Fund	1,494	0	0	0	0	0	0	0
TOTAL - All Funds	12,294,096	49,339,537	43,831,134	43,656,408	43,535,765	33,992,466	33,699,359	33,458,303

\* 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>
<b><u>Personal Services</u></b>						
Permanent Fulltime Positions	101,603,301	102,473,371	115,379,436	114,800,405	117,289,170	116,850,657
Other Positions	1,183,534	1,539,094	1,205,962	1,205,962	1,264,975	1,264,975
Other	8,165,477	7,029,259	8,086,620	6,230,342	8,284,102	6,243,882
Overtime	20,120,202	29,403,791	25,084,443	23,561,204	25,485,529	23,561,204
TOTAL-Personal Services Gross	131,072,514	140,445,515	149,756,461	145,797,913	152,323,776	147,920,718
Less Reimbursements	0	-14,368,223	-12,131,600	-12,131,600	-12,281,600	-12,281,600
Less Turnover	0	0	-3,100,000	-4,153,836	-3,100,000	-4,153,836
TOTAL-Personal Services Net	131,072,514	126,077,292	134,524,861	129,512,477	136,942,176	131,485,282
<b><u>Other Expenses-Contractual Services</u></b>						
Dues and Subscriptions	23,729	23,729	22,187	21,716	22,830	21,716
Utility Services	2,914,855	2,959,560	3,013,752	2,943,728	3,176,417	3,003,728
Rentals, Storage and Leasing	371,317	371,317	343,255	335,965	353,210	335,965
Telecommunication Services	2,907,298	2,941,298	2,566,509	2,487,221	2,644,556	2,487,221
General Repairs	4,558,827	4,593,108	4,043,617	3,957,733	4,160,880	3,957,733
Motor Vehicle Expenses	1,134,490	1,134,490	1,311,220	6,150,199	1,091,993	6,722,023
Fees for Outside Professional Services	696,523	712,949	561,265	548,060	578,381	548,060
Fees for Non-Professional Services	198,694	198,694	184,237	180,323	189,578	180,323
DP Services, Rentals and Maintenance	4,388,754	4,388,754	3,863,715	3,781,653	3,975,763	3,781,653
Postage	183,530	183,530	174,024	140,140	179,070	140,140
Travel	146,022	176,533	136,978	134,069	140,951	134,069
Other Contractual Services	723,176	723,176	571,541	559,403	588,118	559,403
Advertising and Marketing	1,726	1,726	1,613	1,579	1,660	1,579
Printing & Binding	25,792	25,792	46,425	25,863	52,192	25,863
<b><u>Other Expenses-Commodities</u></b>						
Agriculture, Horticulture, Dairy & Food	4,319	4,319	3,915	3,832	4,029	3,832
Books	12,682	12,682	10,446	10,224	10,749	10,224
Clothing and Personal Supplies	254,941	254,941	233,356	228,400	240,124	228,400
Maintenance and Motor Vehicle Supplies	8,012,295	8,201,050	8,933,220	8,358,838	9,185,989	8,358,838
Medical Supplies	33,668	33,668	32,153	30,806	33,519	30,806
Fuel	280,010	280,010	383,575	343,200	415,684	343,200
Office Supplies	937,692	1,035,136	859,848	841,650	884,692	841,650
Refunds of Expenditures Not Otherwise Classified	487,675	487,675	584,603	428,451	647,208	428,451
<b><u>Other Expenses-Sundry</u></b>						
Employee Fringe Benefits	170,316	170,316	162,507	159,633	165,367	159,633
Sundry - Other Items	213,723	213,723	317,987	31,308	318,915	31,308
TOTAL-Other Expenses Gross	28,682,454	29,128,576	28,361,948	31,703,994	29,061,875	32,335,818
Less Reimbursements		-383,900	-384,300	-394,300	-384,300	-394,300
TOTAL-Other Expenses Net	28,682,454	28,744,276	27,977,648	31,309,694	28,677,575	31,941,518
<b><u>Other Current Expenses</u></b>						
Stress Reduction	31,108	23,354	25,000	23,354	25,000	23,354
Fleet Purchase	5,659,932	4,271,474	5,503,870	0*	7,498,000	0*
Workers' Compensation Claims	4,283,660	4,238,787	4,528,356	4,238,787	4,667,785	4,238,787
COLLECT	0	4,892	0	0	0	0
TOTAL-Other Current Expenses	9,974,700	8,538,507	10,057,226	4,262,141	12,190,785	4,262,141
<b><u>Pmts to Other Than Local Govts</u></b>						
Fire Training School - Willimantic	153,709	161,798	199,243	0*	199,709	0*
Maintenance of County Base Fire Radio	23,918	25,176	25,176	0*	25,176	0*
Maint of State-Wide Fire Radio Network	15,919	16,756	16,756	0*	16,756	0*
Police Association of Connecticut	152,665	190,000	190,000	180,500	190,000	180,500
Connecticut State Firefighter's Assoc	152,433	194,711	194,711	184,976	194,711	184,976
Fire Training School - Torrington	77,299	81,367	81,368	0*	81,368	0*
Fire Training School - New Haven	45,946	48,364	86,824	0*	89,424	0*
Fire Training School - Derby	35,283	37,139	41,150	0*	44,150	0*
Fire Training School - Wolcott	95,154	100,162	116,750	0*	121,000	0*

Fire Training School - Fairfield	66,876	70,395	72,500	0*	74,682	0*
Fire Training School - Hartford	160,870	169,336	196,518	0*	202,610	0*
Fire Training School - Middletown	56,101	59,053	80,405	0*	62,405	0*
Fire Training School - Stamford	52,661	55,432	57,320	0*	60,186	0*
Regional Fire Training School Grants	0	0	0	743,899	0	743,899
Maintenance of Fire Radio Networks	0	0	0	39,837	0	39,837
TOTAL-Pmts to Other Than Local Govts	1,088,834	1,209,689	1,358,721	1,149,212	1,362,177	1,149,212

*Nonfunctional - Change to Accruals* 0 0 0 731,031 0 678,000

\* 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	131,072,514	126,077,292	134,524,861	131,539,747	129,512,477	136,942,176	133,372,034	131,485,282
Other Expenses Net	28,682,454	28,744,276	27,977,648	27,659,616	31,309,694	28,677,575	28,350,575	31,941,518
Capital Outlay	0	4	222,446	106,022	106,022	155,890	93,990	93,990
Other Current Expenses	9,974,700	8,538,507	10,057,226	9,315,983	4,262,141	12,190,785	10,328,685	4,262,141
Payments to Other Than Local Governments	1,088,834	1,209,689	1,358,721	1,226,683	1,149,212	1,362,177	1,252,884	1,149,212
Nonfunctional - Change to Accruals	0	0	0	1,355,109	731,031	0	644,757	678,000
TOTAL-General Fund Net	170,818,502	164,569,768	174,140,902	171,203,160	167,070,577	179,328,603	174,042,925	169,610,143
<u>Additional Funds Available</u>								
Federal and Other Activities	57,951,677	87,993,609	60,611,447	60,611,447	60,611,447	50,250,473	50,250,473	50,250,473
Special Funds, Non-Appropriated	62,556	1,270,804	200,000	200,000	200,000	200,000	200,000	200,000
Private Funds	39,469,945	51,198,777	43,160,350	43,160,350	43,160,350	33,378,033	33,378,033	33,378,033
TOTAL-All Funds Net	268,302,680	305,032,958	278,112,699	275,174,957	271,042,374	263,157,109	257,871,431	253,438,649

# DEPARTMENT OF MOTOR VEHICLES

## AGENCY DESCRIPTION

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

The DMV operates under a management team approach consisting of the commissioner, deputy commissioner and division chiefs. The divisions are: Affirmative Action, Branch Operations, Fiscal Services, Legal Services, Commercial Vehicle Safety, Information Technology, Copy Records – Phone Center and Special Projects, Organizational Development and Support Services, Vehicle and Business Regulation, Corporate and Public Relations, Human Resources, Emissions Testing, and Licensing and Driver Regulation.

## AGENCY PROGRAM INDEX

Agency Management Services	121	Regulation of Motor Vehicles & Their Use	124
Customer Services	122	Support Services	126
Auto Emissions Inspection	123		

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation - General Fund	-4,348	-5,938
• Remove or Limit Inflation - Special Transportation Fund	-329,803	-724,893
• Annualize FY 2013 Rescissions - General Fund	-10,019	-10,019
• Reduce Equipment Funding	-200,000	-200,000
• Remove Funding for Salary Increases for Appointed Officials	-19,658	-41,300
<b>Reallocations or Transfers</b>		
• Transfer Boating Fund Operation Expenses to the Special Transportation Fund <i>Provide funding for three positions and expenses through the Special Transportation Fund.</i>	0	0
• 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>	-79,218	-83,782
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-29,232	-29,232
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts - Special Transportation Fund	3,806	-56,089

## 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	3	0	0	3	3	0	3	0
Special Transportation Fund	534	39	-1	572	581	577	582	578
Federal and Other Activities	18	1	0	19	19	19	19	19
Auto Emissions	38	3	0	41	41	41	41	41
			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>
Special Transportation Fund			23,097	14,782	14,913	14,913	14,925	14,918
Auto Emissions			17	32	32	32	27	27
<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	3,264,789	3,394,929	4,334,105	4,255,048	4,262,949	4,540,264	4,461,574	4,465,993
Customer Services	24,927,944	24,895,310	28,815,293	28,144,255	27,820,775	30,978,095	30,160,763	29,672,115
Auto Emissions Inspection	5,463,485	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000
Regulation of Motor Vehicles & Their Use	9,423,982	12,109,684	12,944,284	12,646,833	12,597,471	13,339,081	13,025,592	12,960,067

Support Services	19,794,268	21,414,531	21,425,741	20,957,816	20,650,479	22,877,882	21,314,657	20,769,248
TOTAL Agency Programs - All Funds Gross	62,874,468	69,799,454	75,504,423	73,988,952	73,316,674	79,720,322	76,947,586	75,852,423
Less Turnover	0	0	-259,578	-1,073,000	-1,073,000	-275,154	-1,137,380	-1,137,380
Nonfunctional - Change to Accruals	0	0	0	268,218	272,024	0	351,949	295,860
TOTAL Agency Programs - All Funds Net	62,874,468	69,799,454	75,244,845	73,184,170	72,515,698	79,445,168	76,162,155	75,010,903
<i>Summary of Funding</i>								
General Fund Net	470,225	458,859	487,289	414,691	0	510,288	433,329	0
Special Transportation Fund Net	54,027,679	53,912,920	61,941,310	59,953,233	59,699,452	66,118,634	62,912,580	62,194,657
Federal and Other Activities	2,907,459	4,369,617	1,760,208	1,760,208	1,760,208	1,760,208	1,760,208	1,760,208
Auto Emissions	5,463,485	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000
Private Funds	5,620	3,073,058	3,071,038	3,071,038	3,071,038	3,071,038	3,071,038	3,071,038
TOTAL Agency Programs - All Funds Net	62,874,468	69,799,454	75,244,845	73,184,170	72,515,698	79,445,168	76,162,155	75,010,903

## MANAGEMENT SERVICES

### Statutory Reference

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

### Statement of Need and Program Objectives

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

### Program Description

The *Office of the Commissioner* provides executive oversight to the agency, formulates policy and initiates and approves projects that improve efficiency and agency effectiveness. The agency's customer-centric focus is driven throughout the Department of Motor Vehicles from the commissioner's office to all divisions.

The *Deputy Commissioner's Office* has oversight of facilities, licensing and driver regulation, audit, emissions and mailroom operations in addition to internal support services (e.g., stockroom and mailroom services) for all other divisions. The deputy's office is also responsible for the administration of the department's registration plate procurement and distribution activities.

The *Facilities Maintenance Unit* manages the upkeep of both the interior and grounds of DMV headquarters and state-owned branch office buildings.

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

The *Corporate and Public Relations Unit* coordinates agency communications, including press and public inquiries and manages the agency's internet and intranet websites.

The *Legal Services Division*, in addition to providing the commissioner and agency staff with legal counsel, conducts administrative hearings that result from credential suspensions, consumer complaints and failures to comply with regulatory requirements. It also administers the provisions of the state's Administrative Per Se law, coordinates the development of regulations pursuant to new or existing statutes, advocates department-generated legislative initiatives, and monitors legislative activity. This division is also responsible for processing requests for information in compliance with the Freedom of Information Act. The division does all drafting of the agency's legislative proposals and monitors the legislative process.

Program Measure	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
HEARINGS/PART TIME ADJUDICATORS	4350/11	4350/11	4350/11	4350/11
AGENCY REVENUE/BUDGET ALLOTMENT (\$M)	420/53	420/53	420/53	420/53
PERCENT OF ADMINISTRATIVE SANCTIONS REVERSED AT HEARING (%)	14	14	14	14

### 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
Special Transportation Fund	31	9	0	40	40	40	40	40
			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
			Actual	Estimated	Requested	Recommended	Requested	Recommended
Other Positions Equated to Full Time			131	127	195	195	196	196

#### 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	3,113,792	3,266,138	4,197,082	4,122,123	4,132,451	4,404,862	4,332,027	4,340,986
Other Expenses	133,884	128,791	131,587	128,615	127,204	135,402	129,547	125,007

Capital Outlay

Equipment	17,113	0	5,436	4,310	3,294	0	0	0
TOTAL-Special Transportation Fund	3,264,789	3,394,929	4,334,105	4,255,048	4,262,949	4,540,264	4,461,574	4,465,993

## CUSTOMER SERVICES

**Statutory Reference**

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

**Statement of Need and Program Objectives**

To expedite the licensing of drivers and the registration of vehicles and boats, processing motor vehicle transactions and collecting and rapidly depositing associated state revenues. To improve customer service by renewing non-problem registrations by mail or via the internet and processing other related documents by mail. To ensure the competency of applicants for driver licenses through testing. To assist customers in resolving issues and complaints with automobile dealerships and repairers.

**Program Description**

*Branch Operations Division* is responsible for the delivery of in-person, customer-oriented services including the issuance of and revenue collection for motor vehicle registrations, operator licenses, and applications for title and boat registrations. The division collects sales and use taxes on vehicles not purchased from a Connecticut dealer. It also administers the Motor Voter Program.

The division's personnel process and issue driver's licenses and non-driver identification cards, vehicle registrations, titles and other motor vehicle related documents, process restorations and test applicants for driver licenses at seventeen different locations. All services are provided at our seven hub branch offices (Norwalk does not administer road driving tests), limited services at six sites as well as three photo license centers and the Cheshire test center (by appointment only). To increase convenience and access, all full-time branches operate Thursday evenings and Saturday mornings. DMV maintains a website that allows customers to check on hours,

locations and services prior to coming to DMV. To assist customers and improve services, credit cards payments are now accepted at all DMV offices. Vehicles requiring safety inspections prior to being registered are inspected at two regional locations.

The *Copy Records - Telephone and Special Projects Division* provides the agency a variety of support services. "Measure what matters" (MWM) is an ongoing agency effort with support from this division in how to gather information and communicate it to the commissioner. DMV's telephone center provides communications related to motor vehicle laws and regulations and departmental policies and procedures directly to customers via centralized telephone communications and mailings. The telephone center also schedules driver testing appointments. DMV's automated call center has been upgraded to improve service for citizens. More than one million calls are handled by the automated system annually and DMV's customer service representatives handle an additional 320,900 calls. The copy records unit personnel respond to approximately 42,500 requests per year for copies of registrations and license documents.

The branch offices serve more than 1.5 million customers annually and collect and deposit approximately \$1,545,000 each work day throughout the agency.

DMV processes all boat registrations on behalf of the Department of Energy and Environmental Protection, attempting to resolve ownership problems and insuring the accuracy of registration documents and fees through follow-up contact with applicants.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
REVENUE COLLECTIONS BY BRANCHES FOR DMV AND OTHER AGENCIES (\$000)	174,649	174,649	174,649	174,649
TRANSACTIONS PROCESSED BY BRANCHES FOR DMV AND OTHER AGENCIES (000)	1,560	1,560	1,560	1,560
TELEPHONE INQUIRIES ANSWERED PHONE CENTER BY MONTH (000)	"	27	27	27
DRIVERS TESTED FOR CT LICENSES (000)	203	203	203	203
MOTOR VEHICLE INSPECTIONS (000)	7	7	7	7
MAIL REGISTRATION RENEWALS PROCESSED WITHIN 7 WORKING DAYS (%)	90	90	90	90
REGISTRATION RENEWALS PROCESSED BY MAIL (%)	78	78	78	78
INTERNET REGISTRATION RENEWALS (000)	201	201	201	201
AVERAGE TIME TO PROCESS 2ND YEAR PASSENGER REGISTRATION REFUND (DAYS)	10	10	10	10
AVERAGE RESPONSE TIME TO WRITTEN REQUESTS FOR INFORMATION FROM REGISTRY RECORDS UNIT (DAYS)	4	4	4	4
COPY RECORDS REQUESTED	58,944	58,944	58,944	58,944
DRIVERS FAILING DRIVERS TEST (%)	17	17	17	17
CUSTOMER SATISFACTION RATING (%)	85	85	85	85
AVERAGE TELEPHONE QUEUE TIME (MIN)	22	22	22	22
AVERAGE WAIT TIME FOR CUSTOMERS IN DMV BRANCHES (MIN)	56	56	56	56

CUSTOMER 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	3	0	0	3	3	0	3	0
Special Transportation Fund	294	11	0	305	305	305	305	305
			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>
Special Transportation Fund			12,712	7,179	7,228	7,228	7,235	7,228

**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	143,999	143,897	152,510	113,324	0	160,375	118,776	0
Other Expenses	110,322	110,831	113,236	113,236	0	116,520	116,520	0
TOTAL-General Fund	254,321	254,728	265,746	226,560	0	276,895	235,296	0
Personal Services	20,313,519	20,217,803	22,707,499	22,301,948	22,357,826	23,934,615	23,538,853	23,587,535
Other Expenses	4,339,408	4,420,759	5,330,548	5,210,167	5,153,007	6,341,585	6,067,361	5,854,754
<u>Capital Outlay</u>								
Equipment	15,076	0	511,500	405,580	309,942	425,000	319,253	229,826
TOTAL-Special Transportation Fund	24,668,003	24,638,562	28,549,547	27,917,695	27,820,775	30,701,200	29,925,467	29,672,115
<u>Additional Funds Available</u>								
Private Funds	5,620	2,020	0	0	0	0	0	0
TOTAL - All Funds	24,927,944	24,895,310	28,815,293	28,144,255	27,820,775	30,978,095	30,160,763	29,672,115

**EMISSIONS INSPECTION****Statutory Reference**

C.G.S. Section 14-164c.

**Statement of Need and Program Objectives**

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

**Program Description**

The *Emissions Division* is responsible for monitoring vehicle inspection operations to assure compliance with contract standards. Standards are established in conjunction with the Department of Energy and Environmental Protection and take into account federal standards. DMV contracts with a private vendor to perform emissions inspections. A contractor provides a decentralized network of service stations utilizing licensed dealers and repairers to conduct inspections.

DMV personnel perform the following functions:

- Monitor operations to assure compliance with contract standards for equipment accuracy, public awareness and operational efficiency.

- Check the auto repair industry for effectiveness in making emissions-related repairs.
- Issue inspection licenses to owners of fleets that exceed 24 vehicles.
- Examine inspection facilities, equipment and records at least once each month, ensuring that each inspection station is properly staffed and operated and that equipment accuracy meets program requirements. Fleet inspections are not included in the general vendor contract.

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

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

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
VEHICLES INSPECTED (000)	1,003	1,003	1,003	1,003
VEHICLES FAILED INITIAL INSPECTION (%)		11	11	11
VEHICLES FAILED REINSPECTION (%)	14	14	14	14
ANNUAL POLLUTANT REDUCTION SINCE 1/1/83 (TONS)(000)	7	7	7	7

AUTO EMISSIONS INSPECTION**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>
Auto Emissions	38	3	0	41	41	41	41	41
			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>
Auto Emissions			17	32	32	32	27	27

**Financial Summary****(Net of Reimbursements)**Additional Funds Available

	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>
Auto Emissions	5,463,485	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000
TOTAL - All Funds	5,463,485	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000

**REGULATION OF MOTOR VEHICLES AND THEIR USE****Statutory Reference**

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

**Statement of Need and Program Objectives**

To establish standards for licensing and identity credentials issued by the agency. To enforce administrative sanctions against incompetent or inadequately insured drivers; to license and monitor the commercial sale, repair and disposal of motor vehicles; to ensure that licensees' facilities are safe, properly equipped and staffed by qualified and competent personnel; to inspect motor vehicle auctions; to improve highway safety in Connecticut by inspecting selected classes of motor vehicles; to check commercial truck safety at weigh stations and on the highways as part of the Federal Motor Carrier Safety Assistance Program (MCSAP); and to issue certificates of title which are recognized nationwide as proof of ownership.

**Program Description**

The *Division of Licensing and Driver Regulation* establishes standards for licensing and identity credentials issued by the agency. The document integrity unit audits license credentials and files to ensure their security and integrity using sophisticated facial recognition technology and other tools. The public endorsement review unit examines the applications and credentials submitted by candidates seeking to drive school busses, taxis and other public transportation vehicles. The Driver Services Division is responsible for maintaining and monitoring driver violation records. It also carries out suspensions and restorations of licenses and registrations. This unit works with the Handicapped Driver Training located in the Department of Rehabilitation Services. They are now responsible for the training or retaining of those individuals in need of this service. Finally, this division is responsible for inspecting and licensing commercial driving schools and, conducting school bus and commercial driver license proficiency tests as well as operator license proficiency tests at driving schools, through its Specialized Testing Unit.

The *Commercial Vehicle Safety Division* is responsible for motor carrier truck safety programs as well as safety inspections of school buses and public service vehicles. The division has administrative and staffing responsibilities for the state's weigh stations. It also serves as a primary source of information for vehicle anti-theft activities. This division is responsible for the security of DMV facilities and emergency planning for the safety of the employees and customers. Vehicles requiring safety inspections prior to being registered are inspected at two regional locations and fall under the responsibility of this division.

The consumer complaint center, under the auspices of this division, assists consumers in resolving issues dealing primarily with automobile dealerships and repairers. Personnel conduct field investigations on dealers and repairer complaints and inspect the locations of new applicants

The *Vehicle and Business Regulation Division* oversees motor vehicle businesses, including the licensing and regulation of all motor vehicle dealers, repairers and junkyards. The Registration and Title Integrity and Standards Division establishes standards for registration credentials issued by the agency. The title unit verifies and issues motor vehicle titles and maintains title records. The insurance compliance unit is responsible for the enforcement of mandatory vehicle insurance requirements. The registration business processing unit manages registration transactions submitted by licensed vehicle dealers, processes registration renewals received from customers via the mail or through the internet, assists customers with resolving property tax issues affecting their registration privileges and administers the motorboat registration program on behalf of the Department of Energy and Environmental Protection. The international registration plan/uniform carrier registration (IRP/UCR) unit issues the apportioned registrations to interstate commercial vehicle operators. Interstate truckers apply to their home state for a commercial vehicle registration and the fee is distributed proportionately among the states in which the vehicle travels. This eliminates the need to apply to several states for registrations and makes better traffic law enforcement possible.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
RESTORATION FEES COLLECTED (\$000)	4,972	4,972	4,972	4,972
TELEPHONE CLIENT INQUIRIES ABOUT SUSPENSIONS & ACCIDENTS (000)	89	89	89	89
SUSPENDED OPERATORS CONVICTED FOR DRIVING WHILE SUSPENDED (% OPERATORS)	3	3	3	3
DEALER LICENSE FEES COLLECTED (\$000)	1,432	1,432	1,432	1,432
DEALER LICENSE INSPECTIONS	258	258	258	258
CONSUMER COMPLAINTS RECEIVED	1,752	1,752	1,752	1,752
AVG. DAYS TO RESOLVE 95% OF COMPLAINTS	75	75	75	75
TITLES ISSUED (000)	651	651	651	651
STOLEN VEHICLES DETECTED THRU TITLING PROCESS	57	57	57	57
PERCENT OF SUSPENSION ACTIONS RESCINDED (%)	35	35	35	35
PERCENT OF REGISTERED VEHICLES IN COMPLIANCE WITH FINANCIAL RESPONSIBILITY LAWS (%)	98	98	98	98
NUMBER OF COMMERCIAL VEHICLES RECEIVING SAFETY INSPECTIONS AT WEIGH STATIONS	5,007	5,007	5,007	5,007
PERCENT OF COMMERCIAL VEHICLES INSPECTED ISSUED VIOLATIONS (%)	91	91	91	91

**REGULATION OF MOTOR VEHICLES & THEIR USE****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								
Special Transportation Fund	110	10	0	120	120	120	120	120
Federal and Other Activities	2	0	0	2	2	2	2	2

Other Positions Equated to Full Time	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Special Transportation Fund	8,399	6,499	6,498	6,498	6,500	6,500

**Financial Summary**

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	7,879,719	7,727,488	8,492,073	8,340,406	8,361,304	8,918,400	8,770,933	8,789,073
Other Expenses	744,751	717,422	741,928	725,173	717,217	763,301	730,294	704,704
<u>Capital Outlay</u>								
Equipment	215,702	0	333,217	264,216	201,912	276,000	207,327	149,252
<u>Other Current Expenses</u>								
IGNITION INTERLOCK DEVICE PROGRAM	0	0	60,028	0	0	64,342	0	0
TOTAL-Special Transportation Fund	8,840,172	8,444,910	9,627,246	9,329,795	9,280,433	10,022,043	9,708,554	9,643,029
<u>Additional Funds Available</u>								
Private Funds	0	3,071,038	3,071,038	3,071,038	3,071,038	3,071,038	3,071,038	3,071,038
<b>Federal Contributions</b>								
Distractive Driving Campaign	48,000	0	0	0	0	0	0	0
20218 National Motor Carrier Safety	341,596	353,021	246,000	246,000	246,000	246,000	246,000	246,000
20234 Safety Data Improvement Program	96,544	222,213	0	0	0	0	0	0
20240 Fuel Tax Evasion-Intergovernmental Enforcement Eff	163	0	0	0	0	0	0	0
84327 Special Education Technology & Media	72,677	0	0	0	0	0	0	0
97088 Disaster Assistance Projects	24,830	18,502	0	0	0	0	0	0
TOTAL - All Funds	9,423,982	12,109,684	12,944,284	12,646,833	12,597,471	13,339,081	13,025,592	12,960,067

## SUPPORT SERVICES

**Statutory Reference**

C.G.S. Sections 14-12, 14-36 and 14-36a.

**Statement of Need and Program Objectives**

To provide fiscal and logistical support to all agency operations. To enhance the department's effectiveness through computerized accessibility to and integrity of information. To provide maintenance and upkeep of buildings and grounds. To support both mail and in-person transactions. To ensure a clean, safe and healthy environment for customers and staff.

**Program Description**

The *Fiscal Services Division* provides accounting, budgeting, purchasing, and inventory services for all divisions. It prepares the annual agency budget request, administers the agency budget, processes purchase requests and maintains accounting records. This division also collects fees for copies of documents, makes bank deposits, creates proper accounting records and reconciles account balances.

The *Human Resources Division* ensures that the department is staffed at optimum levels for performance and efficiency. This division oversees all labor relations, recruitment, selection, promotion, worker's compensation, and payroll services for the agency. This division is also responsible for developing, implementing and effectively enforcing personnel policies, including the training of supervisory staff.

The *Organizational Development and Support Services Division* provides internal consulting, training management and staff development services for the agency. This division provides contracts and grants administration services in conjunction with fiscal services and other business areas. This division manages and oversees:

- The DMV Evolution (LEAN) processes;
- The agency's strategic planning efforts;
- The development of new methods for delivering agency services to its clientele; and
- Training requests by the agency.

The *Information Systems and Technology Division* is functionally divided into two areas. The technical operations/support area is responsible for all hardware support and the development and operation of departmental data processing applications, including the technical support needed to operate them. The applications area is responsible for the development and maintenance of the software needs of the department, including the development of new applications and the enhancement of existing systems.

*CIVLS (Connecticut Integrated Vehicle and Licensing System)*, the agency's major business and technology enhancement initiative, is well underway and will be completed within the 5 year contract to end in December 2014. This will bring the DMV into the web world of technology and enhance customer service options.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
REVENUE FOR SALE OF COMMERCIAL INFORMATION (\$000)	23,646	23,646	23,646	23,646
HOURS AUDITING REVENUE ASSETS, MONEY FLOW	9,069	9,069	9,069	9,069
ELECTRONICALLY STORED RECORDS MAINTAINED (M)	447	447	447	447
ELECTRONICALLY BASED TRANSACTIONS PROCESSED (M)	26	26	26	26

## SUPPORT 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	99	9	-1	107	116	112	117	113
Special Transportation Fund	16	1	0	17	17	17	17	17

*Other Positions Equated to Full Time*

	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>
Special Transportation Fund	1,855	977	992	992	994	994

**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	126,751	114,569	130,038	96,626	0	139,234	103,119	0
Other Expenses	89,153	89,562	91,505	91,505	0	94,159	94,159	0
TOTAL-General Fund	215,904	204,131	221,543	188,131	0	233,393	197,278	0
Personal Services	8,333,922	8,549,576	9,740,337	9,566,376	9,590,346	10,341,125	10,170,133	10,191,166
Other Expenses	8,488,958	7,988,654	9,524,708	9,309,609	9,207,475	9,445,390	9,036,952	8,720,286
<b>Capital Outlay</b>								
Equipment	182,109	600,000	219,500	174,047	133,005	249,500	187,420	134,922

Other Current Expenses

Real Time Online Registration	214,420	0	0	0	0	885,600	0	0
Commercial Veh Info Sys & Networks Project	35,306	296,289	205,445	205,445	205,445	208,666	208,666	208,666
TOTAL-Special Transportation Fund	17,254,715	17,434,519	19,689,990	19,255,477	19,136,271	21,130,281	19,603,171	19,255,040

Additional Funds Available**Federal Contributions**

20218 National Motor Carrier Safety	655,440	1,514,208	1,514,208	1,514,208	1,514,208	1,514,208	1,514,208	1,514,208
20232 Commercial Driver License State Programs	107,506	500,000	0	0	0	0	0	0
93281 Mental Health Research Career/Scientist	295,439	572,164	0	0	0	0	0	0
97089 Real ID Program	1,265,264	1,189,509	0	0	0	0	0	0
TOTAL - All Funds	19,794,268	21,414,531	21,425,741	20,957,816	20,650,479	22,877,882	21,314,657	20,769,248

**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	268,410	256,231	280,200	0	297,141	0
Other	368	352	352	0	352	0
Overtime	1,972	1,883	1,996	0	2,116	0
TOTAL-Personal Services Gross	270,750	258,466	282,548	0	299,609	0
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	270,750	258,466	282,548	0	299,609	0

Other Expenses-Contractual Services

Telecommunication Services	929	933	953	0	981	0
DP Services, Rentals and Maintenance	89,153	89,562	91,505	0	94,159	0
Postage	67,791	68,105	69,583	0	71,601	0
Printing & Binding	27,187	27,312	27,905	0	28,714	0

Other Expenses-Commodities

Office Supplies	14,415	14,481	14,795	0	15,224	0
TOTAL-Other Expenses Gross	199,475	200,393	204,741	0	210,679	0
Less Reimbursements						
TOTAL-Other Expenses Net	199,475	200,393	204,741	0	210,679	0

**AGENCY FINANCIAL SUMMARY - SPECIAL TRANSPORTATION 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	34,412,722	34,995,805	38,244,843	37,655,911	40,332,589	39,746,074
Other Positions	3,229,487	3,920,813	5,494,170	5,409,565	5,823,298	5,709,833
Other	1,239,496	382,641	915,455	901,358	938,877	951,389
Overtime	759,247	461,746	482,523	475,093	504,238	501,464
TOTAL-Personal Services Gross	39,640,952	39,761,005	45,136,991	44,441,927	47,599,002	46,908,760
Less Reimbursements						
Less Turnover	0	0	-259,578	-1,073,000	-275,154	-1,137,380
TOTAL-Personal Services Net	39,640,952	39,761,005	44,877,413	43,368,927	47,323,848	45,771,380

Other Expenses-Contractual Services

Dues and Subscriptions	36,642	35,298	36,063	34,862	37,108	34,260
Utility Services	720,225	693,795	750,201	725,214	816,469	753,791
Rentals, Storage and Leasing	1,138,158	1,127,730	1,437,215	1,389,347	1,713,164	1,581,648

**Budget-in-Detail**

Telecommunication Services	1,050,063	1,011,530	1,036,230	1,001,717	1,068,951	986,890
General Repairs	944,007	909,364	965,748	933,582	1,029,340	950,318
Motor Vehicle Expenses	334,032	321,774	328,757	317,808	338,291	312,322
Fees for Outside Professional Services	183,951	177,201	181,176	175,142	186,513	172,195
Fees for Non-Professional Services	1,550,861	1,703,202	2,153,798	2,082,062	2,738,398	2,528,176
DP Services, Rentals and Maintenance	2,307,893	2,034,236	3,420,770	3,306,837	3,036,827	2,803,696
Postage	1,707,350	1,644,696	1,680,386	1,624,419	1,842,717	1,701,255
Travel	49,050	47,250	48,876	47,249	50,875	46,970
Other Contractual Services	272,376	262,381	273,795	264,676	287,288	265,233
Advertising and Marketing	1,397	1,346	1,375	1,329	1,415	1,306
Printing & Binding	24,590	23,688	24,202	23,396	24,904	22,992
<u>Other Expenses-Commodities</u>						
Books	19,299	18,591	18,995	18,362	19,546	18,045
Clothing and Personal Supplies	64,906	62,524	64,231	62,092	66,434	61,334
Maintenance and Motor Vehicle Supplies	496,677	478,451	504,506	487,703	522,787	482,654
Fuel	84,344	81,249	111,744	108,022	123,782	114,279
Office Supplies	1,149,822	1,107,628	1,144,164	1,106,055	1,189,482	1,098,168
Refunds of Expenditures Not Otherwise Classified	1,537,877	1,481,443	1,513,589	1,463,177	1,557,483	1,437,918
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	33,481	32,249	32,950	31,852	33,904	31,301
TOTAL-Other Expenses Gross	13,707,001	13,255,626	15,728,771	15,204,903	16,685,678	15,404,751
Less Reimbursements						
TOTAL-Other Expenses Net	13,707,001	13,255,626	15,728,771	15,204,903	16,685,678	15,404,751
<u>Other Current Expenses</u>						
Real Time Online Registration	214,420	0	0	0	885,600	0
Commercial Veh Info Sys & Networks Project	35,306	296,289	205,445	205,445	208,666	208,666
IGNITION INTERLOCK DEVICE PROGRAM	0	0	60,028	0	64,342	0
TOTAL-Other Current Expenses	249,726	296,289	265,473	205,445	1,158,608	208,666
<u>Nonfunctional - Change to Accruals</u>	0	0	0	272,024	0	295,860

**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	270,750	258,466	282,548	209,950	0	299,609	221,895	0
Other Expenses Net	199,475	200,393	204,741	204,741	0	210,679	210,679	0
Nonfunctional - Change to Accruals	0	0	0	0	0	0	755	0
TOTAL-General Fund Net	470,225	458,859	487,289	414,691	0	510,288	433,329	0
Personal Services Net	39,640,952	39,761,005	44,877,413	43,257,853	43,368,927	47,323,848	45,674,566	45,771,380
Other Expenses Net	13,707,001	13,255,626	15,728,771	15,373,564	15,204,903	16,685,678	15,964,154	15,404,751
Capital Outlay	430,000	600,000	1,069,653	848,153	648,153	950,500	714,000	514,000
Other Current Expenses	249,726	296,289	265,473	205,445	205,445	1,158,608	208,666	208,666
Nonfunctional - Change to Accruals	0	0	0	268,218	272,024	0	351,194	295,860
TOTAL-Special Transportation Fund Net	54,027,679	53,912,920	61,941,310	59,953,233	59,699,452	66,118,634	62,912,580	62,194,657
<u>Additional Funds Available</u>								
Federal and Other Activities	2,907,459	4,369,617	1,760,208	1,760,208	1,760,208	1,760,208	1,760,208	1,760,208
Auto Emissions	5,463,485	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000	7,985,000
Private Funds	5,620	3,073,058	3,071,038	3,071,038	3,071,038	3,071,038	3,071,038	3,071,038
TOTAL-All Funds Net	62,874,468	69,799,454	75,244,845	73,184,170	72,515,698	79,445,168	76,162,155	75,010,903

# MILITARY DEPARTMENT

## Agency Description

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

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

Collectively, the Connecticut Army and Air National Guards and the organized Militia augment federal, state and local authorities in the

event of emergencies; provide emergency management planning, funding and training assistance to communities and conducts community service programs.

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

## AGENCY PROGRAM INDEX

Facilities Management	130	Management Services	132
Operation of Militia Units	131		

## RECOMMENDED SIGNIFICANT CHANGES

<b>Reductions to Current Services</b>	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation	-111,633	-217,047
• Remove Funding for Salary Increases for Appointed Officials	-17,069	-35,860
• Annualize FY 2013 Rescissions	-23,974	-23,974
• Reduce Funds Provided for Premises Repair and Maintenance Services and Supplies	-46,000	0
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-2,610	-2,610
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-2,615	1,012

## 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	41	1	0	42	42	42	42	42
Federal and Other Activities	66	4	1	71	71	71	71	71

<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>
Federal and Other Activities	12	12	12	12	12	12

<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>
Facilities Management	26,208,129	23,051,416	24,510,837	24,395,527	24,228,798	26,029,623	25,808,099	25,574,815
Operation of Militia Units	1,390,763	999,911	1,161,836	1,087,433	1,071,459	1,180,124	1,100,885	1,084,911
Management Services	2,154,255	2,389,381	2,925,035	2,681,353	2,662,770	2,724,158	2,638,016	2,607,783
<b>TOTAL Agency Programs - All Funds Gross</b>	<b>29,753,147</b>	<b>26,440,708</b>	<b>28,597,708</b>	<b>28,164,313</b>	<b>27,963,027</b>	<b>29,933,905</b>	<b>29,547,000</b>	<b>29,267,509</b>
Less Turnover	0	0	-8,587	-35,433	-35,433	-8,932	-8,932	-8,932
Nonfunctional - Change to Accruals	0	0	0	22,797	20,182	0	18,598	19,610
<b>TOTAL Agency Programs - All Funds Net</b>	<b>29,753,147</b>	<b>26,440,708</b>	<b>28,589,121</b>	<b>28,151,677</b>	<b>27,947,776</b>	<b>29,924,973</b>	<b>29,556,666</b>	<b>29,278,187</b>
<b>Summary of Funding</b>								
General Fund Net	6,302,723	6,004,100	7,210,587	6,773,143	6,569,242	7,429,605	7,061,298	6,782,819
Federal and Other Activities	23,395,655	20,392,608	21,330,534	21,330,534	21,330,534	22,452,368	22,452,368	22,452,368
Private Funds	54,769	44,000	48,000	48,000	48,000	43,000	43,000	43,000
<b>TOTAL Agency Programs - All Funds Net</b>	<b>29,753,147</b>	<b>26,440,708</b>	<b>28,589,121</b>	<b>28,151,677</b>	<b>27,947,776</b>	<b>29,924,973</b>	<b>29,556,666</b>	<b>29,278,187</b>

**FACILITIES MANAGEMENT**

**Statutory Reference**

C.G.S. Title 27.

**Statement of Need and Program Objectives**

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

**Program Description**

The department maintains 40 facilities throughout the state, which include 19 readiness centers/armories, nine maintenance shops, two Army aviation support facilities, four training site facilities, two horse guard facilities, two militia sites and two Air National Guard bases.

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

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Facilities Operating Cost				
Total Cost	24639512	23053012	24303250	25852657
Federally Reimbursed Cost	21199915	19494168	20437647	21574010
State Cost	3439597	3558844	3865603	4278647
Total Cost per Sq.Ft.	9.8558048	9.2212048	9.7213	10.3410628
Federally Reimbursed Cost	8.479966	7.7976672	8.1750588	8.629604
State Cost	1.3758388	1.4235376	1.5462412	1.7114588
Youth Educational Programs				
Starbase - Youth Educated	1523	1590	1590	1590

**FACILITIES 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	22	0	0	22	22	22	22	22
Federal and Other Activities	66	4	1	71	71	71	71	71

**Other Positions Equated to Full Time**

	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>
Federal and Other Activities	5	5	5	5	5	5

**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	1,250,209	1,143,887	1,256,116	1,205,186	1,198,700	1,325,451	1,275,161	1,261,534
Other Expenses	2,349,114	2,401,628	2,841,606	2,777,225	2,616,982	3,193,420	3,022,185	2,802,528

**Capital Outlay**

Equipment	0	1	0	1	1	0	1	1
TOTAL-General Fund	3,599,323	3,545,516	4,097,722	3,982,412	3,815,683	4,518,871	4,297,347	4,064,063

**Additional Funds Available**

Private Funds	78	0	0	0	0	0	0	0
---------------	----	---	---	---	---	---	---	---

**Federal Contributions**

New England Disaster Training	9,061	0	0	0	0	0	0	0
12400 Military Construction, National Guard	6,997,451	2,191,667	2,175,902	2,175,902	2,175,902	2,300,969	2,300,969	2,300,969
12401 National Guard Military Operations and Maintenance	13,680,714	14,606,586	15,386,549	15,386,549	15,386,549	16,208,491	16,208,491	16,208,491
12404 National Guard Civilian Youth Opportunities	214,732	214,732	225,468	225,468	225,468	236,742	236,742	236,742
45312 National Leadership Grants	663,151	663,151	696,308	696,308	696,308	731,124	731,124	731,124
66701 Toxic Substances Compliance Monitoring	1,043,619	1,829,764	1,928,888	1,928,888	1,928,888	2,033,426	2,033,426	2,033,426
TOTAL - All Funds	26,208,129	23,051,416	24,510,837	24,395,527	24,228,798	26,029,623	25,808,099	25,574,815

**OPERATION OF MILITIA UNITS**

**Statutory Reference**

C.G.S. Title 27.

**Statement of Need and Program Objectives**

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

**Program Description**

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

The state organized militia, comprised of the Governor's First and Second Company Foot Guards and First and Second Company Horse Guards, have an approximate combined strength of 204

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

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

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

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

<b>Program Measure</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimated</b>	<b>FY 2014 Projected</b>	<b>FY 2015 Projected</b>
Honor Guards				
Funeral Honors	301300	319500	471,526	471,526
Funeral Honors Performed	3609	3609	3609	3609
Emergency Duty Days	4537	300	300	300

**OPERATION OF MILITIA UNITS**

	<b>FY 2012</b>	<b>FY 2013</b>	<b>FY 2014</b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2015</b>
<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	7	7	7	7	7	7

**Financial Summary**

	<b>FY 2012</b>	<b>FY 2013</b>	<b>FY 2014</b>	<b>Current</b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>Current</b>	<b>FY 2015</b>
<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	519,575	117,876	191,320	180,524	180,524	200,876	190,675	190,675
Other Expenses	249,171	254,741	116,962	107,205	107,205	120,342	105,154	105,154
<b>Other Current Expenses</b>								
Honor Guard	301,300	319,500	541,350	487,500	471,526	541,350	487,500	471,526
TOTAL-General Fund	1,070,046	692,117	849,632	775,229	759,255	862,568	783,329	767,355
<b>Additional Funds Available</b>								
Private Funds	40,691	24,000	23,000	23,000	23,000	23,000	23,000	23,000
<b>Federal Contributions</b>								
CDC - DPH Grant	61,043	65,000	65,000	65,000	65,000	65,000	65,000	65,000
New England Disaster Training	82,890	85,000	85,000	85,000	85,000	85,000	85,000	85,000
12401 National Guard Military Operations and Maintenance	86,453	84,154	89,204	89,204	89,204	94,556	94,556	94,556
97039 Hazard Mitigation Grant	49,640	49,640	50,000	50,000	50,000	50,000	50,000	50,000
TOTAL - All Funds	1,390,763	999,911	1,161,836	1,087,433	1,071,459	1,180,124	1,100,885	1,084,911

## MANAGEMENT SERVICES

**Statutory Reference**

C.G.S. Title 27.

**Statement of Need and Program Objectives**

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

**Program Description**

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

The Adjutant General's Office provides leadership through the development of policy, the issuance of regulations and operational monitoring to insure the established standards set are attained and maintained. The office also coordinates activities with the National Guard Bureau.

The Administrative Services Office is responsible for processing all financial transactions and preparing and monitoring the department's budget, as well as implementing personnel standards, preparing payrolls and maintaining state employee personnel records. It purchases supplies, services, materials, equipment and issues contracts for repair, modernization and new construction of the department's facilities. It also manages the cooperative agreements between the state and federal government which provide federal funds in support of the state's National Guard.

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

Program Measure	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Veterans' Service Bonuses	46,300	160,000	312,000	172,000
Veterans' Service Bonuses	101	200	800	300

## 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	19	1	0	20	20	20	20	20

**Financial Summary**

(Net of Reimbursements)	FY 2012 Actual	FY 2013 Estimated	FY 2014 Requested	Current Services	FY 2014 Recommended	FY 2015 Requested	Current Services	FY 2015 Recommended
Personal Services	1,505,844	1,523,442	1,701,679	1,625,517	1,614,934	1,784,346	1,709,910	1,687,677
Other Expenses	81,210	83,025	90,141	82,621	82,621	92,752	81,046	81,046
<u>Other Current Expenses</u>								
Veterans' Service Bonuses	46,300	160,000	480,000	320,000	312,000	180,000	180,000	172,000
TOTAL-General Fund	1,633,354	1,766,467	2,271,820	2,028,138	2,009,555	2,057,098	1,970,956	1,940,723
<u>Additional Funds Available</u>								
Private Funds	14,000	20,000	25,000	25,000	25,000	20,000	20,000	20,000
<b>Federal Contributions</b>								
12401 National Guard Military Operations and Maintenance	475,926	567,466	591,175	591,175	591,175	608,909	608,909	608,909
12404 National Guard Civilian Youth Opportunities	6,058	5,550	5,783	5,783	5,783	5,956	5,956	5,956
66701 Toxic Substances Compliance Monitoring	24,917	29,898	31,257	31,257	31,257	32,195	32,195	32,195
TOTAL - All Funds	2,154,255	2,389,381	2,925,035	2,681,353	2,662,770	2,724,158	2,638,016	2,607,783

## AGENCY FINANCIAL SUMMARY - GENERAL FUND

Current Expenses by Minor Object	FY 2012 Actual	FY 2013 Estimated	FY 2014 Requested	FY 2014 Recommended	FY 2015 Requested	FY 2015 Recommended
<u>Personal Services</u>						
Permanent Fulltime Positions	2,576,640	2,522,920	2,713,451	2,696,382	2,854,792	2,818,932
Other Positions	426,191	140,495	210,080	117,440	220,161	122,735
Other	186,242	53,195	86,316	60,336	88,095	72,819
Overtime	86,555	68,595	139,268	120,000	147,625	125,400
TOTAL-Personal Services Gross	3,275,628	2,785,205	3,149,115	2,994,158	3,310,673	3,139,886
Less Reimbursements						
Less Turnover	0	0	-8,587	-35,433	-8,932	-8,932
TOTAL-Personal Services Net	3,275,628	2,785,205	3,140,528	2,958,725	3,301,741	3,130,954

Other Expenses-Contractual Services

Dues and Subscriptions	432	442	452	442	466	442
Utility Services	708,341	734,358	849,207	774,358	942,909	819,358
Rentals, Storage and Leasing	6,868	7,021	7,174	7,021	7,383	7,021
Telecommunication Services	27,115	27,720	28,321	27,720	29,143	27,720
General Repairs	958,764	980,052	1,103,534	1,076,833	1,244,210	1,195,068
Motor Vehicle Expenses	32,183	32,902	33,616	32,902	34,590	32,902
Fees for Outside Professional Services	77,910	79,511	110,328	96,905	113,193	96,905
Fees for Non-Professional Services	167,706	171,606	195,695	181,606	201,371	181,606
DP Services, Rentals and Maintenance	1,099	1,124	1,148	1,124	1,181	1,124
Postage	8,508	8,698	8,886	8,698	9,143	8,698
Travel	1,060	1,238	1,265	1,238	1,302	1,238
Other Contractual Services	66,847	68,341	76,896	68,341	94,027	68,341
Printing & Binding	1,097	1,122	1,146	1,122	1,180	1,122

Other Expenses-Commodities

Agriculture, Horticulture, Dairy & Food	22,513	23,017	31,018	23,017	31,918	23,017
Clothing and Personal Supplies	3,488	3,566	3,643	3,566	3,748	3,566
Maintenance and Motor Vehicle Supplies	262,892	268,766	328,543	301,600	352,634	309,600
Fuel	108,623	114,296	213,600	147,512	282,242	158,512
Office Supplies	57,516	58,902	60,179	58,902	61,923	58,902
Refunds of Expenditures Not Otherwise Classified	5,337	5,458	5,576	5,458	5,738	5,458

Other Expenses-Sundry

Employee Fringe Benefits	1,096	1,122	1,142	1,122	1,162	1,122
Sundry - Other Items	160,168	163,530	903	884	929	884
TOTAL-Other Expenses Gross	2,679,495	2,752,723	3,062,272	2,820,371	3,420,392	3,002,606
Less Reimbursements	-68	-13,398	-13,563	-13,563	-13,878	-13,878
TOTAL-Other Expenses Net	2,679,495	2,739,394	3,048,709	2,806,808	3,406,514	2,988,728

Other Current Expenses

Honor Guard	301,300	319,500	541,350	471,526	541,350	471,526
Veterans' Service Bonuses	46,300	160,000	480,000	312,000	180,000	172,000
TOTAL-Other Current Expenses	347,600	479,500	1,021,350	783,526	721,350	643,526

Nonfunctional - Change to Accruals

	0	0	0	20,182	0	19,610
--	---	---	---	--------	---	--------

**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	3,275,628	2,785,205	3,140,528	2,975,794	2,958,725	3,301,741	3,166,814	3,130,954
Other Expenses Net	2,679,495	2,739,394	3,048,709	2,967,051	2,806,808	3,406,514	3,208,385	2,988,728
Capital Outlay	0	1	0	1	1	0	1	1
Other Current Expenses	347,600	479,500	1,021,350	807,500	783,526	721,350	667,500	643,526
Nonfunctional - Change to Accruals	0	0	0	22,797	20,182	0	18,598	19,610
TOTAL-General Fund Net	6,302,723	6,004,100	7,210,587	6,773,143	6,569,242	7,429,605	7,061,298	6,782,819
<u>Additional Funds Available</u>								
Federal and Other Activities	23,395,655	20,392,608	21,330,534	21,330,534	21,330,534	22,452,368	22,452,368	22,452,368
Private Funds	54,769	44,000	48,000	48,000	48,000	43,000	43,000	43,000
TOTAL-All Funds Net	29,753,147	26,440,708	28,589,121	28,151,677	27,947,776	29,924,973	29,556,666	29,278,187

# DEPARTMENT OF BANKING

## AGENCY DESCRIPTION

The Department of Banking is responsible for the regulation and examination of financial institutions and various related entities chartered, licensed or registered by the state. The commissioner is charged with administering the banking and credit union laws of the state as well as the laws regarding securities, tender offers and business opportunities. The commissioner also administers the Truth-in-Lending Act and other consumer credit laws.

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

*The Financial Institutions Division* is responsible for the supervision of state-chartered bank and trust companies, savings banks, savings & loan associations and credit unions. The division also licenses foreign banking organizations that establish and maintain representative offices, agency offices or branch offices in Connecticut, and supervises bank holding companies.

*The Consumer Credit Division* regulates the activities of mortgage lenders, brokers, and loan originators; small loan companies; sales

finance companies; debt adjusters; debt negotiators; consumer collection agencies; money transmitters; issuers of money orders and traveler's checks and check cashing services. The division is responsible for the licensing and examination of these entities and the enforcement of related Connecticut laws. The division also administers Truth-in-Lending laws and retail installment sales financing laws.

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

*Management Services* consists of the commissioner's office and business, human resource and information technology functions of the agency.

## AGENCY PROGRAM INDEX

Financial Institutions Division	135	Management Services	137
Securities & Business Investments	136		
Consumer Credit	136		

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-34,080	-76,478
• Remove Funding for Salary Increases for Appointed Officials	-7,521	-15,800
• Reduce Expenditures for the Department of Banking <i>Removes funding for three vacant positions and associated fringe benefits expenses, and reduces funding for training.</i>	-183,752	-200,377
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-1,706	-1,706
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-8,042	-2,043

## 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	112	6	0	118	118	115	118	115
Banking Fund								

<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>
Financial Institutions Division	6,099,864	6,249,247	6,659,898	6,457,854	6,357,028	6,899,173	6,754,692	6,632,052
Securities & Business Investments	4,182,221	4,100,505	4,557,593	4,259,522	4,204,241	4,746,805	4,456,184	4,388,678
Consumer Credit	4,194,910	4,226,799	4,587,290	4,356,839	4,330,525	4,816,163	4,558,222	4,522,148
Management Services	4,273,720	4,435,680	4,423,131	4,254,803	4,210,165	4,614,845	4,443,278	4,375,137
TOTAL Agency Programs - All Funds Gross	18,750,715	19,012,231	20,227,912	19,329,018	19,101,959	21,076,986	20,212,376	19,918,015
Less Turnover	0	0	-60,405	-148,451	-148,451	-62,217	-155,422	-155,422
Nonfunctional - Change to Accruals	0	0	0	80,751	72,709	0	114,039	111,996
TOTAL Agency Programs - All Funds Net	18,750,715	19,012,231	20,167,507	19,261,318	19,026,217	21,014,769	20,170,993	19,874,589
<b>Summary of Funding</b>								
Banking Fund Net	18,449,686	19,012,231	20,167,507	19,261,318	19,026,217	21,014,769	20,170,993	19,874,589
Private Funds	301,029	0	0	0	0	0	0	0
TOTAL Agency Programs - All Funds Net	18,750,715	19,012,231	20,167,507	19,261,318	19,026,217	21,014,769	20,170,993	19,874,589

## FINANCIAL INSTITUTIONS DIVISION

### Statutory Reference

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

### Statement of Need and Program Objectives

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

### Program Description

The major activities of this division include: conducting examinations of state-chartered depository institutions, holding companies and

foreign banking organizations to ensure compliance with statutory and regulatory requirements; preparing a Report of Examination for each institution examined to evaluate safety and soundness of the institution; processing applications for new charters, mergers and acquisitions, establishing new branches, purchase/sale of branches, conversions, trust powers and service corporations; and monitoring compliance with the Community Reinvestment Act and investigating complaints.

## FINANCIAL INSTITUTIONS 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	35	1	0	36	36	34	36	34
Banking Fund								

<b>Financial Summary (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	3,340,730	3,422,626	3,546,015	3,521,381	3,463,635	3,677,915	3,688,061	3,626,148
Other Expenses	476,065	479,239	491,252	491,252	468,630	505,692	505,692	466,899
<b>Other Current Expenses</b>								
Fringe Benefits	2,035,981	2,274,212	2,300,365	2,429,905	2,409,447	2,393,300	2,544,934	2,523,000
Indirect Overhead	247,088	73,170	322,266	15,316	15,316	322,266	16,005	16,005
TOTAL-Banking Fund	6,099,864	6,249,247	6,659,898	6,457,854	6,357,028	6,899,173	6,754,692	6,632,052

## SECURITIES AND BUSINESS INVESTMENTS

**Statutory Reference**

C.G.S. Title 36b.

**Statement of Need and Program Objectives**

To protect the Connecticut investing public and to foster capital expansion by discharging enforcement, examination and registration responsibilities under the Connecticut Uniform Securities Act, the Connecticut Business Opportunity Investment Act, and the Connecticut Tender Offer Act. To help the investing public make informed investment decisions by requiring full and adequate disclosure concerning securities and business opportunity offerings.

To promote regulatory compliance as well as investor protection through a comprehensive educational outreach program.

**Program Description**

The following activities promote the division's objectives: examining broker-dealer and investment adviser locations; investigating alleged violations of state securities and business opportunity investment laws; addressing complaints and inquiries received from Connecticut investors; registering broker-dealer and investment adviser firms and agents; and registering public offerings of securities and business opportunities.

**SECURITIES & BUSINESS INVESTMENTS****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								
Banking Fund	25	2	0	27	27	26	27	26

**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	2,290,650	2,212,250	2,368,132	2,349,093	2,320,220	2,472,654	2,460,284	2,429,328
Other Expenses	276,679	270,951	277,101	277,101	264,340	285,282	285,282	263,364
<u>Other Current Expenses</u>								
Fringe Benefits	1,447,744	1,567,806	1,652,468	1,620,976	1,607,329	1,728,977	1,697,711	1,683,079
Indirect Overhead	167,148	49,498	259,892	12,352	12,352	259,892	12,907	12,907
TOTAL-Banking Fund	4,182,221	4,100,505	4,557,593	4,259,522	4,204,241	4,746,805	4,456,184	4,388,678

## CONSUMER CREDIT

**Statutory Reference**

C.G.S. Title 36a, Chapters 668 and 669.

**Statement of Need and Program Objectives**

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

sales financing, debt adjusting/negotiating and consumer collections. Objectives are also achieved through the administration of Truth-in-Lending, creditors' collection practices and retail installment sales financing laws.

**Program Description**

Program objectives are achieved through the licensing, examination and enforcement of laws and regulations relating to the following activities: mortgage lending, small loan lending, check cashing, money transmitting, issuance of Connecticut payment instruments,

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

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

**CONSUMER CREDIT****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								
Banking Fund	27	2	0	29	29	29	29	29

**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	2,312,037	2,315,806	2,435,192	2,413,583	2,413,583	2,565,151	2,527,827	2,527,827
Other Expenses	254,484	260,887	266,924	266,924	254,632	274,732	274,732	253,692
<u>Other Current Expenses</u>								
Fringe Benefits	1,461,241	1,600,608	1,656,470	1,665,477	1,651,455	1,747,576	1,744,319	1,729,285
Indirect Overhead	167,148	49,498	228,704	10,855	10,855	228,704	11,344	11,344
TOTAL-Banking Fund	4,194,910	4,226,799	4,587,290	4,356,839	4,330,525	4,816,163	4,558,222	4,522,148

## MANAGEMENT SERVICES

### Statutory Reference

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

### Statement of Need and Program Objectives

To establish the required policies and guidelines needed to manage and operate the Department of Banking. To provide support functions to assist line divisions in their regulatory responsibilities. To directly assist and serve agency customers, including the general public, regulated entities and government officials.

### Program Description

Management Services encompasses the following units.

*Commissioner's Office* sets overall policy for the agency and directs management in the achievement of its regulatory and supervisory responsibilities.

*Business Office* is responsible for the accounting, budgeting, fiscal, payroll, purchasing and financial reporting functions of the agency.

*Government Relations and Consumer Affairs Division* assists consumers with issues involving banks, credit unions, investment problems, mortgage lending and other consumer credit matters, foreclosure assistance and issues involving rental security deposits.

*Human Resources Office* addresses day-to-day employee issues, employee benefits, labor relations and professional development activities.

*Information Technology Unit* provides information systems and office automation support.

## 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
Banking Fund	25	1	0	26	26	26	26	26

### 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	2,081,078	2,272,112	2,155,604	2,152,601	2,145,080	2,260,145	2,254,490	2,238,690
Other Expenses	293,320	471,725	497,399	497,399	472,788	509,968	509,968	471,035
<u>Capital Outlay</u>								
Equipment	132,807	37,200	40,202	37,200	37,200	40,202	37,200	37,200
<u>Other Current Expenses</u>								
Fringe Benefits	1,320,143	1,611,602	1,501,221	1,485,387	1,472,881	1,575,825	1,555,704	1,542,296
Indirect Overhead	145,343	43,041	228,705	82,216	82,216	228,705	85,916	85,916
TOTAL-Banking Fund	3,972,691	4,435,680	4,423,131	4,254,803	4,210,165	4,614,845	4,443,278	4,375,137
<u>Additional Funds Available</u>								
Private Funds	301,029	0	0	0	0	0	0	0
TOTAL - All Funds	4,273,720	4,435,680	4,423,131	4,254,803	4,210,165	4,614,845	4,443,278	4,375,137

## AGENCY FINANCIAL SUMMARY - BANKING FUND

### Current Expenses by Minor Object

Personal Services	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions	9,703,107	9,811,531	10,053,595	9,802,599	10,515,987	10,252,768
Other Positions	97,324	88,132	93,420	93,420	99,025	99,025
Other	223,011	324,239	360,856	449,427	363,853	473,200
Overtime	1,053	3,050	1,300	1,300	1,300	1,300
TOTAL-Personal Services Gross	10,024,495	10,226,952	10,509,171	10,346,746	10,980,165	10,826,293
Less Reimbursements	0	-4,158	-4,228	-4,228	-4,300	-4,300
Less Turnover	0	0	-60,405	-148,451	-62,217	-155,422
TOTAL-Personal Services Net	10,024,495	10,222,794	10,444,538	10,194,067	10,913,648	10,666,571

### Other Expenses-Contractual Services

Dues and Subscriptions	80,293	87,211	89,104	87,211	91,689	87,211
Rentals, Storage and Leasing	735,356	736,720	752,707	736,720	774,536	736,720
Telecommunication Services	25,321	49,511	50,586	49,511	52,053	49,511
General Repairs	12,924	16,095	16,445	16,095	16,922	16,095
Motor Vehicle Expenses	13,663	49,296	50,366	49,296	51,828	49,296

**Budget-in-Detail**

Fees for Outside Professional Services	11,532	14,692	15,094	14,692	15,585	14,692
Fees for Non-Professional Services	48,971	54,283	55,461	54,283	57,071	54,283
DP Services, Rentals and Maintenance	44,177	196,175	215,656	196,175	219,853	196,175
Postage	20,782	21,018	21,474	19,312	22,097	19,312
Travel	286,761	220,982	225,777	200,276	232,325	194,876
Other Contractual Services	113	275	281	275	289	275
Advertising and Marketing	522	521	533	521	548	521
Printing & Binding	56	100	102	100	104	100
<u>Other Expenses-Commodities</u>						
Maintenance and Motor Vehicle Supplies	5,548	36,300	39,037	36,300	40,138	36,300
Medical Supplies	36	155	162	155	169	155
Office Supplies	14,264	19,238	19,656	19,238	20,226	19,238
Refunds of Expenditures Not Otherwise Classified	210	210	215	210	221	210
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	19	20	20	20	20	20
TOTAL-Other Expenses Gross	1,300,548	1,502,802	1,552,676	1,480,390	1,595,674	1,474,990
Less Reimbursements	0	-20,000	-20,000	-20,000	-20,000	-20,000
TOTAL-Other Expenses Net	1,300,548	1,482,802	1,532,676	1,460,390	1,575,674	1,454,990
<u>Other Current Expenses</u>						
Fringe Benefits	6,265,109	7,054,228	7,110,524	7,141,112	7,445,678	7,477,660
Indirect Overhead	726,727	215,207	1,039,567	120,739	1,039,567	126,172
TOTAL-Other Current Expenses	6,991,836	7,269,435	8,150,091	7,261,851	8,485,245	7,603,832
<u>Nonfunctional - Change to Accruals</u>	0	0	0	72,709	0	111,996

**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	10,024,495	10,222,794	10,444,538	10,288,207	10,194,067	10,913,648	10,775,240	10,666,571
Other Expenses Net	1,300,548	1,482,802	1,532,676	1,532,676	1,460,390	1,575,674	1,575,674	1,454,990
Capital Outlay	132,807	37,200	40,202	37,200	37,200	40,202	37,200	37,200
Other Current Expenses	6,991,836	7,269,435	8,150,091	7,322,484	7,261,851	8,485,245	7,668,840	7,603,832
Nonfunctional - Change to Accruals	0	0	0	80,751	72,709	0	114,039	111,996
TOTAL-Banking Fund Net	18,449,686	19,012,231	20,167,507	19,261,318	19,026,217	21,014,769	20,170,993	19,874,589
<u>Additional Funds Available</u>								
Private Funds	301,029	0	0	0	0	0	0	0
TOTAL-All Funds Net	18,750,715	19,012,231	20,167,507	19,261,318	19,026,217	21,014,769	20,170,993	19,874,589

# INSURANCE DEPARTMENT

## AGENCY DESCRIPTION

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

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

## AGENCY PROGRAM INDEX

Examination	139	Agency Management Services	141
Life and Health	140	Consumer Services and Business Regulation Division	142
Property and Casualty Division	140		

## RECOMMENDED SIGNIFICANT CHANGES

	<u>FY 2014</u>	<u>FY 2015</u>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-17,827	-44,027
• Remove Funding for Salary Increases for Appointed Officials	-15,633	-32,843
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-25	-25
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-943	-1,177

## 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	144	15	0	159	159	159	159	159
Insurance Fund								
<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	<u>FY 2012 Actual</u>	<u>FY 2013 Estimated</u>	<u>FY 2014 Requested</u>	<u>Current Services</u>	<u>FY 2014 Recommended</u>	<u>FY 2015 Requested</u>	<u>Current Services</u>	<u>FY 2015 Recommended</u>
Examination	5,139,757	5,595,888	5,861,619	5,833,241	5,826,855	6,145,112	6,110,610	6,097,194
Life and Health	800,056	871,058	978,367	973,630	972,565	1,026,067	1,019,926	1,017,687
Property and Casualty Division	1,030,376	1,121,817	1,115,162	1,109,763	1,108,548	1,166,238	1,162,532	1,159,980
Agency Management Services	12,982,218	15,411,801	16,650,849	16,026,812	16,005,231	17,609,904	16,643,196	16,591,311
Consumer Services and Business Regulation Division	2,606,244	2,837,537	2,972,880	2,958,487	2,955,249	3,112,549	3,099,162	3,092,359
TOTAL Agency Programs - All Funds Gross	22,558,651	25,838,101	27,578,877	26,901,933	26,868,448	29,059,870	28,035,426	27,958,531
Less Turnover	0	0	-45,000	-204,957	-204,957	-50,000	-215,063	-215,063
Nonfunctional - Change to Accruals	0	0	0	143,761	142,818	0	167,047	165,870
TOTAL Agency Programs - All Funds Net	22,558,651	25,838,101	27,533,877	26,840,737	26,806,309	29,009,870	27,987,410	27,909,338
<b>Summary of Funding</b>								
Insurance Fund Net	22,344,500	25,618,101	27,306,877	26,840,737	26,806,309	28,774,870	27,987,410	27,909,338
Private Funds	214,151	220,000	227,000	0	0	235,000	0	0
TOTAL Agency Programs - All Funds Net	22,558,651	25,838,101	27,533,877	26,840,737	26,806,309	29,009,870	27,987,410	27,909,338

## EXAMINATION

### Statutory Reference

C.G.S. Chapters 697, 698, 698a-d, 700a, 700d, 701d and 706.

### Statement of Need and Program Objectives

To monitor the financial condition of insurance companies licensed to transact the business of insurance in the State of Connecticut in order to protect policyholders, claimants and the public by ensuring

that only solvent, financially well managed insurers are licensed to do business in Connecticut. "Insurer" includes life insurance companies, property/casualty insurance companies, surplus lines carriers, health maintenance organizations, fraternal benefit societies, title insurance companies, mortgage guaranty insurance companies, insurance departments of savings banks, approved reinsurers, and risk retention/purchasing groups.

**Program Description**

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

The division reviews the applications of insurers incorporated in other states that desire to be admitted to do business in

Connecticut. In addition, the division handles formation and licensing of new Connecticut domiciled insurers. The division makes recommendations for the revocation of licenses or authority to do business in this state when its review indicates the financial condition of an insurer is such that it may jeopardize Connecticut policyholders and claimants.

**EXAMINATION****Personnel Summary**

Permanent Full-Time Positions Insurance Fund	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>
	59	7	0	66	66	66	66	66

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

Personal Services TOTAL-Insurance Fund	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>
	5,139,757	5,595,888	5,861,619	5,833,241	5,826,855	6,145,112	6,110,610	6,097,194
	5,139,757	5,595,888	5,861,619	5,833,241	5,826,855	6,145,112	6,110,610	6,097,194

**LIFE AND HEALTH****Statutory Reference**

C.G.S.Chapters 700b and 700c.

**Statement of Need and Program Objectives**

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

**Program Description**

All life and health insurance policies must be approved by the Life and Health Division prior to being sold in Connecticut to ensure

compliance with statutes, regulations and bulletins. Premium rates are reviewed for individual health, HMO, Medicare supplement, long-term care and credit insurance policies. Rate increase requests are disapproved if they are judged to be excessive, inadequate or unfairly discriminatory. The managed care subunit produces a managed care report card and licenses utilization review companies.

The division receives approximately 2,500 filing submissions annually for insurance companies, fraternal and health care centers licensed to sell life and health products.

Licenses were issued to or renewed for 61 utilization review companies in 2012.

**LIFE AND HEALTH****Personnel Summary**

Permanent Full-Time Positions Insurance Fund	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>
	10	0	0	10	10	10	10	10

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

Personal Services TOTAL-Insurance Fund	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>
	800,056	871,058	978,367	973,630	972,565	1,026,067	1,019,926	1,017,687
	800,056	871,058	978,367	973,630	972,565	1,026,067	1,019,926	1,017,687

**PROPERTY AND CASUALTY DIVISION****Statutory Reference**

C.G.S.Section 38a-8 and Chapter 700.

**Statement of Need and Program Objectives**

To ensure a competitive market as promulgated by the laws established under chapter 700 of the General Statutes, which establishes standards for the regulation of personal and commercial risk insurance.

**Program Description**

The Property and Casualty (P&C) Division reviews all rate, rule and form filings made by property and casualty insurers in the state. The

P&C division is responsible for regulating over 23 lines of business for over 500 licensed companies. Personal lines insurance consists of private passenger auto, homeowners, mobile home, excess liability and umbrella coverage, watercraft and recreational vehicles. Commercial insurance includes: property and liability insurance for commercial vehicles and businesses, and insurance for manufacturers, contractors, hospitals, municipalities and workers' compensation. It also includes covering professional liability insurance for lawyers, doctors, dentists, and other professionals, as well as title insurance and surety.

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

The division also oversees operation of the residual markets (assigned risk plans). Rates in the residual markets are subject to prior approval by the P&C division.

#### PROPERTY AND CASUALTY 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
Insurance Fund	12	0	0	12	12	12	12	12

##### 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	1,030,376	1,121,817	1,115,162	1,109,763	1,108,548	1,166,238	1,162,532	1,159,980
TOTAL-Insurance Fund	1,030,376	1,121,817	1,115,162	1,109,763	1,108,548	1,166,238	1,162,532	1,159,980

#### AGENCY MANAGEMENT SERVICES

##### Statutory Reference

C.G.S. Section 38a-8.

##### Statement of Need and Program Objectives

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

##### Program Description

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

The Business Office is responsible for all functions relating to budget and fiscal management services.

The Legal Division provides legal advice and related services to the commissioner and the operational units of the Insurance Department.

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

The Public Affairs Unit provides support to the Insurance Department in the areas of legislative and media relations.

#### 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
Insurance Fund	31	3	0	34	34	34	34	34

##### 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	2,953,859	3,216,168	3,422,464	3,405,895	3,402,166	3,585,245	3,567,844	3,560,011
Other Expenses	2,021,279	2,022,453	2,092,673	2,045,280	2,027,428	2,127,443	2,071,480	2,027,428
<u>Capital Outlay</u>								
Equipment	73,855	40,060	140,250	119,750	119,750	65,750	52,600	52,600
<u>Other Current Expenses</u>								
Fringe Benefits	7,659,481	9,440,147	10,165,816	9,853,241	9,853,241	10,946,466	10,321,507	10,321,507
Indirect Overhead	59,593	472,973	602,646	602,646	602,646	650,000	629,765	629,765
TOTAL-Insurance Fund	12,768,067	15,191,801	16,423,849	16,026,812	16,005,231	17,374,904	16,643,196	16,591,311
<u>Additional Funds Available</u>								
Private Funds	214,151	220,000	227,000	0	0	235,000	0	0
TOTAL - All Funds	12,982,218	15,411,801	16,650,849	16,026,812	16,005,231	17,609,904	16,643,196	16,591,311

**CONSUMER SERVICES AND BUSINESS REGULATION DIVISION**

**Statutory Reference**

C.G.S. Section 38-a-9 and 38a-10, Section 38a-15, Section 38a-11 and Chapter 702.

**Statement of Need and Program Objectives**

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

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

**Program Description**

The Consumer Affairs Unit (CAU) reviews complaints in order to answer questions, mediate disputes, and inform and educate the public on insurance matters. The consumer affairs examiners respond to all forms of insurance inquiries, and review, analyze and mediate complaints. During FY 2012, the unit responded to 6,070 formal complaints and inquiries and handled over 25,000 phone calls. In addition, the Consumer Affairs unit provided insurance education by mail with the distribution of close to 181 informational pamphlets and booklets. As a direct result of this unit's involvement, \$3,916,286 was recovered by Connecticut consumers during the fiscal year.

The Consumer Affairs Unit outreach program educates the community on insurance matters, and represents the Insurance Department on a number of committees. The outreach programs assists consumers in getting the proper information to make timely and informed decisions on what coverage would best meet their needs.

Consumer Affairs Unit also oversees an independent arbitration procedure for settlement of disputes between claimants and insurance companies concerning auto physical damage and automobile property damage liability claims, and to settle disputes arising from extended warranty contracts between extended warranty providers and buyers.

In compliance with Section 38a-478n, the unit manages the external appeal process for policyholders that have exhausted the internal appeal mechanisms provided by a managed care organization or utilization review company and handles the referral to an independent review firm for a binding determination.

The unit received 273 external appeal requests during the fiscal year. Of those, 166 of them went through the full appeal process. Thirty percent of those cases resulted in reversal or revision of the determination.

The Market Conduct Unit conducts on-site examinations of insurers' and licensed producers' books and records as they relate to coverage

written for Connecticut citizens and commercial enterprises. To assure statutory compliance, the scope of an examination includes a review of underwriting techniques, claim resolution, and complaint handling records. Random document samples of policy declarations, cancellations, and non-renewals are retrospectively analyzed for adherence to statutory mandates.

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

The *Fraud and Investigations Unit* provides further protection to consumers by investigating alleged violations of laws and regulations by individuals such as bail bondsmen, insurance producers, casualty adjusters and motor vehicle damage appraisers. The Fraud and Investigations Unit conducts full investigations of individual licensees when violations of laws are alleged or suspected.

The unit also receives complaints alleging fraud committed against insurers, individual licensees (agents) as well as health plans, and, as appropriate, refers such allegations for criminal investigation or for regulatory or civil action. It also handles the licensing and investigation of bail bonds activity, medical discount plans, pharmacy benefit managers, preferred provider networks, third party administrators and life settlement providers for compliance with our statutes while issuing licenses and registrations to conduct these businesses.

In fiscal year 2012 the Fraud and Investigations Unit recovered \$82,750 for consumers and levied 40 fines totaling \$75,850. Additionally, the Unit revoked 25 licenses and issued one suspension, as well as denying 18 license applications.

The *Licensing Unit* assures quality through licensing twelve categories of individuals and entities, selling or servicing insurance in the following manner: establishes and reviews educational standards and requirements to be used by all parties for pre-license training, develops and administers license examinations for special lines of insurance, monitors examinations provided by an outside examination firm, and determines qualifications of applicants, The unit issues initial licenses and renews existing licenses for the following classes: producer, casualty adjuster, motor vehicle physical damage appraiser, premium finance company, fraternal agent, public adjuster, insurance consultant, surplus lines broker, life settlement broker, reinsurance intermediary, bail bond agent, managing general agent, and rental car company. This unit also collects the premium tax due from surplus lines brokers.

**CONSUMER SERVICES AND BUSINESS REGULATION 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
Insurance Fund	32	5	0	37	37	37	37	37

**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	2,606,244	2,837,537	2,972,880	2,958,487	2,955,249	3,112,549	3,099,162	3,092,359
TOTAL-Insurance Fund	2,606,244	2,837,537	2,972,880	2,958,487	2,955,249	3,112,549	3,099,162	3,092,359

## 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>
<b><u>Personal Services</u></b>						
Permanent Fulltime Positions	12,121,914	13,197,848	13,848,492	13,648,164	14,518,211	14,304,679
Other Positions	31,453	34,244	75,000	35,000	83,000	36,575
Other	376,021	406,376	423,000	581,219	430,000	584,932
Overtime	904	4,000	4,000	1,000	4,000	1,045
TOTAL-Personal Services Gross	12,530,292	13,642,468	14,350,492	14,265,383	15,035,211	14,927,231
Less Reimbursements						
Less Turnover	0	0	-45,000	-204,957	-50,000	-215,063
TOTAL-Personal Services Net	12,530,292	13,642,468	14,305,492	14,060,426	14,985,211	14,712,168
<b><u>Other Expenses-Contractual Services</u></b>						
Dues and Subscriptions	110,175	112,231	114,667	112,231	117,993	112,231
Utility Services	69,245	73,000	76,366	73,000	80,885	73,000
Rentals, Storage and Leasing	1,294,621	1,295,296	1,300,990	1,295,296	1,306,938	1,295,296
Telecommunication Services	17,395	11,800	12,056	11,800	12,406	11,800
General Repairs	64,726	65,750	67,176	65,750	69,123	65,750
Motor Vehicle Expenses	4,860	4,860	4,965	4,860	5,109	4,860
Fees for Outside Professional Services	61,730	53,150	54,457	53,150	56,135	53,150
Fees for Non-Professional Services	3,499	3,714	3,845	3,714	3,998	3,714
DP Services, Rentals and Maintenance	83,927	75,000	96,543	94,950	98,284	94,950
Postage	75,638	60,600	61,915	60,600	63,711	60,600
Travel	134,084	142,000	183,000	142,000	192,000	142,000
Other Contractual Services	9,955	10,500	10,729	10,500	11,040	10,500
Advertising and Marketing	1,800	2,200	2,000	2,200	2,058	2,200
<b><u>Other Expenses-Commodities</u></b>						
Maintenance and Motor Vehicle Supplies	974	1,100	1,183	1,100	1,216	1,100
Office Supplies	63,850	59,000	60,281	59,000	62,029	59,000
Refunds of Expenditures Not Otherwise Classified	2,417	2,000	1,500	2,000	1,500	2,000
<b><u>Other Expenses-Sundry</u></b>						
Employee Fringe Benefits	4,011	25,252	1,000	1,000	1,018	1,000
Sundry - Other Items	18,372	25,000	40,000	34,277	42,000	34,277
TOTAL-Other Expenses Gross	2,021,279	2,022,453	2,092,673	2,027,428	2,127,443	2,027,428
Less Reimbursements						
TOTAL-Other Expenses Net	2,021,279	2,022,453	2,092,673	2,027,428	2,127,443	2,027,428
<b><u>Other Current Expenses</u></b>						
Fringe Benefits	7,659,481	9,440,147	10,165,816	9,853,241	10,946,466	10,321,507
Indirect Overhead	59,593	472,973	602,646	602,646	650,000	629,765
TOTAL-Other Current Expenses	7,719,074	9,913,120	10,768,462	10,455,887	11,596,466	10,951,272
<b><u>Nonfunctional - Change to Accruals</u></b>						
	0	0	0	142,818	0	165,870

<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	12,530,292	13,642,468	14,305,492	14,076,059	14,060,426	14,985,211	14,745,011	14,712,168
Other Expenses Net	2,021,279	2,022,453	2,092,673	2,045,280	2,027,428	2,127,443	2,071,480	2,027,428
Capital Outlay	73,855	40,060	140,250	119,750	119,750	65,750	52,600	52,600
Other Current Expenses	7,719,074	9,913,120	10,768,462	10,455,887	10,455,887	11,596,466	10,951,272	10,951,272
Nonfunctional - Change to Accruals	0	0	0	143,761	142,818	0	167,047	165,870
TOTAL-Insurance Fund Net	22,344,500	25,618,101	27,306,877	26,840,737	26,806,309	28,774,870	27,987,410	27,909,338
<b><u>Additional Funds Available</u></b>								
Private Funds	214,151	220,000	227,000	0	0	235,000	0	0
TOTAL-All Funds Net	22,558,651	25,838,101	27,533,877	26,840,737	26,806,309	29,009,870	27,987,410	27,909,338

# OFFICE OF CONSUMER COUNSEL

## AGENCY DESCRIPTION

The Office of Consumer Counsel (OCC) is an independent state agency charged with advocating for Connecticut consumers in all matters involving utility-related services.

The OCC initiates and participates in regulatory and judicial proceedings, both federal and state, working toward the goal that Connecticut's consumers should receive the highest quality and most reliable utility services at the lowest reasonable cost.

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	0	-7,779
• Remove Funding for Salary Increases for Appointed Officials	-6,850	-14,391
• Eliminate Funding for Vacancies <i>Removes funding for four vacant positions and associated fringe benefits expenses.</i>	-435,416	-467,602
• Reduce Other Expenses <i>Reduce funding for travel and consultant services.</i>	-20,091	-27,716
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-22,020	-5,092

## 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								
Consumer Counsel and Public Utility Control Fund	13	4	0	17	16	13	16	13

<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>
Utility Consumer Advocacy & Assistance	2,563,173	2,765,588	2,903,569	3,011,471	2,549,114	3,176,183	3,158,896	2,641,408
TOTAL Agency Programs - All Funds Gross	2,563,173	2,765,588	2,903,569	3,011,471	2,549,114	3,176,183	3,158,896	2,641,408
Less Turnover	0	0	-35,501	-35,501	-35,501	-37,410	-37,410	-37,410
Nonfunctional - Change to Accruals	0	0	0	22,020	0	0	19,531	14,439
TOTAL Agency Programs - All Funds Net	2,563,173	2,765,588	2,868,068	2,997,990	2,513,613	3,138,773	3,141,017	2,618,437
<b>Summary of Funding</b>								
Consumer Counsel/Public Utility Fund Net	2,563,173	2,765,588	2,868,068	2,997,990	2,513,613	3,138,773	3,141,017	2,618,437
TOTAL Agency Programs - All Funds Net	2,563,173	2,765,588	2,868,068	2,997,990	2,513,613	3,138,773	3,141,017	2,618,437

## UTILITY CONSUMER ADVOCACY AND ASSISTANCE

### Statutory Reference

C.G.S. §16-2a (as amended by P.A. 12-148), and §16-49.

### Statement of Need and Program Objectives

To protect the interests of Connecticut's utility consumers and to help provide them with the lowest utility rates possible commensurate with the highest quality and most reliable services.

### Program Description

The OCC represents consumers before the Public Utility Regulatory Authority (PURA), state and federal courts, the Federal Energy

Regulatory Commission (FERC), the Federal Communications Commission (FCC) and other forums. OCC continues to be active in state and federal court cases that affect Connecticut utility consumers, and initiates state court cases (administrative appeals) on ratepayers behalf when warranted. OCC also compiles an annual scorecard which tallies ratepayer savings, and serves on energy-related boards and commissions.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Interventions	500	550	550	550
Cases Decided by PURA/DEEP	495	545	545	545
Consumer Complaints and Inquiries	500	500	500	500
New Dockets Opened-Not Including Reopened	200	225	250	250

**UTILITY CONSUMER ADVOCACY & ASSISTANCE****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								
Consumer Counsel and Public Utility Control Fund	13	4	0	17	16	13	16	13

**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	1,147,011	1,362,827	1,462,569	1,525,146	1,262,169	1,539,125	1,606,234	1,316,783
Other Expenses	343,513	396,029	371,748	371,748	351,657	511,231	379,527	344,032
<u>Capital Outlay</u>								
Equipment	4,375	5,600	5,600	2,200	2,200	5,600	2,200	2,200
<u>Other Current Expenses</u>								
Fringe Benefits	703,607	933,437	994,027	1,042,752	863,463	1,047,469	1,098,177	905,635
Indirect Overhead	364,667	67,695	69,625	69,625	69,625	72,758	72,758	72,758
TOTAL-Consumer Counsel/Public Utility Fund	2,563,173	2,765,588	2,903,569	3,011,471	2,549,114	3,176,183	3,158,896	2,641,408

**AGENCY FINANCIAL SUMMARY - CONSUMER COUNSEL AND PUBLIC UTILITY CONTROL 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	1,118,131	1,328,512	1,420,040	1,210,195	1,496,385	1,262,953
Other	28,880	34,315	42,529	51,974	42,740	53,830
TOTAL-Personal Services Gross	1,147,011	1,362,827	1,462,569	1,262,169	1,539,125	1,316,783
Less Reimbursements						
Less Turnover	0	0	-35,501	-35,501	-37,410	-37,410
TOTAL-Personal Services Net	1,147,011	1,362,827	1,427,068	1,226,668	1,501,715	1,279,373
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	31,442	36,247	37,034	36,247	38,108	36,247
Utility Services	18,063	20,823	21,827	20,823	23,175	20,823
Rentals, Storage and Leasing	137,047	157,992	127,920	157,992	131,630	157,992
Telecommunication Services	1,158	1,335	1,364	1,335	1,404	1,335
General Repairs	37,842	43,625	44,572	43,625	173,785	43,625
Fees for Outside Professional Services	44,031	50,760	51,861	14,004	53,365	6,379
Fees for Non-Professional Services	23,156	26,695	27,274	26,695	28,066	26,695
DP Services, Rentals and Maintenance	2,224	2,581	2,637	2,581	2,713	2,581
Postage	269	310	317	310	326	310
Travel	10,078	11,619	11,871	4,186	12,215	4,186
Other Contractual Services	2,731	3,148	3,216	3,148	3,310	3,148
Printing & Binding	16	18	18	18	19	18
<u>Other Expenses-Commodities</u>						
Fuel	646	745	1,024	745	1,119	745
Office Supplies	30,131	34,737	35,489	34,737	36,518	34,737
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	159	183	0	0	0	0
Sundry - Other Items	4,520	5,211	5,324	5,211	5,478	5,211
TOTAL-Other Expenses Gross	343,513	396,029	371,748	351,657	511,231	344,032
Less Reimbursements						
TOTAL-Other Expenses Net	343,513	396,029	371,748	351,657	511,231	344,032

Budget-in-Detail

Other Current Expenses

Fringe Benefits	703,607	933,437	994,027	863,463	1,047,469	905,635
Indirect Overhead	364,667	67,695	69,625	69,625	72,758	72,758
TOTAL-Other Current Expenses	<u>1,068,274</u>	<u>1,001,132</u>	<u>1,063,652</u>	<u>933,088</u>	<u>1,120,227</u>	<u>978,393</u>

Nonfunctional - Change to Accruals

0	0	0	0	0	14,439
---	---	---	---	---	--------

**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	1,147,011	1,362,827	1,427,068	1,489,645	1,226,668	1,501,715	1,568,824	1,279,373
Other Expenses Net	343,513	396,029	371,748	371,748	351,657	511,231	379,527	344,032
Capital Outlay	4,375	5,600	5,600	2,200	2,200	5,600	2,200	2,200
Other Current Expenses	1,068,274	1,001,132	1,063,652	1,112,377	933,088	1,120,227	1,170,935	978,393
Nonfunctional - Change to Accruals	0	0	0	22,020	0	0	19,531	14,439
TOTAL-Consumer Counsel/Public Utility Fund Net	<u>2,563,173</u>	<u>2,765,588</u>	<u>2,868,068</u>	<u>2,997,990</u>	<u>2,513,613</u>	<u>3,138,773</u>	<u>3,141,017</u>	<u>2,618,437</u>

# OFFICE OF THE HEALTHCARE ADVOCATE

## AGENCY DESCRIPTION

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

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

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-2,256	-5,439
• Remove Funding for Salary Increases for Appointed Officials	-6,708	-14,093
• Eliminate Enhanced Medicaid Recoveries Unit <i>Reduce funding for four positions and associated fringe benefits expenses.</i>	-518,659	-547,808
• Reduce Funding for Vacancies <i>Removes funding for one vacant position and associated fringe benefits expenses.</i>	-127,169	-135,737
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-24,899	-6,098

## 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>								
Insurance Fund	11	7	0	18	18	13	18	13
<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>
Healthcare Advocate	1,655,739	2,443,407	3,014,379	2,941,217	2,286,425	3,146,498	3,000,984	2,297,908
TOTAL Agency Programs - All Funds Gross	1,655,739	2,443,407	3,014,379	2,941,217	2,286,425	3,146,498	3,000,984	2,297,908
Nonfunctional - Change to Accruals	0	0	0	24,899	0	0	18,255	12,157
TOTAL Agency Programs - All Funds Net	1,655,739	2,443,407	3,014,379	2,966,116	2,286,425	3,146,498	3,019,239	2,310,065
<b>Summary of Funding</b>								
Insurance Fund Net	1,427,210	2,293,407	2,814,379	2,766,116	2,086,425	2,946,498	2,819,239	2,110,065
Federal and Other Activities	228,529	150,000	200,000	200,000	200,000	200,000	200,000	200,000
TOTAL Agency Programs - All Funds Net	1,655,739	2,443,407	3,014,379	2,966,116	2,286,425	3,146,498	3,019,239	2,310,065

## HEALTHCARE ADVOCATE

### Statutory Reference

C.G.S. Chapter 706b.

### Statement of Need and Program Objectives

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

### Program Description

The Office of the Healthcare Advocate (OHA) assists health insurance consumers to make informed choices when selecting a health plan, understand their rights and responsibilities under their plan, appeal

denials of service and reimbursement, and access services through information, referral and assistance.

OHA conducts outreach and education to consumers throughout the state via personal appearances, presentations, including educational programming on healthcare rights.

The agency manages several thousand healthcare cases a year, returning tens of millions of dollars to consumers in the form of overturned improper denials, access to services and refunds of overpayments. OHA also provides direct assistance with the filing and conduct of appeals.

Budget-in-Detail

**HEALTHCARE ADVOCATE**

**Personnel Summary**

Permanent Full-Time Positions Insurance Fund	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
	11	7	0	18	18	13	18	13

**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	720,459	1,268,100	1,379,489	1,375,247	993,680	1,463,109	1,433,558	1,022,421
Other Expenses	136,281	157,442	421,396	377,241	366,417	375,320	331,706	317,699
<b>Capital Outlay</b>								
Equipment	1,400	6,700	8,000	0	0	8,000	5,000	5,000
<b>Other Current Expenses</b>								
Fringe Benefits	451,597	841,954	979,438	962,673	700,272	1,068,069	1,003,491	725,559
Indirect Overhead	117,473	19,211	26,056	26,056	26,056	32,000	27,229	27,229
TOTAL-Insurance Fund	1,427,210	2,293,407	2,814,379	2,741,217	2,086,425	2,946,498	2,800,984	2,097,908

**Additional Funds Available**

**Federal Contributions**

CONSUMER ASSISTANCE	228,529	150,000	200,000	200,000	200,000	200,000	200,000	200,000
TOTAL - All Funds	1,655,739	2,443,407	3,014,379	2,941,217	2,286,425	3,146,498	3,000,984	2,297,908

**AGENCY FINANCIAL SUMMARY - INSURANCE 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	718,210	1,249,600	1,345,989	969,386	1,429,109	998,334
Other	2,249	18,500	33,500	24,294	34,000	24,087
TOTAL-Personal Services Gross	720,459	1,268,100	1,379,489	993,680	1,463,109	1,022,421
Less Reimbursements						
Less Turnover						
TOTAL-Personal Services Net	720,459	1,268,100	1,379,489	993,680	1,463,109	1,022,421

**Other Expenses-Contractual Services**

Dues and Subscriptions	5,222	10,000	10,217	8,884	10,513	8,899
Rentals, Storage and Leasing	23,154	30,000	289,145	251,422	239,234	202,505
Telecommunication Services	886	900	920	800	947	802
Fees for Outside Professional Services	3,500	5,000	5,109	4,442	5,257	4,450
Fees for Non-Professional Services	146	242	247	214	254	215
DP Services, Rentals and Maintenance	24,309	31,500	34,227	29,761	35,220	29,813
Postage	349	450	460	400	473	400
Advertising and Marketing	70,500	67,850	69,322	60,278	71,332	60,381

**Other Expenses-Commodities**

Clothing and Personal Supplies	1,777	0	0	0	0	0
Office Supplies	260	2,500	2,554	2,221	2,628	2,225

**Other Expenses-Sundry**

Employee Fringe Benefits	500	0	0	0	0	0
Sundry - Other Items	5,678	9,000	9,195	7,995	9,462	8,009
TOTAL-Other Expenses Gross	136,281	157,442	421,396	366,417	375,320	317,699
Less Reimbursements						
TOTAL-Other Expenses Net	136,281	157,442	421,396	366,417	375,320	317,699

**Other Current Expenses**

Fringe Benefits	451,597	841,954	979,438	700,272	1,068,069	725,559
Indirect Overhead	117,473	19,211	26,056	26,056	32,000	27,229
TOTAL-Other Current Expenses	569,070	861,165	1,005,494	726,328	1,100,069	752,788

**Nonfunctional - Change to Accruals**

	0	0	0	0	0	12,157
--	---	---	---	---	---	--------

Department of Insurance

**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	720,459	1,268,100	1,379,489	1,375,247	993,680	1,463,109	1,433,558	1,022,421
Other Expenses Net	136,281	157,442	421,396	377,241	366,417	375,320	331,706	317,699
Capital Outlay	1,400	6,700	8,000	0	0	8,000	5,000	5,000
Other Current Expenses	569,070	861,165	1,005,494	988,729	726,328	1,100,069	1,030,720	752,788
Nonfunctional - Change to Accruals	0	0	0	24,899	0	0	18,255	12,157
TOTAL-Insurance Fund Net	<u>1,427,210</u>	<u>2,293,407</u>	<u>2,814,379</u>	<u>2,766,116</u>	<u>2,086,425</u>	<u>2,946,498</u>	<u>2,819,239</u>	<u>2,110,065</u>
<u>Additional Funds Available</u>								
Federal and Other Activities	228,529	150,000	200,000	200,000	200,000	200,000	200,000	200,000
TOTAL-All Funds Net	<u>1,655,739</u>	<u>2,443,407</u>	<u>3,014,379</u>	<u>2,966,116</u>	<u>2,286,425</u>	<u>3,146,498</u>	<u>3,019,239</u>	<u>2,310,065</u>

# DEPARTMENT OF CONSUMER PROTECTION

## AGENCY DESCRIPTION

The department is a regulatory agency responsible for protecting citizens from physical injury and financial loss that may occur as the result of unsafe or fraudulent products and services marketed in the State of Connecticut. The department's mission is to ensure a fair and equitable marketplace as well as safe products and services for consumers in the industries that it regulates. This protection is achieved through the licensure, inspection, investigation, enforcement and public education activities conducted by staff in seven major programs: the regulation of food and standards; the regulation of drugs, cosmetics and medical devices; the regulation of alcoholic liquor; the regulation of occupational and professional

licensing; the regulation of trade practices; the regulation of gambling; and management services.

The department is responsible for enforcing numerous significant consumer protection laws including: the Connecticut Unfair Trade Practices Act; the Connecticut Pure Food, Drug and Cosmetic Act; the Connecticut State Child Protection Act; and the Connecticut Weights and Measures Act.

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

## AGENCY PROGRAM INDEX

Regulation of Food and Standards	153	Regulation of Occupational & Prof Licensing	157
Regulation of Drugs, Cosmetics & Med Devices	154	Regulation of Gambling	158
Regulation of Alcoholic Liquor	155	Agency Management Services	159
Regulation of Trade Practices & Consumer Complaint	156		

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-50,410	-101,161
• Remove Funding for Salary Increases for Appointed Officials	-19,396	-40,748
• Annualize FY 2013 Rescissions	-72,409	-72,409
• Reduce Personal Services Funding <i>Removes funding for four vacant positions and savings associated with the revised lottery drawing process.</i>	-289,587	-307,888
• Eliminate Funding for the Gaming Policy Board <i>This board is proposed for elimination.</i>	-2,621	-2,621
<b>Reallocations or Transfers</b>		
• Centralize Costs for On-line Licensing System at the Department of Administrative Services	-40,000	-40,000
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-22,821	-22,821
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-57,614	-3,376

## 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	192	23	15	230	230	232	230	232
Federal and Other Activities	51	0	-14	37	37	37	37	37
			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>
General Fund			2	2	2	2	2	2

<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>
Regulation of Food and Standards	2,279,322	2,283,947	2,350,444	2,319,622	2,296,285	2,446,058	2,418,257	2,387,639
Regulation of Drugs, Cosmetics & Medical Devices	1,650,424	1,864,558	1,936,652	1,923,670	1,913,454	1,815,408	1,803,566	1,790,163
Regulation of Alcoholic Liquor	3,032,226	3,310,923	3,438,175	3,411,956	3,392,369	3,580,568	3,554,830	3,529,133
Regulation of Trade Practices & Consumer Complainants	2,174,674	2,356,559	2,687,294	2,666,998	2,654,869	2,792,964	2,775,116	2,759,203
Regulation of Occupational & Professional Licensing	1,213,931	1,296,605	1,285,248	1,273,133	1,262,973	1,335,865	1,324,075	1,310,745
Regulation of Gambling	6,109,882	6,623,864	6,206,918	6,990,782	6,664,625	6,476,033	7,294,701	6,923,532
Agency Management Services	7,312,821	6,383,015	6,329,799	6,217,037	6,121,379	6,597,482	6,480,538	6,363,020
<b>TOTAL Agency Programs - All Funds Gross</b>	<b>23,773,280</b>	<b>24,119,471</b>	<b>24,234,530</b>	<b>24,803,198</b>	<b>24,305,954</b>	<b>25,044,378</b>	<b>25,651,083</b>	<b>25,063,435</b>
Less Turnover	0	0	0	-238,392	-238,392	0	-249,400	-249,400
Nonfunctional - Change to Accruals	0	0	0	140,839	83,225	0	100,938	97,562
<b>TOTAL Agency Programs - All Funds Net</b>	<b>23,773,280</b>	<b>24,119,471</b>	<b>24,234,530</b>	<b>24,705,645</b>	<b>24,150,787</b>	<b>25,044,378</b>	<b>25,502,621</b>	<b>24,911,597</b>
<b><i>Summary of Funding</i></b>								
General Fund Net	14,052,680	15,521,623	15,919,971	16,391,086	15,836,228	16,651,090	17,109,333	16,518,309
Federal and Other Activities	317,081	442,590	448,982	448,982	448,982	254,907	254,907	254,907
Private Funds	9,403,519	8,155,258	7,865,577	7,865,577	7,865,577	8,138,381	8,138,381	8,138,381
<b>TOTAL Agency Programs - All Funds Net</b>	<b>23,773,280</b>	<b>24,119,471</b>	<b>24,234,530</b>	<b>24,705,645</b>	<b>24,150,787</b>	<b>25,044,378</b>	<b>25,502,621</b>	<b>24,911,597</b>

## REGULATION OF FOOD AND STANDARDS

### **Statutory Reference**

C.G.S. Chapters 250, 250a, 296a, 416, 417, 418, 419a, 419b, 419c, 420d, 736, 743b, 750, 751, 752, and 753.

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

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

### **Program Description**

Program objectives are achieved through the following activities.

**Enforcement** The Food and Standards Division conducts inspections of food-processing plants, warehouses, retail food stores, bakeries, non-alcoholic beverage plants, frozen dessert plants, vending machine locations, apple juice and cider plants, gasoline stations, heating oil dealers and all weighing and measuring devices used commercially such as retail store scales, motor truck scales, petroleum meters and home delivery truck meters. It checks the packaging, labeling, unit pricing, scanning and advertising of food products, kosher foods and non-food items as well as restaurant menus, advertisements and gasoline station price signs to ensure that the contents and their weights are represented correctly. The division's investigation of consumer complaints entails interviews with consumers, manufacturers, wholesalers and retailers as well as sample collection and, in many cases, laboratory analysis. Pursuant

to a memorandum of understanding with the U. S. Department of Agriculture, the Food and Standards Division is responsible for conducting effectiveness checks on any meat and poultry recalls that affect the State of Connecticut.

**Crisis Response** The Food and Standards Division is an integral part of the State's inter-agency network for rapid response to food crises during emergency situations, natural disasters and nuclear-related emergencies. Two of the program's most important crisis response functions are those which pertain to product-tampering incidents and the federal/state recalls of food products. Both of these emergency situations entail communication with manufacturers and distributors, the collection of samples for testing, the possible removal of products from store shelves and complete monitoring of the incident or recall.

**Information and Referral** The Food and Standards Division responds to inquiries from citizens and licensees who are seeking information about food products, food-handling facilities, laboratory services, weights and measures devices, gasoline stations, petroleum products, product recalls, advertisements, state and federal laws and a wide variety of related issues.

**The Measurement Laboratory** The Food and Standards Division houses the State of Connecticut Measurement Center which has custody of the physical standards of mass, length, volume, and temperature (clinical thermometer standards.) The department must maintain accreditation from the U. S. Department of Commerce National Institute of Standards and Technology (NIST) in order to ensure that the calibration services provided to its public and private sector customers are certifiable.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Ratio and percentage of food inspections with resolution on first inspection to food inspections done annually	2386/2467 (96%)	2386/2467 (96%)	2386/2467 (96%)	2386/2467 (96%)
Ratio and percentage of consumer complaints closed to the total number of consumer complaints received annually	1159/1217 (95%)	1159/1217 (95%)	1159/1217 (95%)	1159/1217 (95%)
Number of samples collected & analyzed annually	479	479	479	479

**REGULATION OF FOOD AND STANDARDS****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	21	1	0	22	22	22	22	22
Federal and Other Activities	4	0	0	4	4	4	4	4

**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	1,574,318	1,641,896	1,692,312	1,689,318	1,689,318	1,764,290	1,763,524	1,763,524
Other Expenses	206,556	217,483	225,708	197,880	174,543	232,196	205,161	174,543
TOTAL-General Fund	1,780,874	1,859,379	1,918,020	1,887,198	1,863,861	1,996,486	1,968,685	1,938,067

**Additional Funds Available**

Private Funds	349,253	338,168	346,024	346,024	346,024	363,172	363,172	363,172
---------------	---------	---------	---------	---------	---------	---------	---------	---------

**Federal Contributions**

MFRPS FDA AWARD	124,520	60,000	60,000	60,000	60,000	60,000	60,000	60,000
10163 Market Protection & Promotion	24,675	26,400	26,400	26,400	26,400	26,400	26,400	26,400
TOTAL - All Funds	2,279,322	2,283,947	2,350,444	2,319,622	2,296,285	2,446,058	2,418,257	2,387,639

**REGULATION OF DRUGS, COSMETICS AND MEDICAL DEVICES****Statutory Reference**

C.G.S. Chapters 370, 400j, 416, 417, 418, 419, 420b, and 420c.

**Statement of Need and Program Objectives**

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

**Program Description**

Program objectives are achieved through the following activities.

**Enforcement** The Drug Control Division has both regulatory and enforcement authority (administrative and criminal) relating to the distribution of legal drugs in the State of Connecticut. Its oversight includes all health care practitioners who are authorized to prescribe controlled drugs in the state; all in-state manufacturers, wholesalers and laboratories that handle controlled drugs and/or other drugs, medical devices and cosmetics; and all out-of-state wholesalers that distribute drugs, medical devices and cosmetics within the State of Connecticut. Drug control agents conduct inspections of in-state pharmacies, institutional health care facilities, drug treatment programs, laboratories, individual practitioners' controlled substance stocks, and manufacturers and wholesalers of drugs, cosmetics and medical devices.

The Drug Control Division administers the state's prescription drug monitoring program which is used by physicians, pharmacists and

law enforcement to monitor distribution of controlled substance prescriptions, identify patterns of abuse, and initiate enforcement action where necessary. The Drug Control Division also administers the state's controlled substance drop box program.

The Drug Control Division administers the state's medical marijuana program. The first phase was implemented on October 1, 2012, which involved the certification of patients by their physicians.

**Crisis Response** The Drug Control Division is an integral component of the State's inter-agency network for rapid response to drug crises during emergency situations, natural disasters and nuclear-related emergencies. Two of the program's most important crisis response functions are those which pertain to product-tampering incidents and the federal/state recalls of drug products since potential public harm could occur as a result of the distribution of damaged or sub-potent products. Both of these emergency situations entail communication with manufacturers and distributors, the collection of samples for testing, the possible removal of products from store shelves and complete monitoring of the incident or recall.

**Information and Referral** The Drug Control Division responds to inquiries from citizens, licensees and law enforcement personnel who are seeking information about pharmaceutical products, drugs, cosmetics, medical devices, pharmacists, pharmacies, health care practitioners, product recalls, advertisements, state/federal laws and a wide variety of related issues.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Ratio and percentage of assigned investigations resulting in administrative or criminal actions	273/574 (48%)	300/600 (50%)	390/680 (57%)	390/680 (57%)
Ratio and percentage of law enforcement & health care professionals trained annually	2495/3000 (83%)	3000/3500 (86%)	4000/4500 (89%)	4000/4500 (89%)
Prescription Monitoring Program subscription for access	3700/4000 (92%)	4500/5000 (90%)	6000/6500 (92%)	6000/6500 (92%)

**REGULATION OF DRUGS, COSMETICS & MEDICAL DEVICES****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	1	14	14	14	14	14
Federal and Other Activities	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	1,210,364	1,260,267	1,307,340	1,307,340	1,307,340	1,381,456	1,381,456	1,381,456
Other Expenses	90,385	95,606	98,807	86,625	76,409	101,654	89,812	76,409
<u>Capital Outlay</u>								
Equipment	0	0	800	0	0	0	0	0
TOTAL-General Fund	1,300,749	1,355,873	1,406,947	1,393,965	1,383,749	1,483,110	1,471,268	1,457,865
<u>Additional Funds Available</u>								
Private Funds	330,631	302,990	322,133	322,133	322,133	323,452	323,452	323,452
<b>Federal Contributions</b>								
16002 Law Enforcement Asst-Narc/Dangerous Drugs State	19,044	205,695	207,572	207,572	207,572	8,846	8,846	8,846
TOTAL - All Funds	1,650,424	1,864,558	1,936,652	1,923,670	1,913,454	1,815,408	1,803,566	1,790,163

**REGULATION OF ALCOHOLIC LIQUOR****Statutory Reference**

C.G.S. Chapter 545.

**Statement of Need and Program Objectives**

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

**Program Description**

Program objectives are achieved through the following activities.

**Enforcement** The Liquor Control Division conducts inspections and investigations to ensure compliance with the provisions of state laws and regulations pertaining to the manufacture, importation, sale and dispensing of liquor. Applicants for liquor permits are investigated to assess their eligibility for licensure while establishments with permits are inspected to ensure that safety, sanitary conditions and suitability of conduct requirements are met. Field agents investigate alleged violations of the State Liquor Control Act that include the sale of alcohol to minors and intoxicated persons; the conduct of premises as it pertains to unlawful activity such as suspected drug dealing, fights, and illegal gambling; deceptive or unfair trade practices; pricing; labeling; violations of regulations regarding adult entertainment; purchases of liquor from prohibited entities; brand registration; reported instances of non-compliance; and consumer complaints involving liquor. The division works in a collaborative manner with state and municipal police officers to conduct joint

enforcement actions such as alcohol compliance operations that utilize trained minors. It also seizes liquor products, maintains the evidence for hearings and court cases and subsequently supervises the destruction or disposal of these products.

**Information and Referral** The Liquor Control Division responds to inquiries from citizens, permittees and law enforcement personnel who are seeking information about permit holders, permit requirements, brand registrations, the State Liquor Control Act and regulations, acceptable forms of identification and a wide variety of related issues. It conducts training programs for state and local law enforcement officers, holds workshops for permittees and servers and assists organizations by providing information and strategies designed to prevent underage drinking.

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

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Ratio and percentage of projected and assigned alcohol compliance checks completed annually	1227/850 (144%)	1250/1250 (100%)	1300/1300 (100%)	1300/1300 (100%)

**REGULATION OF ALCOHOLIC LIQUOR**

Budget-in-Detail

**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	25	4	-3	26	26	26	26	26
Federal and Other Activities	10	0	-3	7	7	7	7	7
			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			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
	<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	1,867,002	1,947,597	2,034,108	2,031,244	2,031,244	2,119,117	2,116,079	2,116,079
Other Expenses	173,960	183,153	189,433	166,078	146,491	194,888	172,188	146,491
TOTAL-General Fund	2,040,962	2,130,750	2,223,541	2,197,322	2,177,735	2,314,005	2,288,267	2,262,570
<u>Additional Funds Available</u>								
Private Funds	842,422	1,029,678	1,059,624	1,059,624	1,059,624	1,106,902	1,106,902	1,106,902
<b>Federal Contributions</b>								
COMPLIANCE CHECK OPS - DMHAS	55,105	56,758	58,461	58,461	58,461	60,215	60,215	60,215
20600 State & Community Highway Safety	93,737	93,737	96,549	96,549	96,549	99,446	99,446	99,446
TOTAL - All Funds	3,032,226	3,310,923	3,438,175	3,411,956	3,392,369	3,580,568	3,554,830	3,529,133

**REGULATION OF TRADE PRACTICES**

**Statutory Reference**

C.G.S. Chapters 214, 246, 283, 368a, 379, 392, 390, 391, 393b, 393c, 396, 399a, 400, 400b, 400f, 400g, 400h, 400i, 400l, 400m, 400o, 420, 420a, 420d, 407, 407a, 412, 419c, 419d, 482, 669, 734a, 734b, 735, 736, 740, 741, 743.

**Statement of Need and Program Objectives**

To protect public health and safety by regulating the manufacture, distribution and sale of bedding and upholstered furniture products and by enforcing the provisions of the State Child Protection Act. To ensure that occupational tradespeople and professional are properly engaged in their practice. To provide arbitration for the resolution of complaints concerning new automobiles and motorcycles purchased in Connecticut. The division has regulatory authority over the sale of real estate. Its oversight includes real estate brokers, agents, real estate appraisers, community association managers and mobile home park owners. To protect individual consumers and businesses from harm by detecting, preventing, and deterring unfair and deceptive business practices.

**Program Description**

Program objectives are achieved through the following activities.

**Enforcement** The Trade Practices Division receives complaints and conducts reviews and investigations to determine if violations of applicable laws exist. The division also enforces the State Child Protection Act and conducts product testing, monitor injury/death statistics and identifies priority issues from consumer complaints and inspections. Recalls are initiated and monitored when products do not comply with mandatory safety standards. Manufacturers of hazardous substances are inspected to determine if cautionary labeling is accurate and complete. Inspections of bedding and upholstered furniture are conducted at all levels of the manufacturing and distribution chain. The division regulates occupational tradespeople and professionals, real estate, health

clubs, homemaker companion agencies, itinerant vendors and hypnotists. It also administers the lemon law arbitration program which provides an independent arbitration mechanism to settle disputes between consumers and automobile manufacturers regarding defective new cars and motorcycles. The Trade Practices Division provides financial relief to consumers from fraudulent activities through its administration of the Home Improvement Guaranty Fund, the Health Club Guaranty Fund, the Itinerant Vendor Guaranty Fund and the New Home Construction Guaranty Fund.

**Crisis Response** The Trade Practices Division recalls products that fail to meet mandatory safety standards. These recall actions entail communication with manufacturers and distributors, collection of samples for testing, possible removal of products from store shelves and a complete monitoring of the product removed from distribution. The division must also respond immediately to cases where emerging hazards develop for new products that represent a serious threat to public health and safety.

**Information and Referral** The Trade Practices Division serves the public by processing, referring, tracking, mediating and making final disposition on all written complaints received.

**Prevention and Deterrence** The Fraud Division identifies, investigates, and intervenes to prevent, halt, and deter fraudulent conduct. Where appropriate, the division takes legal action against organizations that appear to be defrauding or otherwise harming consumers or markets. Where consumer harm has already occurred, the division also attempts to resolve consumer disputes either informally through negotiation or explanation of legal rights or formally through administrative hearings or court action.

**Information and Referral** The complaint center of the Fraud Division serves the public by providing relevant consumer education information, mediating complaints, making complaint histories available and tracking complaints so as to enable the division to identify harmful patterns of conduct and fraudulent practices.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Ratio and percentage of investigations resulting in administrative and criminal referrals	687/2322 (29%)	687/2322 (29%)	687/2322 (29%)	687/2322 (29%)
Ratio and percentage of consumer complaints completed within 60 days	4115/4552 (90%)	4200/4555 (92%)	4200/4555 (92%)	4200/4555 (92%)
Number of scheduled inspections conducted annually	453	455	460	460

#### REGULATION OF TRADE PRACTICES & CONSUMER COMPLAINT

##### 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	18	3	1	22	22	22	22	22
Federal and Other Activities	7	0	0	7	7	7	7	7

##### Financial Summary

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
(Net of Reimbursements)								
Personal Services	1,309,845	1,360,980	1,666,078	1,660,244	1,660,244	1,733,888	1,730,109	1,730,109
Other Expenses	108,120	114,119	117,301	102,839	90,710	120,692	106,623	90,710
TOTAL-General Fund	1,417,965	1,475,099	1,783,379	1,763,083	1,750,954	1,854,580	1,836,732	1,820,819
<u>Additional Funds Available</u>								
Private Funds	756,709	881,460	903,915	903,915	903,915	938,384	938,384	938,384
TOTAL - All Funds	2,174,674	2,356,559	2,687,294	2,666,998	2,654,869	2,792,964	2,775,116	2,759,203

#### REGULATION OF OCCUPATIONAL AND PROFESSIONAL LICENSING

##### Statutory Reference

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

##### Statement of Need and Program Objectives

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

##### Program Description

Program objectives are achieved through the following activities.

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

home parks, glaziers, operating stationary engineers and pool and spa repairers. The division ensures that applicants for licensure possess the required education and training by testing for specific knowledge of the licensed fields.

**Boards, Commissions and Councils** The Occupational and Professional Licensing Division provides administrative support and works closely with numerous licensing boards, commissions and councils to administer and enforce laws regarding eligibility for licensure and to develop and administer testing procedures that determine competency. These boards include the following: Plumbing and Piping Work Examining Board; Heating, Piping, Cooling and Sheet Metal Work Examining Board; Electrical Work Examining Board; Elevator Craftsman Work Examining Board; Fire Protection Sprinkler Work Examining Board; Automotive and Flat Glass Work Examining Board; Home Inspector Licensing Board; Architectural Licensing Board; State Boards of Examiners for Professional Engineers and Land Surveyors; State Board of Landscape Architects; Real Estate Commission; Real Estate Appraisal Commission; Board of Examiners of Shorthand Reporters; Major Contractor Advisory Council; and Mobile Manufactured Home Park Council.

**Information and Referral** The division responds to inquiries from citizens and licensees who are seeking information about licensing requirements, fees, state and local laws, licensees and a wide variety of related issues.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Ratio and percentage of inspections and investigations resulting in administrative referrals	334/720 (46%)	336/725 (46%)	336/725 (46%)	336/725 (46%)
Number of continuing education audits for occupational trades resulting in civil administrative actions	600/10000 (6%)	600/10000 (6%)	600/10000 (6%)	600/10000 (6%)
Number of new license applications processed within 30 days	400	450	550	550

**REGULATION OF OCCUPATIONAL & PROFESSIONAL LICENSING**

<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	13	0	0	13	13	13	13	13
Federal and Other Activities	2	0	0	2	2	2	2	2
<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	941,593	982,073	961,816	961,816	961,816	998,816	998,816	998,816
Other Expenses	91,132	95,950	98,263	86,148	75,988	101,108	89,318	75,988
TOTAL-General Fund	1,032,725	1,078,023	1,060,079	1,047,964	1,037,804	1,099,924	1,088,134	1,074,804
<b>Additional Funds Available</b>								
Private Funds	181,206	218,582	225,169	225,169	225,169	235,941	235,941	235,941
TOTAL - All Funds	1,213,931	1,296,605	1,285,248	1,273,133	1,262,973	1,335,865	1,324,075	1,310,745

**REGULATION OF GAMBLING**

**Statutory Reference**

C.G.S. Chapters 98, 226, 226a, 226b, and 226c.

**Statement of Need and Program Objectives**

To ensure the highest degree of integrity in the conduct of all forms of legalized gambling and the federally recognized Tribal Nations within the State of Connecticut by enforcing applicable statutes and by monitoring and educating to ensure compliance with the gaming laws and the tribal-state agreements.

**Program Description**

The Gaming Division discharges its responsibilities through the following activities.

**Casinos** The casino section monitors compliance with gaming procedures and with agreements between the State and the Mashantucket Pequot and Mohegan Tribes. The field staff assists in ensuring compliance with the memoranda of understanding between the tribes and the state by monitoring the drops and buys and reviewing the daily cash count to discover and reconcile any differences. In FY 2012, \$344.3 million was contributed to the state under the memoranda of understanding, with Foxwoods contributing \$165.5 million and the Mohegan Sun contributing \$178.8 million.

**Lottery** The lottery section ensures the integrity of the operation of the Connecticut Lottery Corporation (CLC) by reviewing procedures governing the operation of the lottery; enforcing statutory mandates and regulations; conducting field inspections of CLC headquarters, the lottery on-line vendor and approximately 3,000 lottery agent locations; and overseeing the testing of new lottery games. The lottery transferred \$310.0 million into the General Fund in FY 2012. The division regulated lottery sales of almost \$1.08 billion during FY 2012.

**Off-Track Betting** The off-track betting section ensures the integrity of the off-track betting system operations and betting activity by monitoring compliance with statutes and regulations involving licensing and integrity issues and oversees daily operations of telephone betting and twelve facilities, eleven of which are simulcast facilities. Off-track betting provided \$3.77 million to the General Fund in FY 2012.

**Charitable Games** The Charitable Games section assures compliance with applicable statutes and regulations. Gambling activities by charitable organizations produced total receipts in excess of \$32.1 million. Charitable games provided in excess of \$683,000 to the General Fund in FY 2012.

**Accounting and Gaming Audit Division** The Accounting Section accounts for revenue derived from charitable gaming registration and permit fees, bingos and sealed tickets. The Gaming Audit Section audits the casino slot revenue and the OTB provider, accounts for the OTB daily tax and chronic gamblers fee. The division also produces accounting and financial reports on State revenues from the casino slot machines, pari-mutuel wagering, and charitable gaming.

**Gaming Surveillance, Enforcement, and Assurance Division** The Gaming Surveillance, Enforcement and Assurance Division is responsible for upholding statutes and regulations as the law enforcement component of the division. The division personnel conduct initial criminal history checks on all individuals applying for gambling licenses and track all applications sent to the Connecticut State Police for background investigation reports. The division investigates violations of the statutes and regulations.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
State share of parimutuel and off-track betting revenue (\$M)	3.8	3.7	3.7	3.7
Charitable Games total revenue (\$M)	0.7	0.5	0.5	0.5

**REGULATION OF GAMBLING**

**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	45	6	-3	48	48	54	48	54
Federal and Other Activities	21	0	-11	10	10	10	10	10
			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>
General Fund			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
	<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	2,465,020	3,536,307	3,290,856	4,095,199	3,786,216	3,451,524	4,290,115	3,941,478
Other Expenses	153,478	161,616	166,101	145,622	128,448	170,903	150,980	128,448
TOTAL-General Fund	2,618,498	3,697,923	3,456,957	4,240,821	3,914,664	3,622,427	4,441,095	4,069,926
<i>Additional Funds Available</i>								
Private Funds	3,491,384	2,925,941	2,749,961	2,749,961	2,749,961	2,853,606	2,853,606	2,853,606
TOTAL - All Funds	6,109,882	6,623,864	6,206,918	6,990,782	6,664,625	6,476,033	7,294,701	6,923,532

**AGENCY MANAGEMENT SERVICES**

**Statutory Reference**

C.G.S. Chapter 416.

**Statement of Need and Program Objectives**

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

**Program Description**

The Office of the Commissioner sets the agency's course by identifying priorities and by anticipating marketplace problems.

Office of Consumer Education and Communications is responsible for providing relevant information to the public and alerting citizens to consumer news.

The Legal Services Office provides in-house legal support services through administrative enforcement actions such as formal hearings, compliance meetings, agreements containing consent orders, assurances of voluntary compliance, investigative demands and subpoenas.

The License Services Division processes all licenses, permits, registrations and certificates issued by the department. The License Services Division issues registrations and/or permits for authorized charitable gaming activities, and assures compliance with applicable statutes and regulations.

The Administrative and Accounting Services Office administers consumer restitution funds and accounts receivable activity.

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

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Ratio and percentage of license renewals processed & issued in less than 5 days	153M/204M (75%)	173M/226M (76%)	183M/226M (81%)	183M/226M (81%)
Ratio and percentage of renewal license applications processed electronically	62M/204M (30%)	73M/226M (32%)		80M/226M (35%)
Ratio and percentage of new license applications processed within 30 days	19916/24120 (82%)	21000/26000(81%)	21000/26000(81%)	21000/26000(81%)

**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	58	8	19	85	85	81	85	81
Federal and Other Activities	6	0	0	6	6	6	6	6

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	3,310,280	3,344,287	3,379,717	3,361,316	3,361,316	3,564,304	3,544,783	3,544,784
Other Expenses	549,190	577,530	677,773	594,211	501,311	702,696	616,072	501,311
<u>Capital Outlay</u>								
Equipment	0	1	10,800	1	1	10,800	1	1
<u>Other Current Expenses</u>								
Gaming Policy Board	1,437	2,758	2,758	2,758	0	2,758	2,758	0
TOTAL-General Fund	3,860,907	3,924,576	4,071,048	3,958,286	3,862,628	4,280,558	4,163,614	4,046,096
<u>Additional Funds Available</u>								
Private Funds	3,451,914	2,458,439	2,258,751	2,258,751	2,258,751	2,316,924	2,316,924	2,316,924
TOTAL - All Funds	7,312,821	6,383,015	6,329,799	6,217,037	6,121,379	6,597,482	6,480,538	6,363,020

**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	12,701,326	15,306,409	15,704,607	15,583,820	16,418,602	16,278,017
Other Positions	258,382	164,469	164,081	164,081	173,951	173,951
Other	-355,969	-328,714	-372,530	214,683	-389,389	214,052
Overtime	74,683	78,037	81,549	80,390	85,219	85,214
TOTAL-Personal Services Gross	12,678,422	15,220,201	15,577,707	16,042,974	16,288,383	16,751,234
Less Reimbursements	0	-1,146,794	-1,245,480	-1,245,480	-1,274,988	-1,274,988
Less Turnover	0	0	0	-238,392	0	-249,400
TOTAL-Personal Services Net	12,678,422	14,073,407	14,332,227	14,559,102	15,013,395	15,226,846
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	31,924	33,611	34,340	26,556	35,336	26,472
Utility Services	115,765	121,253	126,586	97,891	133,749	100,198
Rentals, Storage and Leasing	71,056	74,840	76,465	59,131	78,681	58,944
Telecommunication Services	121,822	128,265	131,049	101,341	134,850	101,023
General Repairs	49,538	52,153	53,285	8,371	54,830	8,345
Motor Vehicle Expenses	321,577	338,580	345,927	367,625	355,958	367,127
Fees for Outside Professional Services	6,051	6,373	6,512	5,036	6,702	5,021
Fees for Non-Professional Services	107,842	113,549	116,015	47,747	119,379	47,595
DP Services, Rentals and Maintenance	91,108	95,922	98,003	75,787	100,844	75,547
Postage	192,626	202,837	207,240	137,441	213,250	136,935
Travel	20,336	21,409	21,872	16,913	22,506	16,860
Other Contractual Services	12,515	13,177	13,464	5,031	13,854	5,014
Printing & Binding	52,067	54,818	56,008	43,312	57,632	43,175
<u>Other Expenses-Commodities</u>						
Books	114	120	123	95	127	95
Clothing and Personal Supplies	70	74	76	59	78	58
Maintenance and Motor Vehicle Supplies	180,651	190,825	203,911	142,377	209,680	141,820
Fuel	19,919	20,972	28,824	22,290	31,507	23,603
Office Supplies	47,067	49,562	50,603	39,132	52,022	38,972
Refunds of Expenditures Not Otherwise Classified	7,712	8,119	8,295	6,415	8,535	6,394
<u>Other Expenses-Sundry</u>						
Sundry - Other Items	-76,939	-81,002	-5,212	-8,650	-5,383	-9,298
TOTAL-Other Expenses Gross	1,372,821	1,445,457	1,573,386	1,193,900	1,624,137	1,193,900
Less Reimbursements						
TOTAL-Other Expenses Net	1,372,821	1,445,457	1,573,386	1,193,900	1,624,137	1,193,900
<u>Other Current Expenses</u>						
Gaming Policy Board	1,437	2,758	2,758	0	2,758	0
TOTAL-Other Current Expenses	1,437	2,758	2,758	0	2,758	0
<u>Nonfunctional - Change to Accruals</u>						
	0	0	0	83,225	0	97,562

**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	12,678,422	14,073,407	14,332,227	14,868,085	14,559,102	15,013,395	15,575,482	15,226,846
Other Expenses Net	1,372,821	1,445,457	1,573,386	1,379,403	1,193,900	1,624,137	1,430,154	1,193,900
Capital Outlay	0	1	11,600	1	1	10,800	1	1
Other Current Expenses	1,437	2,758	2,758	2,758	0	2,758	2,758	0
Nonfunctional - Change to Accruals	0	0	0	140,839	83,225	0	100,938	97,562
TOTAL-General Fund Net	<u>14,052,680</u>	<u>15,521,623</u>	<u>15,919,971</u>	<u>16,391,086</u>	<u>15,836,228</u>	<u>16,651,090</u>	<u>17,109,333</u>	<u>16,518,309</u>
<u>Additional Funds Available</u>								
Federal and Other Activities	317,081	442,590	448,982	448,982	448,982	254,907	254,907	254,907
Private Funds	9,403,519	8,155,258	7,865,577	7,865,577	7,865,577	8,138,381	8,138,381	8,138,381
TOTAL-All Funds Net	<u>23,773,280</u>	<u>24,119,471</u>	<u>24,234,530</u>	<u>24,705,645</u>	<u>24,150,787</u>	<u>25,044,378</u>	<u>25,502,621</u>	<u>24,911,597</u>

# DEPARTMENT OF LABOR

## AGENCY DESCRIPTION

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

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

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

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

CTDOL's major programs, Unemployment Insurance (UI) and the Wagner-Peyser Labor Exchange/Employment Services, are federally funded. Federal funding for the administration of the state's UI program is tied to the unemployment rate. Connecticut's unemployment rate has ranged from 8.8 percent to 9.0 percent during 2011 - 2012.

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

## AGENCY PROGRAM INDEX

Job Readiness and Employment Services	161	Occupational Safety and Health	171
Unemployment Insurance	165	Maintaining the Collective Bargaining Relationships	172
Labor Market Information	167	Management Services	173
Workforce Job Training & Skill Development	169		
Wage & Workplace Standards	170		

## RECOMMENDED SIGNIFICANT CHANGES

### **Reductions to Current Services**

	<b>FY 2014</b>	<b>FY 2015</b>
• Remove or Limit Inflation	-555,197	-1,285,452
• Remove or Limit Inflation - Banking Fund Accounts	-23,100	-67,118
• Remove or Limit Inflation - Occupational Health Clinics	-14,230	-32,842
• Remove Funding for Salary Increases for Appointed Officials	-25,320	-53,195
• Annualize FY 2013 Rescissions	-437,978	-437,978
• Annualize FY 2013 Deficit Mitigation Plan	-571,395	-571,395
<i>Reduce funding for CETC, Jobs First Employment Services, and Incumbent Worker Training Program.</i>		
<i>Eliminate funding for Film Industry Training Program.</i>		
• Eliminate STRIDE Funding	-560,500	-560,500
• Eliminate Incumbent Worker Training Funding	-377,500	-377,500
• Eliminate STRIVE Funding	-256,500	-256,500
• Reduce CETC Workforce Funds	-100,000	-100,000
• Reduce Funding to Opportunities Industrialization Centers of America, Inc.	-100,000	-100,000
• Reduce Customized Services Funding	-100,000	-100,000
• Reduce Apprenticeship Account Funding	-50,000	-50,000
<i>Funding is reduced to reflect current expenditures.</i>		

### **Reallocations or Transfers**

• Reallocate Employment Services From DSS	642,260	642,260
<i>Reallocate funds provided by the Department of Social Services for the Employment Success Program to the Department of Labor.</i>		

Budget-in-Detail

• Transfer Employees' Review Board from DAS	22,210	22,210		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-6,264	-6,264		
• Streamline Agency Account Structure <i>Consolidate Jobs Funnel, Apprenticeship, Career Resource Network and 21st Century Jobs funds into one employment services account.</i>	0	0		
<b>New or Expanded Services</b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2016</b>	
• Provide Additional Jobs First Employment Support Funding <i>Funds are provided to implement several alternative and innovative strategies, policies, and procedures designed to improve employment outcomes for needy families, under the federal TANF waiver guidance.</i>	747,500	555,000	555,000	
<b>Technical Adjustments</b>				
• Revise GAAP Accrual Amounts - General Fund	-71,802	-17,761		
• Revise GAAP Accrual Amounts - Workers' Compensation Fund	-26	-40		

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	152	61	0	213	214	185	214	185
Workers' Compensation Fund	0	1	-1	0	1	0	1	0
Labor-ESD	679	51	0	730	730	730	730	730
Individual Development Acct Reserve Fund	1	0	0	1	1	1	1	1
Federal and Other Activities	11	1	0	12	12	12	12	12
			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>
General Fund			122	32	30	30	29	29
Labor-ESD			19	19	19	19	19	19
<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>
Job Readiness and Employment Services	75,102,758	87,690,419	89,417,459	87,380,441	86,243,313	93,335,490	90,297,386	88,281,618
Unemployment Insurance	66,000,719	74,311,510	73,197,446	73,197,446	73,197,446	75,428,987	75,428,987	75,428,987
Labor Market Information	2,471,678	2,743,522	2,862,119	2,859,390	2,694,616	2,945,035	2,944,355	2,773,555
Workforce Job Training & Skill Development	2,369,330	2,570,922	2,660,243	2,660,243	2,291,989	2,750,570	2,750,570	2,329,489
Wage & Workplace Standards	3,170,560	3,060,926	3,361,105	3,315,736	3,327,732	3,503,010	3,445,724	3,453,911
Occupational Safety and Health	3,126,146	1,201,931	3,550,278	3,431,793	3,401,180	3,699,094	3,570,323	3,514,989
Maintaining the Collective Bargaining Relationship	2,003,860	1,897,992	2,243,212	2,209,924	2,165,159	2,202,521	2,300,235	2,238,777
Agency Management Services	12,216,710	15,266,231	15,903,457	15,865,060	15,832,584	16,789,236	16,685,804	16,622,785
TOTAL Agency Programs - All Funds Gross	166,461,761	188,743,453	193,195,319	190,920,033	189,154,019	200,653,943	197,423,384	194,644,111
Less Turnover	0	0	-160,090	-222,703	-222,703	-168,246	-231,247	-231,247
Nonfunctional - Change to Accruals	0	0	0	191,084	119,256	0	94,471	76,670
TOTAL Agency Programs - All Funds Net	166,461,761	188,743,453	193,035,229	190,888,414	189,050,572	200,485,697	197,286,608	194,489,534
<u>Summary of Funding</u>								
General Fund Net	63,512,719	62,824,241	68,511,064	66,431,624	64,831,138	70,639,799	67,512,223	65,015,149
Banking Fund Net	500,000	1,100,000	1,123,100	1,123,100	900,000	1,167,118	1,167,118	900,000
Workers' Compensation Fund Net	651,783	682,731	765,000	697,625	683,369	788,154	716,641	683,759
Employment Security Admin Fund	99,324,657	120,210,001	120,844,565	120,844,565	120,844,565	126,048,430	126,048,430	126,048,430
Federal and Other Activities	887,739	1,820,887	22,680	22,680	22,680	23,360	23,360	23,360
Special Funds, Non-Appropriated	404,060	486,306	500,716	500,716	500,716	515,790	515,790	515,790
Private Funds	1,180,803	1,619,287	1,268,104	1,268,104	1,268,104	1,303,046	1,303,046	1,303,046
TOTAL Agency Programs - All Funds Net	166,461,761	188,743,453	193,035,229	190,888,414	189,050,572	200,485,697	197,286,608	194,489,534

JOB READINESS AND EMPLOYMENT SERVICES

**Statutory Reference**

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

**Statement of Need and Program Objectives**

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

### Program Description

The CTDOL administers the **Workforce Investment Act (WIA)** federal funding, which this year totaled \$27.3 million and provided workforce services to more than 12,000 individuals. The prolonged economic downturn, which has spread across most of Connecticut's industries, continued to present challenges for the state and its workforce investment partners during Program Year 2011. The needs of individuals affected by the economic situation have increased, and demand for employment and training services has surged. Funding under the WIA has helped Connecticut's workforce investment partners to increase the availability of employment and training assistance, which is an important component to the economic recovery of the state. CTDOL and the Workforce Investment Boards (WIBs) are focused on utilizing funding in the most effective manner, developing initiatives that provide both immediate opportunities and future potential, and supporting established projects that strengthen the workforce and business. Although the exceptional economic difficulties have created quite a test for the state's workforce system, it is expected that Connecticut's commitment to employment and training efforts will help employers and citizens on the road to economic recovery.

The state **Rapid Response (RR) Unit**, in conjunction with local Workforce Investment Boards and other one-stop partners, is responsible under WIA regulations (Part 665, Subpart C) for carrying out Rapid Response activities statewide. WIA Title I formula funding supports all rapid response activities in the state. Headed by the CTDOL, the RR Unit reaches out to employers contemplating or experiencing layoffs and plant closings. Employers, affected workers and their unions are provided information on layoff aversion, mass layoff/plant closing and other labor laws, unemployment insurance, WIA, and One-Stop employment services. The RR Unit also makes referrals to and coordinates services with CTDOL units, other agencies, and programs for special intervention or supportive services applicable to dislocated workers.

During FY 2012, the RR Unit made 203 outreach calls and responded to 213 WARN notices affecting 4,443 workers. The RR team assisted 56 employers and/or unions and made 216 presentations, including 18 on-site job search workshops, to 5,439 workers. Employment sites where face-to-face contact was not possible were provided packets of information, benefiting an additional 3,249 dislocated workers, including human resources managers and union representatives.

The RR Unit also submitted seven Trade Adjustment Assistance Act (TAA) petitions on behalf of workers whose jobs were believed to be affected by increased imports or a shift in production to a foreign country. Five petitions, covering 944 workers, were certified TAA eligible. One petition was terminated as employees were found to be covered under a prior certification (a total of 36 workers), and one petition is still pending investigation. The RR Unit also assisted the Trade Act Unit in re-engaging 265 employees from an employer that had been denied TAA eligibility last year but gained TAA eligibility this program year.

**Job Corps** is a national, federally funded, primarily residential, educational and vocational training program administered by the U.S. Department of Labor that helps low income youth ages 16-24 to gain workplace skills, train for an occupation in demand, and become independent and self-sufficient. With centers in Hartford and New Haven, more than 400 students enroll each year to earn a high school diploma or GED, learn a trade, obtain third party certifications and receive assistance finding a good job. Onsite CTDOL employees provide staffing support to the Hartford Job Corps Academy and New

Haven Job Corps Center. CTDOL is committed to promoting and enhancing the goals of Job Corps students and staff nationally and locally with a vision that includes; constantly enlisting new partners and establishing innovative programs in order to aid Connecticut's at promise youth to become educated, trained and established in careers with upward mobility fully integrated into Connecticut's workforce. The wide array of services provided by CTDOL's on-site coordinator proves to be extremely beneficial to the success of the program. Services include but are not limited to: Accessing and coordinating public and private sector services/programs/jobs to provide quality educational/employment opportunities and support programs to students; interfacing with state partner agencies' to facilitate communication in order to best serve clients/students toward success; assisting in the recruitment, training and placement of students; providing technical assistance and training to Job Corps center staff and direct services to students in a variety of employability related areas; facilitating coordination between the center, area One-Stops and local WIBs to support student needs; and providing direct support to students in the area of employability services, such as résumé writing, interviewing preparation, job search assistance and mentoring.

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

CTDOL administers **Jobs First Employment Services (JFES)** which provides employment services to recipients of the Temporary Family Assistance (TFA), the Department of Social Services' cash assistance program.

The goals of JFES is to enable TFA recipients to become independent of cash assistance, through employment, within 21 months; to remain independent of cash assistance; and to achieve federally mandated work participation requirements.

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

In FY 2012, JFES served 15,742 recipients. Of these, 5,427 entered employment at some time during that year with an average wage of \$9.64.

A range of employment services were provided including assessment, case management, job search assistance, vocational education, subsidized employment, adult basic education and other support services. CTDOL contracts with the five Workforce Investment Boards (WIBs) to provide these employment-related services for JFES customers. All services are integrated in the statewide One-Stop Centers.

STRIDE (Skills, Transitional support, Respect, Integrity, Direction, and Employment) is a collaborative effort between the Department of Correction, Department of Labor and Quinebaug Valley Community College. STRIDE is a re-entry program, which serves a targeted group of men and women (both pre and post-release) from Niantic Annex Correctional Institution, York Correctional Institution in Niantic, Bridgeport Correctional Center and Corrigan-Radgowski Correctional Center in Uncasville. The program offers job readiness, job search and job placement assistance and support services such as transportation to job-related activities.

Individual Development Accounts (IDA) allow low-income individuals or individuals with disabilities to deposit modest savings from their earnings or disability income in an Individual development account which will be matched at a rate up to 2:1 for the purpose of

purchasing a specific asset. Individuals save regularly, usually over a one- to five-year period. While in the program participants attend money management and financial skills training, receive credit repair assistance and attend asset specific training related to their savings goal(s). The overall mission of the IDA initiative is to strengthen families and communities by facilitating self-sufficiency and economic stability through financial education and asset development.

Under the Wagner-Peyser Act, CTDOL Employment Services (ES) receives federal funding to provide universal access to an integrated array of labor exchange services. ES focuses on providing a variety of employment-related labor exchange services including but not limited to job search assistance, job referral, and placement assistance for jobseekers, [reemployment services to unemployment insurance claimants](#), and recruitment services to businesses with job openings. Federal funding for Wagner-Peyser ES is minimal and has decreased in the past decade.

Labor Exchange [CT.jobs/CT JobCentral](#), [www.ct.jobs](#), Connecticut's state labor exchange system, is a self-service job bank that provides a range of employment services for both jobseekers and business, including the preliminary and broad matching of jobseekers to potential employers based on qualifications, desired location, salary, and other criteria. CT.jobs operates in alliance with US.jobs, the national labor exchange which is endorsed by the National Association of State Workforce Agencies. CT.jobs enables jobseekers to search thousands of employment opportunities representing all types of occupations, including Connecticut state agency jobs, and refer themselves to positions of interest. As part of a national labor exchange with other states, CT.jobs includes job listings from other states for jobseekers interested in relocating. Jobseekers can also post their résumé on-line for business representatives to view. Approved CT businesses can post W-2 jobs and search the résumé bank for qualified candidates at no cost. Technical assistance is provided to both employers and jobseekers.

A total of 1,926 new account requests from businesses were processed by CT.jobs staff in Program Year 2011. During this same period, employers posted 51,764 new Connecticut job openings. In addition, 1,082 jobs were indexed. Indexing identifies links to jobs on corporate websites, enabling jobseekers to click on a job title on the search results page and be taken directly to the job listing on the corporate website. Jobseekers entered 9,522 new résumés into the system.

During Program Year 2011, approximately 222,576 Wagner-Peyser participants received services (staff-assisted or self-service). In total, approximately 303,685 staff-assisted services were provided. Approximately 57,961 *CTWorks* Career Center customers benefited from a host of services including assistance with career choices and job searches; job search resources such as fax machines and computers with Internet connection; and workshops on résumé writing, interviewing, and career exploration. Customers also received information about specific companies and labor market trends. In addition, more than 10,397 individuals received résumé preparation services at CTDOL-sponsored events and *CTWorks* Career Centers. Résumé preparation services were provided by staff with board-certified credentials from the Professional Association of Résumé Writers.

### **Special Population Groups**

**Veterans Workforce Development** - CTDOL is committed to the federal mandate requiring priority of services to eligible veterans. The Office for Veterans Workforce Development is funded by a federal grant from the USDOL-Veterans Employment and Training

Services. All CTDOL staff in the *CTWorks* Centers provides services to veterans with special emphasis given to services for disabled veterans and recently separated veterans including Connecticut National Guard and armed forces reserve members. Over 7,480 veterans were served through *CTWorks* employment services in FY 2012. Additionally, each *CTWorks* Center has specialized veteran staff to provide employment and training services exclusively to veterans. A total of 2,074 veterans, including 391 disabled veterans and 214 special disabled veterans, were served by the specialized CTDOL veteran staff. CTDOL staff concentrates efforts into two categories: Disabled Veteran Outreach Program representatives (DVOPs) and Local Veteran Employment Representatives (LVERs). The DVOPs/LVERs devote their time to serving veterans only and dedicate a portion of their time to outstation and outreach activities bringing CTDOL services to veterans who may not be aware of the employment assistance available to them.

**Unemployment Insurance (UI) Claimants** are required to fully register with Employment Services as a condition of eligibility for Unemployment Compensation benefits. From July 1, 2011 through June 30, 2012, CTDOL staff continued to focus on unemployment insurance (UI) claimants to be served by the Enhanced Reemployment Services (ERS) program. ERS identifies unemployment insurance claimants who are likely to exhaust their benefits, are unlikely to return to their previous occupations, and will need job search assistance services to make a successful transition to new employment. Orientation sessions were conducted for 16,597 ERS participants who received labor market information, career guidance, information on CT.jobs, an overview of the *CTWorks* Career Center services, and details on UI benefit rights and responsibilities.

As required by the *Middle Class Tax Relief and Job Creation Act of 2012*, CTDOL provided Reemployment Services and Reemployment and Eligibility Assessments (RES/REA) during the months of May and June to 9,979 claimants collecting Emergency Unemployment Compensation (EUC).

The Shared Work Program preserves employee's jobs and an employers trained workforce during a temporary decline in business. Rather than reducing their workforce through lay-offs, an employer reduces the hours of work for all or a particular group of affected employees. These employees could then be eligible to receive partial unemployment compensation benefits to supplement their lost wages. During FY 2012, 262 companies and over 5,000 employees benefited from this program. Program highlights and regulations, along with a downloadable plan application, may be found at the Labor Department website: [http://www.ctdol.state.ct.us/progsupt/bussrvce/shared\\_work/swp.htm](http://www.ctdol.state.ct.us/progsupt/bussrvce/shared_work/swp.htm).

**Serving People with Disabilities** CTDOL works in conjunction with the Bureau of Rehabilitative Services, Department of Social Services, as well as other state agencies and community-based organizations toward the goal of improving the lives of people with disabilities. CTDOL is also a member of the Governor's Committee on Employment of People with Disabilities and supports the Committee's mission of addressing the workforce development needs of individuals with disabilities.

CTDOL continues to maintain a website of disability resources for both jobseekers and employers, at <http://www.ctdol.state.ct.us/gendocs/pwd.htm>. This website, developed collaboratively between CTDOL and the Governor's Committee on Employment of People with Disabilities, includes information on assistive technology, tax credits, workplace

accommodations, and disability employment initiatives in Connecticut.

**Migrant and Seasonal Farm workers (MSFWs)** - CTDOL is committed to providing MSFWs equal access to the full range of employment services available to the general population. The monitor advocate ensures compliance with all laws concerning migrant and seasonal farm workers. Outreach services were provided to approximately 394 workers, including information on available workforce services, referrals to healthcare providers and other supportive services. Agricultural employers received recruitment assistance, mediation, and interpreter services, as well as technical guidance on compliance with the migrant and seasonal farm worker regulations.

**Trade Adjustment Assistance (TAA)** helps individuals who are part of worker groups certified by the U.S. Department of Labor as having lost their jobs or experienced partial separation due to foreign competition. TAA offers a multitude of benefits to eligible workers including reemployment services, training; job search, relocation and

readjustment allowances, and a health coverage tax credit. Some certifications also provide a wage subsidy (Alternative Trade Adjustment Assistance – ATAA) for mature workers.

**The Alien Labor Certification (ALC)** program allows employers who have been unsuccessful in securing United States workers to hire foreign nationals on a temporary basis in both non-agricultural and agricultural employment environments. In order for an Alien Labor Certification to be approved, the U.S. Department of Labor must ensure that there are in fact an insufficient number of U.S. workers who are able, willing, qualified and available to fill these positions. Further, it must be established that the employment of the alien will not adversely affect the wages and working conditions of similarly employed U.S. workers. CTDOL also responds to requests for prevailing wages from employers intent on hiring H-1B non-immigrant professionals; H-2B Temporary Nonagricultural and Permanent Workers. ALC handled 59 certifications and inspected 39 farms in connection with agricultural certifications.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
*ES-Job openings on CT.Jobs/CT JobCentral	52,846	55,000	55,000	55,000
ES-Number Entered employment	91,070	92,000	92,000	92,000
ES-Number Employment Retention (at 6 months)	68,132	70,000	70,000	70,000
ES-Number of Individuals Received Staff Assisted Service	57,961	60,000	60,000	60,000
ES-Number of Individuals Received Career Guidance	29,990	31,000	31,000	31,000
ES-Number of Individuals Referred to Employment	5,093	7,000	7,000	7,000
VETS-Total Veterans/Eligibles Served	2,074	2,500	2,500	2,500
VETS-Disabled Veterans Served	391	450	450	450
VETS-Special Disabled Vets Served	214	230	230	230
VETS-Veteran Entered Employment Rate (%)	47	50	50	50
VETS-Veteran Emp Retention Rate (%)	48	72	72	72
VETS-Transitional Service Members Served	400	800	800	800
JFES-Number served	15,742	17,000	16,000	16,000
JFES-Number entered employment	5,278	6,373	5,365	5,365
JFES-Number retained employment 13 weeks	4,222	5,098	4,292	4,292
STRIDE-Numbers Served	206	245	245	245
STRIDE-Number Entered Employment	86	102	102	102
WIA-Entered Employment Rate Adult %	67	68	69	69
WIA-Entered Employment Rate DW%	76	77	78	78
WIA-Placement in Employment or Education Youth%	68	69	70	70
WIA-Federally required surveys on WIA	0	19,500	19,500	19,500

#### JOB READINESS AND EMPLOYMENT SERVICES

##### **Personnel Summary**

	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	45	54	0	99	100	71	100	71
Labor-ESD	100	12	0	112	112	112	112	112
Individual Development Acct Reserve 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	290,361	325,897	361,654	354,428	354,428	375,710	370,409	370,409
Other Expenses	29,333	30,230	30,875	30,875	28,480	31,757	31,768	28,480
<u>Other Current Expenses</u>								
CETC Workforce	747,288	850,000	862,048	862,048	663,697	882,023	882,023	670,595
Workforce Investment Act	29,217,254	29,154,000	29,868,541	29,154,000	29,154,000	30,779,637	29,154,000	29,154,000
Jobs Funnel Projects	403,750	425,000	433,986	433,986	0*	445,738	445,738	0*
Connecticut's Youth Employment Program	3,475,000	4,500,000	4,595,144	4,595,144	4,500,000	4,719,583	4,719,583	4,500,000
Jobs First Employment Services	17,035,230	17,657,471	19,361,226	18,045,975	17,826,769	19,953,612	18,546,435	17,660,859

## Budget-in-Detail

Individual Development Accounts	90,250	0	0	0	0	0	0	0
STRIDE	525,000	590,000	602,474	602,474	0	618,790	618,790	0
Spanish American Merchant Association	570,000	600,000	612,686	612,686	570,000	629,278	629,278	570,000
Film Industry Training Program	225,626	368,750	376,546	376,546	0	386,744	386,744	0
WIA - ARRA	5,477	0	0	0	0	0	0	0
Intensive Support Services	0	0	0	0	946,260	0	0	946,260
<b>TOTAL-General Fund</b>	<b>52,614,569</b>	<b>54,501,348</b>	<b>57,105,180</b>	<b>55,068,162</b>	<b>54,043,634</b>	<b>58,822,872</b>	<b>55,784,768</b>	<b>53,900,603</b>
Individual Development Accounts	0	100,000	102,100	102,100	100,000	107,103	107,103	100,000
Customized Services	500,000	500,000	510,500	510,500	400,000	524,500	524,500	400,000
<b>TOTAL-Banking Fund</b>	<b>500,000</b>	<b>600,000</b>	<b>612,600</b>	<b>612,600</b>	<b>500,000</b>	<b>631,603</b>	<b>631,603</b>	<b>500,000</b>
<b>Additional Funds Available</b>								
Employment Security Admin Fund	20,557,271	30,156,084	31,198,963	31,198,963	31,198,963	33,365,225	33,365,225	33,365,225
Special Funds, Non-Appropriated	404,060	486,306	500,716	500,716	500,716	515,790	515,790	515,790
Private Funds	209,006	395,486	0	0	0	0	0	0
<b>Federal Contributions</b>								
Youth Employment Opp. - Fed	0	200,000	0	0	0	0	0	0
17275 Compet Grants - Worker Training High Growth/Emerge	937,859	1,231,188	0	0	0	0	0	0
81042 Weatherization Assist for Low-Income	-120,007	120,007	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>75,102,758</b>	<b>87,690,419</b>	<b>89,417,459</b>	<b>87,380,441</b>	<b>86,243,313</b>	<b>93,335,490</b>	<b>90,297,386</b>	<b>88,281,618</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.

## UNEMPLOYMENT INSURANCE

### Statutory Reference

C.G.S. Chapter 567.

### Statement of Need and Program Objectives

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

### Program Description

Unemployment Insurance (UI) provides a cushion from the effects of unemployment through partial wage replacement. The program is an economic stabilizer that helps to maintain the purchasing power of the unemployed. Benefits are payable to an eligible unemployed individual for 26 weeks within a 52 week period. The average claimant collects 18.9 weeks of the 26 weeks of unemployment insurance. CTDOL also administers a number of federally funded or shared unemployment benefits programs including; Emergency Unemployment Compensation (EUC) that provides up to 47 weeks of federally funded benefits to individuals who have exhausted entitlement to UI; Extended Benefits (EB)\* a federally shared program that provides up to 20 weeks of benefits to individuals who have exhausted entitlement to UI and EUC; and Federal Additional Compensation (FAC)\*\*, a federally funded, \$25 per week enhancement to all unemployment benefits paid by CTDOL. Other federal unemployment programs administered by the CTDOL include Disaster Unemployment Assistance for loss of earnings due to natural disaster and Trade Adjustment Assistance for worker groups certified by the U.S. DOL as adversely affected by imports or production shifts to certain countries. The Trade Adjustment Assistance benefits include: Training; relocation allowances and job search allowances; Trade Readjustment Allowances – weekly federally funded benefits after exhaustion of state unemployment benefits for those individuals in approved training; Alternative Trade Adjustment Assistance (ATAA), which provides eligible individuals over the age of 50 who obtain new employment within 26 weeks of their separation with a wage subsidy to help bridge the salary gap

between their old and new employment; Reemployment Trade Adjustment Assistance (RTAA), which expands ATAA benefits to individuals who are employed part time and participating in TAA-approved training and the health coverage tax credit, which is a refundable tax credit equal to 80% of the health insurance premium paid by an eligible individual or as an advance credit paid by the IRS and eligible individuals pay the remaining 20% of the premium for health coverage for themselves and qualified family members (Information on this credit may be located at <http://www.irs.gov> keyword *HCTC* or by calling the HCTC Call Center directly toll-free at 1-866-628-4282 (TDD/TYY 1-866-626-4282).

Initial unemployment claims are filed over the Internet through an automated “*WebBenefits*” system or a telephone system, “*Dial to File*”, in English or Spanish. Separation packets (English and Spanish versions), which include the separation notice or “pink slip”, for use with these systems may be obtained by calling (860) 263-6635 or by download from CTDOL's Internet site (<http://www.ctdol.state.ct.us/tic/sep-pack.html>). Weekly continued claims are also filed using the automated *WebBenefits* and *TeleBenefits* systems, and *WebBenefits* gives claimants access to their benefit payment history with the capability to print out the information. Over 45% of all individuals filing weekly unemployment claims now use the Internet method.

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

Eligibility determinations through interviews with claimants and employers are conducted by telephone or in person at 6 adjudication centers throughout the state.

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

An independent, statutory appeals division consisting of referees and a Board of Review ensures the right of appeal to all parties on any unemployment decision regarding the award or denial of

unemployment benefits. This ensures that all parties receive due process. Claimants and employers may use one of the forms listed at <http://www.ctdol.state.ct.us/appeals/apfrmnt.htm> to file an electronic appeal in unemployment compensation matters.

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

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

#### Outcome Measure:

FISCAL YEAR	2008	2009	2010	2011	2012 (e)
UI Benefits	\$653.1M	\$1.7B	\$2.7B	\$2.3B	\$1.85B

Paid	Includes EUC	Includes EUC, FAC & EB	Includes EUC, FAC & EB	Includes EUC & EB	Includes EUC & EB
Employers Registered	100,328	99,370	97,585	97,667	97,879
FY Collections (in millions)	\$562.7	\$605.1	\$679.0	\$788.9	\$865.7
Estimates for 2012(e.)					

\*Connecticut no longer meets statutory requirements to pay Extended Benefits. The final week for which Extended Benefits was payable was the week ending May 12, 2012.

\*\*Federal legislation authorizing payment of Federal Additional Compensation has expired. The final week of benefits which included Federal Additional Compensation was the week ending December 18, 2010.

Program Measure	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
UI-Tot Taxbl Bens Pd to Claimants- UI, REIMB, CW & ST-EB (\$M)*	870	856	844	815
Total Benefits paid to Claimants (\$M)* (This includes Taxable, Reimbursable, Combined Wage)				
UI-Average weeks collected	19.9	19.2	18.5	17.8
UI-Average amount of payment (\$) (This figure includes check amount, IRS, DRS, and Child Support withholdings)	311	321	331	341
UI-Taxes paid by employers including Trust Fund Interest (\$M) (This figure is: all taxes paid by Contributory and Reimbursable employers; and other States; and interest earned by the Trust Fund)	879	930	867	809
UI-Percent of employers delinquent (%)	16.7	16.7	16.7	16.7
UI-Trust Fund Net Reserve (\$M) (This figure is comprised of Trust Fund)	-466	-327	-160	3

#### UNEMPLOYMENT INSURANCE

##### 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
Labor-ESD	487	34	0	521	521	521	521	521
Other Positions Equated to Full Time			FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
Labor-ESD			Actual	Estimated	Requested	Recommended	Requested	Recommended
			19	19	19	19	19	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>Additional Funds Available</i>								
Employment Security Admin Fund	66,000,719	74,311,510	73,197,446	73,197,446	73,197,446	75,428,987	75,428,987	75,428,987
TOTAL - All Funds	66,000,719	74,311,510	73,197,446	73,197,446	73,197,446	75,428,987	75,428,987	75,428,987

## LABOR MARKET INFORMATION

### **Statutory Reference**

C.G.S. Sections 31-2 and 31-3a.

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

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

### **Program Description**

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

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

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

*Workforce Investment System Approved Training Programs* ([www1.ctdol.state.ct.us/etpl](http://www1.ctdol.state.ct.us/etpl)) is a web-based tool for counselors, career developers, and other CTWorks staff to aide individuals receiving WIA assistance with the selection of training

programs to obtain the knowledge and skills that can help them get the job of their choice.

*Workforce Employment Dynamics* provide information on the characteristics of Connecticut's jobholders, including detailed breakdowns by age, gender, industry, geographic region and wages earned. Information can be found on-line at [www1.ctdol.state.ct.us/employmentdynamics](http://www1.ctdol.state.ct.us/employmentdynamics).

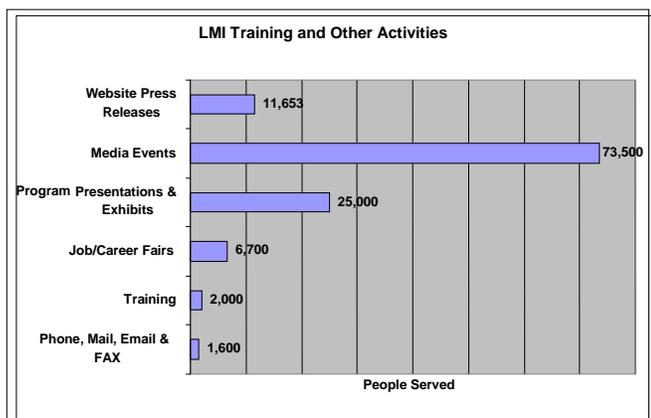
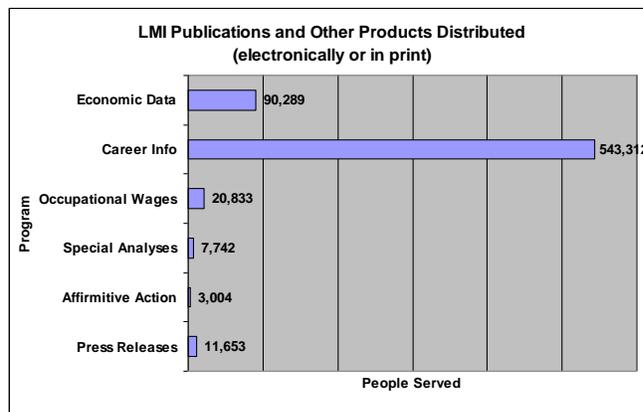
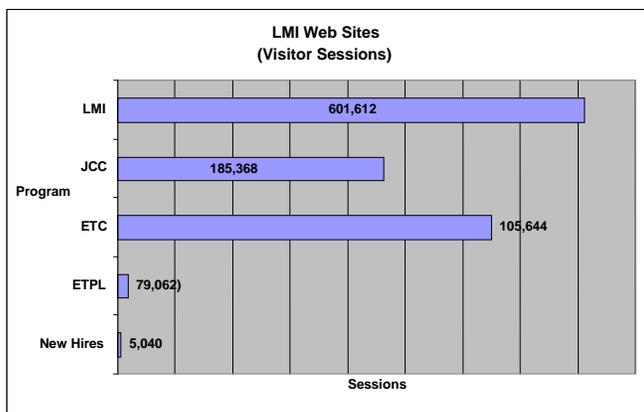
The *Information for Workforce Investment Planning (IWIP)* publication provides the state's Workforce Investment Boards with labor market information for strategic planning, evaluating services, and developing training programs. The IWIP includes information on the labor force, industry employment trends,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

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

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

*The Training and Education Planning System (TEPS)* is a tool designed to aid the analysis and discussion of the demand and supply of talent in Connecticut's workforce. It is intended to help identify where there may be skill shortages or surpluses in the labor market, and thereby guide investments in education and training programs by program planners and administrators, as well as by individuals considering career options.

**Labor Market Information Graphs**



Program Measure	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
LMI Website Visitor Sessions	1,948,978	2,143,876	2,000,000	2,000,000
LMI Products Requested Print and Web	676,833	744,516	700,000	700,000
LMI Training, Presentations, Conferences: Customers Served	35,300	30,000	35,000	35,000

**LABOR MARKET INFORMATION**

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	3	1	0	4	4	4	4	4
Labor-ESD	18	0	0	18	18	18	18	18
<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	203,967	122,077	136,608	133,879	133,879	140,596	139,915	139,915
Other Expenses	2,057	2,130	2,174	2,174	2,005	2,236	2,237	2,005
<u>Other Current Expenses</u>								
Connecticut Career Resource Network	103,822	157,880	164,605	164,605	0*	170,568	170,568	0*
TOTAL-General Fund	309,846	282,087	303,387	300,658	135,884	313,400	312,720	141,920
<u>Additional Funds Available</u>								
Employment Security Admin Fund	2,161,832	2,461,435	2,558,732	2,558,732	2,558,732	2,631,635	2,631,635	2,631,635
TOTAL - All Funds	2,471,678	2,743,522	2,862,119	2,859,390	2,694,616	2,945,035	2,944,355	2,773,555

\* 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.

## WORKFORCE JOB TRAINING AND SKILL DEVELOPMENT

### Statutory Reference

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

### Statement of Need and Program Objectives

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

### Program Description

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

In Connecticut, apprenticeship is a voluntary training system representing a unique partnership in which business and labor are the primary operators of programs with government playing a support role. An employer/employee relationship must be in existence to establish an apprenticeship program. After successfully completing an apprenticeship program (which usually lasts three to four years, but may range from one to six years) the worker receives an apprenticeship completion certificate and is recognized as a

qualified journeyman nationwide. This certificate is one of the oldest and most highly portable industry credentials in use today.

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

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

**Business Services** helps Connecticut's employers to hire, train and retain workers by analyzing the needs of businesses and customizing solutions. Between July 2011 and June 2012, Business Services staff helped Connecticut businesses with more than 462 recruitments attended by approximately 9,125 jobseekers. Additionally, Business Services staff administered the 21st Century Skills Training Program, a unique program for new and expanding Connecticut businesses that need to enhance the skills of the current workforce to remain competitive. Using an allocation of \$425,000, the staff developed agreements resulting in over \$860,000 in training that included green manufacturing, Lean government practices, and quality systems. The program trained 1162 workers from 49 Connecticut companies.

Program Measure	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Apprenticeship-Employers using apprenticeship	1,212	1,236	1,260	1,285
Apprenticeship-Individuals entering training	2,001	2,041	2,082	2,123
Apprenticeship-Individuals completing training	758	773	788	804
Apprenticeship-Minorities (males) entering training (%)	21.5	22	21.7	21.8
Apprenticeship-Females entering training (%)	2.5	2.6	2.6	2.7
Apprenticeship-Active apprentice enrollment as of 6/30	4,301	4,387	4,471	4,564

## WORKFORCE JOB TRAINING & SKILL DEVELOPMENT

### 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	8	1	0	9	9	9	9	9
Federal and Other Activities	2	1	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
	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
<b>Other Current Expenses</b>								
Opportunity Industrial Centers	475,000	0	0	0	0	0	0	0
Apprenticeship Program	581,347	595,867	646,811	646,811	0*	670,298	670,298	0*
21st Century Jobs	387,918	447,955	458,320	458,320	0*	471,136	471,136	0*
Incumbent Worker Training	427,270	450,000	459,514	459,514	0	471,958	471,958	0
STRIVE	256,500	270,000	275,709	275,709	0	283,175	283,175	0
Employment Services	0	0	0	0	1,582,600	0	0	1,611,001
TOTAL-General Fund	2,128,035	1,763,822	1,840,354	1,840,354	1,582,600	1,896,567	1,896,567	1,611,001
Opportunity Industrial Centers	0	500,000	510,500	510,500	400,000	535,515	535,515	400,000
TOTAL-Banking Fund	0	500,000	510,500	510,500	400,000	535,515	535,515	400,000

Additional Funds Available

Employment Security Admin Fund	14,923	0	0	0	0	0	0	0
Private Funds	213,221	297,000	309,389	309,389	309,389	318,488	318,488	318,488
<b>Federal Contributions</b>								
ARRA CT Green Jobs Partners	13,151	10,100	0	0	0	0	0	0
<b>TOTAL - All Funds</b>	<b>2,369,330</b>	<b>2,570,922</b>	<b>2,660,243</b>	<b>2,660,243</b>	<b>2,291,989</b>	<b>2,750,570</b>	<b>2,750,570</b>	<b>2,329,489</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.

**WAGE AND WORKPLACE STANDARDS****Statutory Reference**

Chapters 556, 557 Part III, and 558.

**Statement of Need and Program Objectives**

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

**Program Description**

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

In FY 2012, through the regulation of wages program, \$5.6 million in wages was recovered that would otherwise not have been remitted to employees who had legally earned them. Most individual complaints range from \$100 to \$1,000, amounts not sufficient to interest and retain a private attorney. Further, if all complaints were filed with the courts, they would have an adverse impact on the civil docket.

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

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

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

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

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

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

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

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

The division has the authority to stop the work of an employer who misclassifies employees as independent contractors or underreports payroll for the purpose of committing fraud against insurance companies by paying lower premiums.

To increase public awareness of the wage and workplace laws the division has published guidebooks, bookmarks and more information on its extensive website.

<b>Program Measure</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimated</b>	<b>FY 2014 Projected</b>	<b>FY 2015 Projected</b>
Wage-Complaints, requests and inquiries	28,650	28,700	28,750	28,800
Wage-Conditions of employment inspections	420	484	534	584
Wage-Private employment agencies	245	240	250	255
Wage-Complaint investigations	4,030	4,865	4,960	5,060
Wage-Recommendations issued	617	629	642	655
Wage-Average amount of wages collected per agent/investigator(s) (\$)	305,486	311,596	317,827	324,184

Budget-in-Detail

Wage-Employees paid wages	5,038	5,139	5,242	5,346
Wage-Complaints Received	4,030	4,111	4,193	4,277
Wage-Time between receipt of complaint and start of investigation (months)	6	5	5	5
Wage-Employer citations for record keeping violations	200	204	212	225
Wage-Hearings held on disputed cases	371	378	386	394

**WAGE & WORKPLACE STANDARDS**

**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	30	0	0	30	30	30	30	30
Federal and Other Activities	9	0	0	9	9	9	9	9
			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			40	0	0	0	0	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	2,275,922	2,015,991	2,270,705	2,225,336	2,225,336	2,382,960	2,325,672	2,325,672
Other Expenses	124,372	128,134	131,685	131,685	121,471	135,492	135,494	121,471
<i>Other Current Expenses</i>								
Employees' Review Board	0	0	0	0	22,210	0	0	22,210
TOTAL-General Fund	2,400,294	2,144,125	2,402,390	2,357,021	2,369,017	2,518,452	2,461,166	2,469,353
<i>Additional Funds Available</i>								
Private Funds	758,076	916,801	958,715	958,715	958,715	984,558	984,558	984,558
<b>Federal Contributions</b>								
ARRA - OPM Davis Bacon Act MOA	12,190	0	0	0	0	0	0	0
TOTAL - All Funds	3,170,560	3,060,926	3,361,105	3,315,736	3,327,732	3,503,010	3,445,724	3,453,911

**OCCUPATIONAL SAFETY AND HEALTH**

**Statutory Reference**

C.G.S. Chapters 571 and 573.

**Statement of Need and Program Objectives**

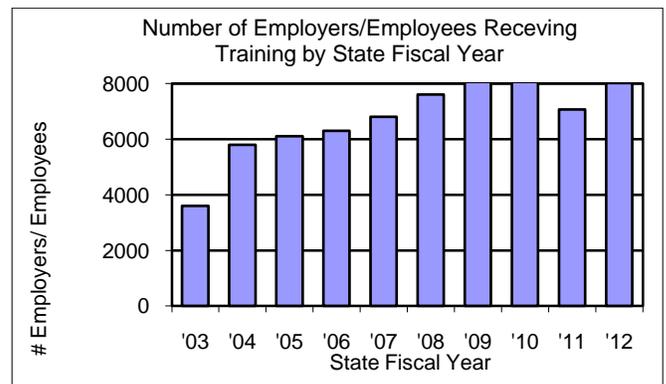
To reduce the incidence of occupational injuries and illnesses by ensuring that workplaces are free from recognized safety and health hazards.

**Program Description**

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

- Protecting 224,400 state and local government employees by enforcing safety and health standards in public sector workplaces, which includes conducting routine safety and health inspections, responding to complaints/requests and investigating fatalities or serious accidents.
- Providing free safety and/or health consultative services, at the employer's request, to Connecticut's public and private employers at their locations. The program is geared to help high-hazard establishments and smaller firms or government agencies who lack the expertise or resources to interpret complex standards or conduct extensive health monitoring.
- Developing and conducting individualized safety and health training programs in the private and public sectors.

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



<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
OSHA-Compliance inspections	148	154	161	168
OSHA-Violations (Other than Serious)	92	96	100	105
OSHA-Instances of Violations (Other than Serious)	117	122	128	133
OSHA-Violations (Serious)	73	76	79	82
OSHA-Instances of violations (Serious)	91	95	99	103
OSHA-On-site consultations	445	467	490	514
OSHA-Training and education programs	126	132	138	144
OSHA-Firms surveyed for injury-illness data	8,200	8,200	8,200	8,200

## OCCUPATIONAL SAFETY AND HEALTH

### 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	27	3	0	30	30	30	30	30
Workers' Compensation Fund	0	1	-1	0	1	0	1	0

### 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	65	0	0	0	0	0

### Financial Summary

	FY 2012	FY 2013	FY 2014	Current	FY 2014	FY 2015	Current	FY 2015
(Net of Reimbursements)	Actual	Estimated	Requested	Services	Recommended	Requested	Services	Recommended
Personal Services	2,258,913	278,096	2,551,374	2,500,397	2,500,397	2,670,284	2,613,135	2,613,135
Other Expenses	199,974	206,024	211,224	211,224	194,841	217,296	217,333	194,841
TOTAL-General Fund	2,458,887	484,120	2,762,598	2,711,621	2,695,238	2,887,580	2,830,468	2,807,976
<u>Other Current Expenses</u>								
Occupational Health Clinics	651,783	682,731	765,000	697,492	683,262	788,154	716,495	683,653
TOTAL-Workers' Compensation Fund	651,783	682,731	765,000	697,492	683,262	788,154	716,495	683,653
<u>Additional Funds Available</u>								
Private Funds	500	10,000	0	0	0	0	0	0
<b>Federal Contributions</b>								
17504 Consultation Agreements	14,976	25,080	22,680	22,680	22,680	23,360	23,360	23,360
TOTAL - All Funds	3,126,146	1,201,931	3,550,278	3,431,793	3,401,180	3,699,094	3,570,323	3,514,989

## MAINTAIN COLLECTIVE BARGAINING RELATIONSHIPS

### Statutory Reference

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

### Statement of Need and Program Objectives

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

### Program Description

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

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

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

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

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

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

In FY 2012 a total of 710 grievances were filed for arbitration; 1,042 grievance arbitration hearings were scheduled; 724 arbitration cases were closed and 109 awards were issued. Expiration notices were received on 253 private sector contracts and the board imposed

binding interest arbitration on 407 municipal contracts under C.G.S. Sec. 7-473c. The mediators responded to 667 cases.

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

The board performs its functions in the following ways:

Processing petitions from employees seeking to be represented by an employee organization. As part of that process, the labor board conducts secret ballot elections among employees to determine if they wish to be represented by an employee organization.

Upon receipt of written complaints from employee organizations, employees or employers alleging violations of the statutes, informal conferences are conducted with parties to investigate and mediate complaints in order to resolve disputes.

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

After the issuance of the final decision, the aggrieved party may then appeal to the Superior Court. A petition for court enforcement may be filed if a party does not comply with an order of the board.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Labor Relations-Cases filed	577	660	660	660
Labor Relations-Unfair labor and prohibited practice	511	590	590	590
Labor Relations-Petitions for representations	66	70	70	70
Labor Relations-Percent of Cases settled without formal hearings (%)	75	75	75	75
Labor Relations-Formal hearings (days of evidentiary hearings)	70	85	80	80
Labor Relations-Decisions issued	81	80	80	70
Labor Relations-Cases pending end of fiscal year	291	350	350	350
Med & Arb-Total cases filed	1,377	1,510	1,600	1,610
Mediation cases	667	680	690	695
Grievances filed	710	830	910	915
Med & Arb-Grievance Arbitration closed	724	900	1,085	1,090
Filing fees collected (\$)	37,925	39,750	43,500	43,875
Filing fees not collected (\$)	975	1,750	2,000	1,875
Municipal contracts	407	400	410	415

**MAINTAINING THE COLLECTIVE BARGAINING RELATIONSHIPS**

<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	18	1	0	19	19	19	19	19

<b>Financial Summary</b> <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	1,455,537	1,333,157	1,666,051	1,632,763	1,632,763	1,608,623	1,706,381	1,706,381
Other Expenses	548,323	564,835	577,161	577,161	532,396	593,898	593,854	532,396
TOTAL-General Fund	2,003,860	1,897,992	2,243,212	2,209,924	2,165,159	2,202,521	2,300,235	2,238,777

**MANAGEMENT SERVICES**

**Statutory Reference**

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

**Statement of Need and Program Objectives**

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

**Program Description**

The Office of the Commissioner provides overall management of activities and policy direction to ensure that all CTDOL programs

meet the needs of both employees and employers. The Commissioner of Labor is a member of the Governor's Jobs Cabinet and the Connecticut Employment and Training Commission. The office works closely with the Office of Workforce Competitiveness, Workforce Investment Boards, other state agencies and community-based organizations to promote effective workforce development strategies in the *CTWorks* system.

**CTDOL's Office of Diversity and Equity Programs (ODEP)** acts on behalf of the Commissioner on matters concerning affirmative action and equal employment opportunity. The ODEP achieved 67 percent of its hiring and promotional goals for FY 2011. The contract

compliance program exceeded its goals for utilizing small business and minority/women business enterprise vendors. ODEP conducted diversity training for all new employees and sexual harassment prevention training for all managers and supervisors. The ODEP assumed ADA Coordinator responsibilities. It processed 25 requests for reasonable accommodation.

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

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

The responsibilities of the **Office of Program Policy** include: facilitating the development of agency policy which is legally sound and promotes the department's mission; overseeing the promulgation and adoption of regulations under the Uniform Administrative Procedure Act (UAPA); providing legal counsel to the executive administration and to all divisions (except the State Board of Mediation and Arbitration, the State Board of Labor Relations and the Employment Security Board of Review); acting as liaison to the Office of the Attorney General; promoting quality adjudicating through technical assistance and training of Unemployment Insurance (UI) staff in interpretation and application of unemployment compensation statutes and regulations and all aspects of determining benefit eligibility; representing the Administrator of the Unemployment Compensation Act in proceedings before the Employment Security Board of Review and Appeals Division; serving as hearing officers for the Labor Commissioner in contested case hearings; administrative prosecution of cases within CTDOL's jurisdiction including hearings under the state Family and Medical Leave Act (FMLA); preparing declaratory rulings and responding to questions about Connecticut's employment laws. Additionally, Program Policy serves as CTDOL's Ethics Liaison.

In FY 2012, the Office of Program Policy issued decisions on a variety of legal and policy questions within the agency's jurisdiction, including opinions in 397 individual unemployment compensation cases and 46 multi-claimant cases including four labor disputes. Attorneys handled hearings before the Employment Security Appeals Division and the Employment Security Board of Review, whose decisions are precedent in similar unemployment compensation

cases. More than 32 appeals, written arguments or motions were submitted to the Board of Review and Appeals Referees. A total of 63 FMLA complaints were received and 38 cases were closed either by settlement, withdrawal or dismissal. The office oversaw the promulgation of regulations concerning CONN-OSHA standards. Attorneys served as hearing officers and/or mediators in 13 cases involving allegations of retaliation for filing wage claims, applying for unemployment benefits and filing OSHA complaints.

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

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

**The Human Resources unit** provides personnel related services to over 870 employees located in 15 offices throughout the state and employed in nearly 200 job classifications.

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

The new Performance and Accountability unit is a centralized impartial unit for data administration, reporting, and operational and program evaluation. This unit supports administrators of the state's workforce investment system by: compiling reports and evaluating data; maintaining and supporting an existing business system; implementing, and maintaining a new comprehensive business system to replace the current one now in operation, and implementing a Results-Based Accountability system to inform decision making regarding business strategies, service delivery, training, and continuous improvement. In 2012, the unit has continued to modify and supply all required State and federal reports; developed business requirements for the new business system, and is currently in process of securing a contract for this new system.

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

#### 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	21	1	0	22	22	22	22	22
Labor-ESD	74	5	0	79	79	79	79	79

<i>Other Positions Equated to Full Time</i>	FY 2012	FY 2013	FY 2014	FY 2014	FY 2014	FY 2014	FY 2015	FY 2015
	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Estimated</u>	<u>Requested</u>	<u>Recommended</u>	<u>Requested</u>	<u>Recommended</u>
General Fund	17	32	30	30	29	29	29	29

##### **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	1,509,670	1,660,428	1,921,746	1,883,348	1,858,028	2,071,690	1,968,264	1,915,070
Other Expenses	87,556	90,317	92,287	92,287	85,131	94,963	94,956	85,131

Budget-in-Detail

Capital Outlay

Equipment	2	2	0	1	1	0	1	1
TOTAL-General Fund	1,597,228	1,750,747	2,014,033	1,975,636	1,943,160	2,166,653	2,063,221	2,000,202
<u>Additional Funds Available</u>								
Employment Security Admin Fund	10,589,912	13,280,972	13,889,424	13,889,424	13,889,424	14,622,583	14,622,583	14,622,583
<b>Federal Contributions</b>								
17275 Compet Grants - Worker Training High Growth/Emerge	29,570	234,512	0	0	0	0	0	0
TOTAL - All Funds	12,216,710	15,266,231	15,903,457	15,865,060	15,832,584	16,789,236	16,685,804	16,622,785

**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	7,749,357	5,372,846	8,577,428	8,552,108	8,963,617	8,910,423
Other Positions	24,106	8,816	14,992	14,992	15,397	15,397
Other	216,835	353,184	314,968	136,981	270,099	144,012
Overtime	4,072	800	750	750	750	750
TOTAL-Personal Services Gross	7,994,370	5,735,646	8,908,138	8,704,831	9,249,863	9,070,582
Less Reimbursements						
Less Turnover	0	0	-160,090	-222,703	-168,246	-231,247
TOTAL-Personal Services Net	7,994,370	5,735,646	8,748,048	8,482,128	9,081,617	8,839,335
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	3,707	3,822	3,904	3,601	4,017	3,601
Utility Services	28	29	30	28	32	28
Rentals, Storage and Leasing	38,877	40,064	40,933	37,759	42,121	37,759
Telecommunication Services	33,477	34,513	35,259	32,525	36,280	32,525
General Repairs	17,805	18,350	18,748	17,295	19,292	17,295
Motor Vehicle Expenses	88,344	91,003	92,977	85,766	95,674	85,766
Fees for Outside Professional Services	4,326	4,456	4,553	4,200	4,685	4,200
Fees for Non-Professional Services	55,480	57,232	58,475	53,941	60,170	53,941
DP Services, Rentals and Maintenance	37,992	39,173	40,014	36,911	41,159	36,911
Postage	35,685	36,775	37,573	34,659	38,664	34,659
Travel	109,291	112,591	115,034	106,111	118,370	106,111
Other Contractual Services	479,901	494,341	505,068	465,895	519,716	465,895
Printing & Binding	6,749	6,963	7,113	6,561	7,320	6,561
<u>Other Expenses-Commodities</u>						
Books	3,030	3,128	3,196	2,948	3,290	2,948
Clothing and Personal Supplies	1,183	1,218	1,244	1,148	1,280	1,148
Maintenance and Motor Vehicle Supplies	29,761	30,662	32,937	30,382	33,868	30,382
Fuel	8	8	11	10	12	10
Office Supplies	41,087	42,303	43,201	39,850	44,428	39,850
Refunds of Expenditures Not Otherwise Classified	170	175	179	162	184	162
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	552	569	580	535	591	535
Sundry - Other Items	4,162	4,295	4,377	4,037	4,489	4,037
TOTAL-Other Expenses Gross	991,615	1,021,670	1,045,406	964,324	1,075,642	964,324
Less Reimbursements						
TOTAL-Other Expenses Net	991,615	1,021,670	1,045,406	964,324	1,075,642	964,324
<u>Other Current Expenses</u>						
CETC Workforce	747,288	850,000	862,048	663,697	882,023	670,595
Workforce Investment Act	29,217,254	29,154,000	29,868,541	29,154,000	30,779,637	29,154,000
Jobs Funnel Projects	403,750	425,000	433,986	0*	445,738	0*
Employees' Review Board	0	0	0	22,210	0	22,210
Connecticut's Youth Employment Program	3,475,000	4,500,000	4,595,144	4,500,000	4,719,583	4,500,000
Jobs First Employment Services	17,035,230	17,657,471	19,361,226	17,826,769	19,953,612	17,660,859
Opportunity Industrial Centers	475,000	0	0	0	0	0

Individual Development Accounts	90,250	0	0	0	0	0
STRIDE	525,000	590,000	602,474	0	618,790	0
Apprenticeship Program	581,347	595,867	646,811	0*	670,298	0*
Spanish American Merchant Association	570,000	600,000	612,686	570,000	629,278	570,000
Connecticut Career Resource Network	103,822	157,880	164,605	0*	170,568	0*
21st Century Jobs	387,918	447,955	458,320	0*	471,136	0*
Incumbent Worker Training	427,270	450,000	459,514	0	471,958	0
STRIVE	256,500	270,000	275,709	0	283,175	0
Film Industry Training Program	225,626	368,750	376,546	0	386,744	0
WIA - ARRA	5,477	0	0	0	0	0
Intensive Support Services	0	0	0	946,260	0	946,260
Employment Services	0	0	0	1,582,600	0	1,611,001
TOTAL-Other Current Expenses	54,526,732	56,066,923	58,717,610	55,265,536	60,482,540	55,134,925
<i>Nonfunctional - Change to Accruals</i>	0	0	0	119,149	0	76,564

\* 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 - BANKING FUND

<i>Current Expenses by Minor Object</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>
<i>Other Current Expenses</i>						
Opportunity Industrial Centers	0	500,000	510,500	400,000	535,515	400,000
Individual Development Accounts	0	100,000	102,100	100,000	107,103	100,000
Customized Services	500,000	500,000	510,500	400,000	524,500	400,000
TOTAL-Other Current Expenses	500,000	1,100,000	1,123,100	900,000	1,167,118	900,000

## AGENCY FINANCIAL SUMMARY - WORKERS' COMPENSATION FUND

<i>Current Expenses by Minor Object</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>
<i>Other Current Expenses</i>						
Occupational Health Clinics	651,783	682,731	765,000	683,262	788,154	683,653
TOTAL-Other Current Expenses	651,783	682,731	765,000	683,262	788,154	683,653
<i>Nonfunctional - Change to Accruals</i>	0	0	0	107	0	106

<i>Character &amp; Major Object Summary</i>	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	7,994,370	5,735,646	8,748,048	8,507,448	8,482,128	9,081,617	8,892,529	8,839,335
Other Expenses Net	991,615	1,021,670	1,045,406	1,045,406	964,324	1,075,642	1,075,642	964,324
Capital Outlay	2	2	0	1	1	0	1	1
Other Current Expenses	54,526,732	56,066,923	58,717,610	56,687,818	55,265,536	60,482,540	57,449,726	55,134,925
Nonfunctional - Change to Accruals	0	0	0	190,951	119,149	0	94,325	76,564
TOTAL-General Fund Net	63,512,719	62,824,241	68,511,064	66,431,624	64,831,138	70,639,799	67,512,223	65,015,149
Other Current Expenses	500,000	1,100,000	1,123,100	1,123,100	900,000	1,167,118	1,167,118	900,000
TOTAL-Banking Fund Net	500,000	1,100,000	1,123,100	1,123,100	900,000	1,167,118	1,167,118	900,000
Other Current Expenses	651,783	682,731	765,000	697,492	683,262	788,154	716,495	683,653
Nonfunctional - Change to Accruals	0	0	0	133	107	0	146	106
TOTAL-Workers' Compensation Fund Net	651,783	682,731	765,000	697,625	683,369	788,154	716,641	683,759
<i>Additional Funds Available</i>								
Employment Security Admin Fund	99,324,657	120,210,001	120,844,565	120,844,565	120,844,565	126,048,430	126,048,430	126,048,430
Federal and Other Activities	887,739	1,820,887	22,680	22,680	22,680	23,360	23,360	23,360
Special Funds, Non-Appropriated	404,060	486,306	500,716	500,716	500,716	515,790	515,790	515,790
Private Funds	1,180,803	1,619,287	1,268,104	1,268,104	1,268,104	1,303,046	1,303,046	1,303,046
TOTAL-All Funds Net	166,461,761	188,743,453	193,035,229	190,888,414	189,050,572	200,485,697	197,286,608	194,489,534

# COMMISSION ON HUMAN RIGHTS & OPPORTUNITIES

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

## AGENCY DESCRIPTION

The mission of the Connecticut Commission on Human Rights and Opportunities (CHRO) is to eliminate discrimination through civil and human rights law enforcement and to establish equal

opportunity and justice for all persons within the state through advocacy and education.

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-8,544	-20,339
• Remove Funding for Salary Increases for Appointed Officials	-22,660	-47,605
• Annualize FY 2013 Rescissions	-59,442	-59,442
• Reduce Other Expenses	-50,000	-50,000
<i>Funding is reduced to reflect current expenditures.</i>		
<b>Reallocations or Transfers</b>		
• Centralize Affirmative Action Planning Function in CHRO <i>Funding for nine positions is transferred to reflect the centralization of affirmative action planning under CHRO.</i>	664,441	693,503
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-10,264	-10,264
• Streamline Agency Account Structure <i>Reallocate funding for the Martin Luther King Jr. Commission to Other Expenses.</i>	0	0
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	24,633	2,367

## 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	68	6	0	74	74	83	74	83
<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>
Equal Opportunity Assurance	5,339,979	5,667,263	6,190,069	6,143,851	6,697,382	6,487,459	6,439,365	6,985,218
TOTAL Agency Programs - All Funds Gross	5,339,979	5,667,263	6,190,069	6,143,851	6,697,382	6,487,459	6,439,365	6,985,218
Less Turnover	0	0	-109,274	-221,328	-261,328	-115,929	-229,896	-269,896
Nonfunctional - Change to Accruals	0	0	0	35,523	60,156	0	36,645	39,012
TOTAL Agency Programs - All Funds Net	5,339,979	5,667,263	6,080,795	5,958,046	6,496,210	6,371,530	6,246,114	6,754,334
<b>Summary of Funding</b>								
General Fund Net	5,259,863	5,585,563	5,999,095	5,876,346	6,414,510	6,289,830	6,164,414	6,672,634
Federal and Other Activities	77,130	78,600	78,600	78,600	78,600	78,600	78,600	78,600
Private Funds	2,986	3,100	3,100	3,100	3,100	3,100	3,100	3,100
TOTAL Agency Programs - All Funds Net	5,339,979	5,667,263	6,080,795	5,958,046	6,496,210	6,371,530	6,246,114	6,754,334

## EQUAL OPPORTUNITY ASSURANCE

### Statutory Reference

C.G.S. Sections 46a-51 through 46a-104.

### Statement of Need and Program Objectives

To prohibit discrimination in employment, credit transactions, housing and other public accommodations on the basis of race, religious creed, national origin, ancestry, sex, age, marital status, mental retardation, learning disability, physical disability, history of mental disorder (employment), mental disability (housing and

public accommodations), lawful source of income (housing and public accommodations), familial status (housing), sexual orientation (excludes affirmative action), and gender expression and identity.

### Program Description

The Commission on Human Rights and Opportunities receives, investigates, conciliates and processes individual complaints alleging discriminatory practices. CHRO may also initiate complaints in the public interest. It also monitors and enforces

Budget-in-Detail

compliance with laws requiring affirmative action in state employment and laws requiring contractors and subcontractors doing business with the state to make every effort to implement affirmative action in their employment practices.

CHRO serves as an advocate for civil rights in Connecticut and as a source of education for the public about human rights issues and the services provided by the agency.

CHRO compiles facts and data concerning compliance with the various state civil rights laws and other related matters in Connecticut and reports to the Governor at least yearly regarding the outcomes of the agency's activities.

**EQUAL OPPORTUNITY ASSURANCE**

**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	68	6	0	74	74	83	74	83

**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	4,984,901	5,196,701	5,710,964	5,664,745	6,306,526	5,996,559	5,948,464	6,594,362
Other Expenses	268,312	382,211	390,616	390,616	309,155	402,078	402,078	309,155

**Capital Outlay**

Equipment	0	1	0	1	1	0	1	1
-----------	---	---	---	---	---	---	---	---

**Other Current Expenses**

Martin Luther King, Jr. Commission	6,650	6,650	6,789	6,789	0*	7,122	7,122	0*
<b>TOTAL-General Fund</b>	<b>5,259,863</b>	<b>5,585,563</b>	<b>6,108,369</b>	<b>6,062,151</b>	<b>6,615,682</b>	<b>6,405,759</b>	<b>6,357,665</b>	<b>6,903,518</b>

**Additional Funds Available**

Private Funds	2,986	3,100	3,100	3,100	3,100	3,100	3,100	3,100
---------------	-------	-------	-------	-------	-------	-------	-------	-------

**Federal Contributions**

14401 Fair Housing Assist Pgm-State & Local	76,558	78,000	78,000	78,000	78,000	78,000	78,000	78,000
---	--------	--------	--------	--------	--------	--------	--------	--------

30002 Employment Discrimination State & Local	572	600	600	600	600	600	600	600
---	-----	-----	-----	-----	-----	-----	-----	-----

<b>TOTAL - All Funds</b>	<b>5,339,979</b>	<b>5,667,263</b>	<b>6,190,069</b>	<b>6,143,851</b>	<b>6,697,382</b>	<b>6,487,459</b>	<b>6,439,365</b>	<b>6,985,218</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.

**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	4,896,783	5,110,822	5,621,581	6,263,362	5,903,538	6,549,436
Other Positions	5,748	0	0	0	0	0
Other	76,824	80,096	83,364	37,145	86,756	38,661
Overtime	5,546	5,783	6,019	6,019	6,265	6,265
<b>TOTAL-Personal Services Gross</b>	<b>4,984,901</b>	<b>5,196,701</b>	<b>5,710,964</b>	<b>6,306,526</b>	<b>5,996,559</b>	<b>6,594,362</b>
Less Reimbursements						
Less Turnover	0	0	-109,274	-261,328	-115,929	-269,896
<b>TOTAL-Personal Services Net</b>	<b>4,984,901</b>	<b>5,196,701</b>	<b>5,601,690</b>	<b>6,045,198</b>	<b>5,880,630</b>	<b>6,324,466</b>

**Other Expenses-Contractual Services**

Dues and Subscriptions	435	621	634	502	652	502
Utility Services	4,120	5,868	6,154	4,871	6,537	4,871
Rentals, Storage and Leasing	89,048	126,834	129,587	102,563	133,345	102,563
Telecommunication Services	39,183	55,816	57,028	45,135	58,682	45,135
General Repairs	1,447	2,066	2,111	1,671	2,172	1,671
Motor Vehicle Expenses	3,836	5,465	5,584	4,419	5,746	4,419
Fees for Outside Professional Services	1,944	2,769	2,829	2,239	2,911	2,239
Fees for Non-Professional Services	32,624	46,477	47,486	37,584	48,864	37,584

Postage	37,746	53,763	54,930	43,474	56,523	43,474
Travel	7,913	11,277	11,522	9,119	11,857	9,119
Other Contractual Services	6,282	8,949	9,143	7,236	9,408	7,236
Advertising and Marketing	243	346	354	280	364	280
Printing & Binding	4,373	6,230	6,365	5,038	6,550	5,038
<u>Other Expenses-Commodities</u>						
Maintenance and Motor Vehicle Supplies	60	87	89	70	92	70
Office Supplies	37,225	54,679	55,819	44,178	57,375	44,178
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	425	607	618	489	629	489
Sundry - Other Items	249	357	363	287	371	287
TOTAL-Other Expenses Gross	268,312	382,211	390,616	309,155	402,078	309,155
Less Reimbursements		0	0	0	0	0
TOTAL-Other Expenses Net	268,312	382,211	390,616	309,155	402,078	309,155
<u>Other Current Expenses</u>						
Martin Luther King, Jr. Commission	6,650	6,650	6,789	0*	7,122	0*
TOTAL-Other Current Expenses	6,650	6,650	6,789	0	7,122	0
<u>Nonfunctional - Change to Accruals</u>	0	0	0	60,156	0	39,012

\* 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	4,984,901	5,196,701	5,601,690	5,443,417	6,045,198	5,880,630	5,718,568	6,324,466
Other Expenses Net	268,312	382,211	390,616	390,616	309,155	402,078	402,078	309,155
Capital Outlay	0	1	0	1	1	0	1	1
Other Current Expenses	6,650	6,650	6,789	6,789	0	7,122	7,122	0
Nonfunctional - Change to Accruals	0	0	0	35,523	60,156	0	36,645	39,012
TOTAL-General Fund Net	5,259,863	5,585,563	5,999,095	5,876,346	6,414,510	6,289,830	6,164,414	6,672,634
<u>Additional Funds Available</u>								
Federal and Other Activities	77,130	78,600	78,600	78,600	78,600	78,600	78,600	78,600
Private Funds	2,986	3,100	3,100	3,100	3,100	3,100	3,100	3,100
TOTAL-All Funds Net	5,339,979	5,667,263	6,080,795	5,958,046	6,496,210	6,371,530	6,246,114	6,754,334

# OFFICE OF PROTECTION & ADVOCACY FOR PERSONS WITH DISABILITIES

## AGENCY DESCRIPTION

The primary purpose of the Office of Protection and Advocacy for Persons with Disabilities (OPA) is to safeguard the civil and human rights of people who have disabilities in Connecticut.

In fulfillment of various state and federal statutory requirements, OPA operates advocacy and abuse/neglect investigation programs for people with all types of disabilities. Specific mandates include investigation of allegations of abuse and neglect of adults with intellectual disability, review of reports of injuries and deaths related to use of restraint and seclusion, review of accessibility-related building code waiver requests, and operation of advocacy programs for adults and children with psychiatric, developmental, physical,

cognitive and sensory disabilities. In addition, the agency provides information and referral services, public education and training, technical assistance and support to community advocacy groups, and organization and leadership on selected disability issues.

OPA is organized into an administrative unit and two operating divisions: 1) Case Services (which includes all advocacy, information and referral functions); and 2), Abuse Investigation (which investigates allegations of abuse and neglect with respect to adults with mental retardation). The functions of the former Community Development Division, which provided training and support to local advocacy groups, have been assumed within the administrative unit.

<b>Outcome Measure</b>	FY 2009	FY 2010	FY 2011	FY 2012
In Response to Consumer Satisfaction Surveys				
Individuals who receive information & referral services responding favorably overall	95%	95%	95%	95%
People with disabilities (or their families) who receive advocacy through organizations that receive training, technical assistance and/or funding from agency	1,000	1,000	1,000	1,000
In Response to Allegations of Abuse and Neglect				
Percentage of direct investigations completed within 90 days	85%	85%	87%	87%

## AGENCY PROGRAM INDEX

Advocacy for Persons with Disabilities	181
Abuse Investigation	182

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-4,689	-10,955
• Remove Funding for Salary Increases for Appointed Officials	-6,126	-12,869
• Annualize FY 2013 Rescissions	-6,000	-6,000
• Annualize FY 2013 Deficit Mitigation Plan	-67,000	-110,995
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-2,233	-2,233
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-3,241	-2,657

## 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	30	1	0	31	31	31	31	31
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>
Advocacy for Persons with Disabilities	3,026,952	3,046,591	3,173,313	3,152,890	3,143,814	3,222,064	3,213,739	3,199,355
Abuse Investigation	912,202	888,048	928,502	915,443	844,481	949,639	954,172	831,514
TOTAL Agency Programs - All Funds Gross	3,939,154	3,934,639	4,101,815	4,068,333	3,988,295	4,171,703	4,167,911	4,030,869
Less Turnover	0	0	0	0	-6,010	0	0	-6,010
Nonfunctional - Change to Accruals	0	0	0	11,666	8,425	0	13,008	10,351
TOTAL Agency Programs - All Funds Net	3,939,154	3,934,639	4,101,815	4,079,999	3,990,710	4,171,703	4,180,919	4,035,210
<b>Summary of Funding</b>								
General Fund Net	2,480,978	2,430,765	2,552,504	2,530,688	2,441,399	2,628,292	2,637,508	2,491,799
Federal and Other Activities	1,458,176	1,503,874	1,549,311	1,549,311	1,549,311	1,543,411	1,543,411	1,543,411
TOTAL Agency Programs - All Funds Net	3,939,154	3,934,639	4,101,815	4,079,999	3,990,710	4,171,703	4,180,919	4,035,210

## ADVOCACY FOR PERSONS WITH DISABILITIES

### Statutory Reference

C.G.S. Sections 46a-7 through 46a-13a; Sec. 45a-694; Sec. 29-200(b); Sec. 29-269(b); Sec. 9-168d.

### Statement of Need and Program Objectives

To protect civil rights and challenge discriminatory barriers that limit participation and contribution by people with disabilities in the civic and economic lives of Connecticut communities.

To increase the degree to which services provided to people with disabilities are relevant to their needs, respectful of their individual rights, competent to ensure their safety and supportive of their membership in their families, neighborhoods and communities.

To expand and strengthen the disability advocacy base in Connecticut, with special emphasis on traditionally under-served racial and ethnic minority groups.

### Program Description

The advocacy program of the Office of Protection and Advocacy for Persons with Disabilities provides an array of responses to people who are referred or who seek assistance from the agency. OPA is Connecticut's designated protection and advocacy program, as

required by federal law. Most callers (approximately 7,000 per year) receive assistance in the form of information, consultation and short-term troubleshooting about the specific question or problem prompting their inquiry. Priorities for service delivery are developed on a biennial basis in collaboration with the 15 member volunteer advisory board, and are updated annually as required by federal law. The priority-setting process involves biennial public forums, analysis of needs reflected in case experience and input from the agency's advisory board. Clients with disabilities, whose civil rights issues fall within specific program mandates and whose situations meet priority criteria, receive more extensive advocacy services. OPA also devotes some of its resources to educating, organizing and supporting community advocacy groups. Staff members from all program areas provide training to service providers and disability interest groups. Community development staff provide technical assistance and limited resource support to local advocacy programs and parent and self-advocacy organizations, and pursue outreach efforts in minority communities. To better ensure statewide presence and support collaboration with community-based advocacy organizations, OPA subcontracts some of its functions with legal services and self-advocacy organizations.

## ADVOCACY FOR PERSONS WITH DISABILITIES

<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	18	1	0	19	19	19	19	19
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	1,420,095	1,363,462	1,429,673	1,420,087	1,420,087	1,489,977	1,481,528	1,481,528
Other Expenses	148,681	179,254	183,439	183,491	174,415	188,676	188,799	174,415
<b>Capital Outlay</b>								
Equipment	0	1	10,890	1	1	0	1	1
TOTAL-General Fund	1,568,776	1,542,717	1,624,002	1,603,579	1,594,503	1,678,653	1,670,328	1,655,944
<b>Additional Funds Available</b>								
<b>Federal Contributions</b>								
PABSS REP PAYEE PROJECT	14,481	18,000	18,000	18,000	18,000	18,000	18,000	18,000
84128 Rehabilitation Services Service Project	48,800	100,500	124,439	124,439	124,439	124,439	124,439	124,439
84240 Pgm Protection and Advocacy of	199,388	210,000	225,632	225,632	225,632	225,632	225,632	225,632

Budget-in-Detail

Individual Rights									
93234 Traumatic Brain Injury State Demonstration Pgm	62,985	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000
93618 Voting Access-Individ w/Disabilities	55,113	70,000	70,000	70,000	70,000	70,000	70,000	70,000	70,000
93630 Developmental Disabilities Basic Support	855,918	827,233	833,099	833,099	833,099	827,199	827,199	827,199	827,199
93667 Social Services Block Grant	119,990	126,141	126,141	126,141	126,141	126,141	126,141	126,141	126,141
96008 Soc Sec Benefits Planning, Assistance	101,501	102,000	102,000	102,000	102,000	102,000	102,000	102,000	102,000
<b>TOTAL - All Funds</b>	<b>3,026,952</b>	<b>3,046,591</b>	<b>3,173,313</b>	<b>3,152,890</b>	<b>3,143,814</b>	<b>3,222,064</b>	<b>3,213,739</b>	<b>3,199,355</b>	

**ABUSE INVESTIGATION**

**Statutory Reference**

C.G.S. Sections 46a-11b through 46a-11g.

**Statement of Need and Program Objectives**

To ensure that allegations of abuse and neglect of adults with intellectual disability are reported, are promptly and thoroughly investigated and responded to appropriately.

To oversee the mechanisms for reporting and tracking allegations of abuse and neglect of adults with intellectual disability that arise within human service programs, to determine which allegations warrant investigation, and to ensure the quality of such investigations.

To ensure that protective services are implemented when necessary to assure the safety of an adult with mental retardation who has been abused or neglected.

To ensure that independent investigations are conducted into the death of any client of the Department of Developmental Services (DDS) where abuse or neglect is suspected to have contributed to the death.

**Program Description**

The Abuse Investigation Unit receives reports of suspected abuse and neglect of persons with mental retardation between the ages of 18 and 59 and either directly investigates those allegations or ensures that an agency that is otherwise responsible for conducting an investigation does so in a timely, competent manner. State law also requires the unit to investigate deaths of DDS clients when it is suspected that abuse or neglect may have contributed to that death. Most reports of suspected abuse or neglect are made by professionals or service providers who are statutorily mandated to report such cases. Service providers are required to cooperate with OPA investigations and the agency may subpoena relevant records. When an investigation concludes that protective services are warranted to ensure the safety of a person with mental retardation, investigative staff requests that DDS develop a protective services plan. If protective services are immediately necessary to protect the health or safety of a victim of alleged abuse or neglect, they must be provided pending completion of the investigation.

**ABUSE INVESTIGATION**

**Personnel Summary**

Permanent Full-Time Positions General Fund	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
	12	0	0	12	12	12	12	12

**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	886,014	856,446	879,010	882,822	815,706	916,082	920,593	802,739
Other Expenses	26,188	31,602	32,612	32,621	28,775	33,557	33,579	28,775

**Capital Outlay**

Equipment	0	0	16,880	0	0	0	0	0
<b>TOTAL-General Fund</b>	<b>912,202</b>	<b>888,048</b>	<b>928,502</b>	<b>915,443</b>	<b>844,481</b>	<b>949,639</b>	<b>954,172</b>	<b>831,514</b>

**AGENCY FINANCIAL SUMMARY - GENERAL FUND**

**Current Expenses by Minor Object**

Personal Services	FY 2012	FY 2013	FY 2014	FY 2014	FY 2015	FY 2015
	Actual	Estimated	Requested	Recommended	Requested	Recommended
Permanent Fulltime Positions	2,258,058	2,173,653	2,252,837	2,197,490	2,349,051	2,244,108
Other	47,312	45,544	55,103	37,460	56,231	39,261
Overtime	739	711	743	843	777	898
<b>TOTAL-Personal Services Gross</b>	<b>2,306,109</b>	<b>2,219,908</b>	<b>2,308,683</b>	<b>2,235,793</b>	<b>2,406,059</b>	<b>2,284,267</b>
Less Reimbursements						
Less Turnover	0	0	0	-6,010	0	-6,010
<b>TOTAL-Personal Services Net</b>	<b>2,306,109</b>	<b>2,219,908</b>	<b>2,308,683</b>	<b>2,229,783</b>	<b>2,406,059</b>	<b>2,278,257</b>

Other Expenses-Contractual Services

Dues and Subscriptions	7,324	8,830	9,022	8,830	9,283	8,830
Rentals, Storage and Leasing	5,726	6,903	7,053	6,903	7,258	6,903
Telecommunication Services	21,551	25,981	26,544	19,981	27,314	19,981
General Repairs	710	856	875	856	901	856
Motor Vehicle Expenses	7,680	9,259	10,027	9,826	10,319	9,826
Fees for Outside Professional Services	101,297	122,126	124,776	122,126	128,395	122,126
Fees for Non-Professional Services	1,635	1,970	2,013	1,970	2,071	1,970
DP Services, Rentals and Maintenance	7,947	9,581	9,789	9,581	10,073	9,581
Postage	4,650	5,606	5,727	3,373	5,893	3,373
Travel	3,304	3,983	4,070	3,983	4,188	3,983
Other Contractual Services	1,060	1,278	1,306	1,278	1,344	1,278
Printing & Binding	438	528	540	528	556	528

Other Expenses-Commodities

Books	78	94	96	94	99	94
Maintenance and Motor Vehicle Supplies	3,087	3,757	3,951	3,757	4,063	3,757
Office Supplies	7,556	9,109	9,261	9,109	9,467	9,109

Other Expenses-Sundry

Sundry - Other Items	826	995	1,001	995	1,009	995
TOTAL-Other Expenses Gross	174,869	210,856	216,051	203,190	222,233	203,190
Less Reimbursements						
TOTAL-Other Expenses Net	174,869	210,856	216,051	203,190	222,233	203,190

Nonfunctional - Change to Accruals

	0	0	0	8,425	0	10,351
--	---	---	---	-------	---	--------

**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	2,306,109	2,219,908	2,308,683	2,302,909	2,229,783	2,406,059	2,402,121	2,278,257
Other Expenses Net	174,869	210,856	216,051	216,112	203,190	222,233	222,378	203,190
Capital Outlay	0	1	27,770	1	1	0	1	1
Nonfunctional - Change to Accruals	0	0	0	11,666	8,425	0	13,008	10,351
TOTAL-General Fund Net	2,480,978	2,430,765	2,552,504	2,530,688	2,441,399	2,628,292	2,637,508	2,491,799
<u>Additional Funds Available</u>								
Federal and Other Activities	1,458,176	1,503,874	1,549,311	1,549,311	1,549,311	1,543,411	1,543,411	1,543,411
TOTAL-All Funds Net	3,939,154	3,934,639	4,101,815	4,079,999	3,990,710	4,171,703	4,180,919	4,035,210

# WORKERS' COMPENSATION COMMISSION

## AGENCY DESCRIPTION

The core function of the Workers' Compensation Commission is to adjudicate contested workers' compensation claims, schedule hearing dockets, render decisions, and generally provide injured workers and their employers with the tools necessary to insure claims are filed and all parties are treated fairly.

The chairman of the Workers' Compensation Commission and fifteen trial commissioners are nominated by the Governor and approved by

the General Assembly. Disputed workers' compensation claims are resolved through the informal, preformal, and formal hearings processes. Decisions from formal hearings may be appealed by any party to the Compensation Review Board, a panel comprised of the chairman and two trial commissioners.

## RECOMMENDED SIGNIFICANT CHANGES

	<b>FY 2014</b>	<b>FY 2015</b>
<b>Reductions to Current Services</b>		
• Remove or Limit Inflation	-17,656	-38,849
• Reassign Caseload to Other District Offices	-287,161	-355,683
<i>Reduces the number of district offices from eight to seven.</i>		
<b>Reallocations or Transfers</b>		
• Transfer Funding for Central Mail and Courier Services to the Department of Administrative Services	-14,952	-14,952
<b>Technical Adjustments</b>		
• Revise GAAP Accrual Amounts	-17,145	7,500

## 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	110	7	0	117	117	112	117	112
Workers' Compensation Fund								
<b>Agency Programs by Total Funds (Net of Reimbursements)</b>	<u>Actual</u>	<u>Estimated</u>	<u>Requested</u>	<u>Current Services</u>	<u>FY 2014 Recommended</u>	<u>FY 2015 Requested</u>	<u>Current Services</u>	<u>FY 2015 Recommended</u>
Workers' Compensation Administration	16,283,878	17,922,406	20,857,181	18,739,679	18,419,910	20,504,596	19,266,485	18,857,001
TOTAL Agency Programs - All Funds Gross	16,283,878	17,922,406	20,857,181	18,739,679	18,419,910	20,504,596	19,266,485	18,857,001
Less Turnover	0	0	-75,000	-132,666	-132,666	-75,000	-137,078	-137,078
Nonfunctional - Change to Accruals	0	0	0	115,328	98,183	0	88,825	96,325
TOTAL Agency Programs - All Funds Net	16,283,878	17,922,406	20,782,181	18,722,341	18,385,427	20,429,596	19,218,232	18,816,248
<b>Summary of Funding</b>								
Workers' Compensation Fund Net	16,181,190	17,819,996	20,679,771	18,619,931	18,283,017	20,327,186	19,115,822	18,713,838
Private Funds	102,688	102,410	102,410	102,410	102,410	102,410	102,410	102,410
TOTAL Agency Programs - All Funds Net	16,283,878	17,922,406	20,782,181	18,722,341	18,385,427	20,429,596	19,218,232	18,816,248

## WORKERS' COMPENSATION COMMISSION

### Statutory Reference

C.G.S. Chapter 568, Sections 31-275 through 31-355.

### Statement of Need and Program Objectives

To administer the workers' compensation laws of the State of Connecticut and ensure that workers injured on the job receive medical treatment and timely payment of lost work time benefits.

### Program Description

The Workers' Compensation Commission is statutorily mandated to adjudicate and resolve disputes arising from injuries occurring in the workplace. Issues are resolved through hearings, mediation and/or negotiation.

Compensation Review Board is the appellate level of the Workers' Compensation Commission.

Education programs provide information to employers, employees and the general public.

Safety and Health Programs prevent and reduce workplace injuries by assisting employers in establishing committees to oversee safety programs.

Managed Care Plan applications from employers are reviewed to ensure employees are provided adequate access to medical care while employers strive to achieve cost containment.

Self-Insurance Division reviews applications from employers for eligibility based on fiscal solvency, loss history, and exposure.

Statistical Division compiles data on trends and levels of activity associated with the workers' compensation process and serves as the repository for evidence of employer's compliance with workers' compensation insurance coverage.

<b>Program Measure</b>	FY 2012 Actual	FY 2013 Estimated	FY 2014 Projected	FY 2015 Projected
Injuries/Illnesses Reported	63,000	63,000	63,000	63,000
Fatal Injuries	30	30	30	30
Informal Hearings	53,874	55,000	56,000	56,000
Formal Hearings	1,099	1,100	1,200	1,200
Pre-Formal Hearings	10,004	11,000	11,000	11,000
Voluntary Agreements	20,941	21,000	22,000	22,000
Stipulations Approved	6,618	6,700	6,800	6,800
Awards	1,748	1,800	1,900	1,900
Dismissals	163	175	175	175
Education Services Information Responses	63,512	65,000	66,000	66,000
Website Visits, Page Views and Downloads	1,357,993	1,400,000	1,500,000	1,500,000
Compensation Review Board New Appeals	93	100	100	100
Compensation Review Board Dispositions	101	120	120	120
Fraud Investigations	63	100	100	100

**WORKERS' COMPENSATION ADMINISTRATION****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								
Workers' Compensation Fund	110	7	0	117	117	112	117	112

**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	8,490,584	8,758,024	9,154,288	9,166,759	9,081,370	9,578,264	9,465,735	9,369,451
Other Expenses	2,268,577	2,284,102	4,561,101	2,542,665	2,368,057	3,474,521	2,515,034	2,269,233
<u>Capital Outlay</u>								
Equipment	0	15,900	56,025	28,625	28,625	52,000	52,000	52,000
<u>Other Current Expenses</u>								
Fringe Benefits	4,462,743	6,045,052	6,408,002	6,323,865	6,264,093	6,704,785	6,530,060	6,462,661
Indirect Overhead	959,286	716,918	575,355	575,355	575,355	592,616	601,246	601,246
TOTAL-Workers' Compensation Fund	16,181,190	17,819,996	20,754,771	18,637,269	18,317,500	20,402,186	19,164,075	18,754,591
<u>Additional Funds Available</u>								
Private Funds	102,688	102,410	102,410	102,410	102,410	102,410	102,410	102,410
TOTAL - All Funds	16,283,878	17,922,406	20,857,181	18,739,679	18,419,910	20,504,596	19,266,485	18,857,001

**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	8,406,396	8,671,185	8,939,288	8,759,037	9,228,264	9,042,260
Other Positions	2,258	2,329	0	0	0	0
Other	81,693	84,266	214,000	321,333	349,000	326,191
Overtime	237	244	1,000	1,000	1,000	1,000
TOTAL-Personal Services Gross	8,490,584	8,758,024	9,154,288	9,081,370	9,578,264	9,369,451
Less Reimbursements						
Less Turnover	0	0	-75,000	-132,666	-75,000	-137,078
TOTAL-Personal Services Net	8,490,584	8,758,024	9,079,288	8,948,704	9,503,264	9,232,373
<u>Other Expenses-Contractual Services</u>						
Dues and Subscriptions	3,935	3,963	4,049	3,963	4,167	3,963
Utility Services	22,715	23,000	24,120	23,000	25,623	23,000
Rentals, Storage and Leasing	1,405,342	1,414,909	1,519,289	1,358,096	1,525,972	1,317,884
Telecommunication Services	103,233	103,940	131,965	121,596	135,792	135,734
General Repairs	35,154	35,400	36,168	35,400	37,216	35,400
Motor Vehicle Expenses	7,674	7,727	7,895	7,727	8,124	7,727
Fees for Outside Professional Services	26,105	26,283	76,854	26,283	79,083	26,283

**Budget-in-Detail**

Fees for Non-Professional Services	20,937	21,088	21,546	21,088	22,170	21,088
DP Services, Rentals and Maintenance	289,193	288,844	2,263,824	338,537	1,237,471	353,537
Postage	174,528	175,723	179,536	160,771	184,743	160,771
Travel	11,271	11,370	11,616	11,370	11,953	11,370
Other Contractual Services	52,622	57,434	58,679	57,434	60,380	57,434
Printing & Binding	27,215	27,407	28,002	27,407	28,814	27,407
<u>Other Expenses-Commodities</u>						
Books	56,276	56,659	57,889	56,659	59,568	56,659
Maintenance and Motor Vehicle Supplies	5,344	5,403	5,767	5,403	5,929	5,403
Office Supplies	26,022	26,234	115,166	114,605	28,182	26,855
<u>Other Expenses-Sundry</u>						
Employee Fringe Benefits	1,011	1,018	1,036	1,018	1,054	1,018
Sundry - Other Items	0	0	20,000	0	20,580	0
TOTAL-Other Expenses Gross	2,268,577	2,286,402	4,563,401	2,370,357	3,476,821	2,271,533
Less Reimbursements	0	-2,300	-2,300	-2,300	-2,300	-2,300
TOTAL-Other Expenses Net	2,268,577	2,284,102	4,561,101	2,368,057	3,474,521	2,269,233
<u>Other Current Expenses</u>						
Fringe Benefits	4,462,743	6,045,052	6,408,002	6,264,093	6,704,785	6,462,661
Indirect Overhead	959,286	716,918	575,355	575,355	592,616	601,246
TOTAL-Other Current Expenses	5,422,029	6,761,970	6,983,357	6,839,448	7,297,401	7,063,907
<u>Nonfunctional - Change to Accruals</u>	0	0	0	98,183	0	96,325

**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	8,490,584	8,758,024	9,079,288	9,034,093	8,948,704	9,503,264	9,328,657	9,232,373
Other Expenses Net	2,268,577	2,284,102	4,561,101	2,542,665	2,368,057	3,474,521	2,515,034	2,269,233
Capital Outlay	0	15,900	56,025	28,625	28,625	52,000	52,000	52,000
Other Current Expenses	5,422,029	6,761,970	6,983,357	6,899,220	6,839,448	7,297,401	7,131,306	7,063,907
Nonfunctional - Change to Accruals	0	0	0	115,328	98,183	0	88,825	96,325
TOTAL-Workers' Compensation Fund Net	16,181,190	17,819,996	20,679,771	18,619,931	18,283,017	20,327,186	19,115,822	18,713,838
<u>Additional Funds Available</u>								
Private Funds	102,688	102,410	102,410	102,410	102,410	102,410	102,410	102,410
TOTAL-All Funds Net	16,283,878	17,922,406	20,782,181	18,722,341	18,385,427	20,429,596	19,218,232	18,816,248